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Important Notes

This document should be read together with the Securities and Futures (Short Position Reporting) Rules (Rules)¹, the Notes to the Reportable Short Position Form (Notes), Guidance Note on Short Position Reporting and the Short Position Reporting Frequently Asked Questions (FAQs)², all of which can be found on the website of the Securities and Futures Commission (SFC)². Unless otherwise specified, the words and phrases used herein have the meanings given by the Rules, as appropriate.

With effect on 15 March 2017, reporting will be required for reportable short positions in all Designated Securities eligible for short selling specified by The Stock Exchange of Hong Kong Limited (SEHK). The list of Designated Securities eligible for short selling is published on the Hong Kong Exchanges and Clearing Limited's website³. Starting from 15 March 2017, the SFC will cease publishing the List of Specified Shares on its website.

Revision History

<table>
<thead>
<tr>
<th>Release date</th>
<th>Major Amendments</th>
</tr>
</thead>
<tbody>
<tr>
<td>27 April 2012</td>
<td>First release</td>
</tr>
<tr>
<td>12 June 2012</td>
<td>Stock Borrow and Lending Agreement added to the Identification Document Type (p.7)</td>
</tr>
<tr>
<td></td>
<td>“Register multiple entities” function available (p.12)</td>
</tr>
<tr>
<td></td>
<td>Tooltips on the Reportable Short Position Form (p.15)</td>
</tr>
<tr>
<td></td>
<td>Submission acknowledgement email added (p.17)</td>
</tr>
<tr>
<td>21 August 2012</td>
<td>Changes corresponding to the revamped SFC web site</td>
</tr>
<tr>
<td>10 January 2017</td>
<td>Changes corresponding to the expanded scope of short position reporting to all Designated Securities (p.24)</td>
</tr>
<tr>
<td>7 November 2017</td>
<td>Changes corresponding to the revamped HKEX web site</td>
</tr>
<tr>
<td>4 January 2019</td>
<td>Changes corresponding to the new WINGS Portal</td>
</tr>
</tbody>
</table>

¹ To view the Rules, please click https://www.elegislation.gov.hk/ and key in “571AJ” in the “Quick Search” box and press “Go To”
³ More details can be found on p.25.
1. Overview of short position reporting process

Prior to first time reporting, a person who has the duty to notify his reportable short position under the Rules must register with the Short Position Reporting (SPR) Service. You are required to register once only. Once you have completed the self-registration and activation (Steps 2-4), you may go straight to submit the Reportable Short Position Form thereafter. (Steps 5-6)

Step 1: Access the Short Position Reporting Service

Step 2: Click “Registration” to perform self-registration

Step 3: Receive onscreen registration acknowledgement

Step 4: Check email account to complete the registration

Step 5: Click “Reportable Short Position Form” to file reportable short positions

Step 6: Receive submission acknowledgement
2. Short position reporting process

Step 1: Accessing the SPR Service

The SPR Service can be accessed through the SFC’s website at [www.sfc.hk](http://www.sfc.hk).

1. Click “View Now”
2. Click either “New User” for registration or “Submit Online” if you are ready for submission under the “Short Position Reporting” menu.
Homepage

The homepage gives you fundamental information about the SPR Service. You are advised to read through the documents specified on the homepage prior to registration or any filing of reportable short position.

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**Registration**—This function allows users to register and obtain a unique identifier code, the Short Position Reporting ID (SPRID) for the subsequent filing of his reportable short positions.

**Reportable Short Position Form**—This function allows users to file his reportable short positions.

**Forgot SPRID**—This function allows users to retrieve his SPRID.

**CSV Template**—This function allows users to download a blank Comma Separated Value ("CSV") template for reporting his reportable short positions.

**Notes to the Reportable Short Position Form**—Directions and instructions which must be followed in completing registration and filing of reportable short positions.

**Related Information**—More reference materials at the SFC’s website.

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Step 2: Registration

A person who has the duty to file his reportable short position must register under “Registration for Lodging Reportable Short Position Form”. If such person appoints an agent to file the Reportable Short Position Form on his behalf, both the person and his agent must register separately and obtain their respective SPRIDs.

As specified in the Rules, when the reportable short positions are held by a trust, it will be the trustee’s responsibility to report the short positions. In such case, both the trust and the trustee (or its agent) needs to register separately to get their respective SPRIDs.

Similarly, in the case of reportable short positions held by a partnership, both the authorized person who submits the reportable short positions and the partnership itself has to register separately and obtain their respective SPRIDs.

Upon successful registration, a unique identifier code known as SPRID, for example: G3VA8F69MT, will be assigned to the registrant.

There are three parts under “Registration for Lodging Reportable Short Position Form”—

- Registrant Information;
- Contact Information; and
- Additional Information.
1) Registrant Information

Please click “Registration” to begin.

Any field with an asterisk (*) is a mandatory field.

You are required to choose from the above list of options. If you are licensed with the SFC, you should choose “SFC Central Entity Reference”. Other document numbers include Stock Borrow and Lending Agreement Number which is a unique number issued by the Inland Revenue Department of the Hong Kong SAR Government. For ID Type which cannot be found in the list, you must choose “Others” and specify in the box provided. The ID number must be issued by an external party. Internal reference number is unacceptable. If more than one of the ID Type is applicable, always use the one on the top of the list.

You are required to choose from the above list of options. For business type which cannot be found in the list, you must choose “Others” and specify in the box provided.

For website which is in the format of “http://abc.com.hk”, please input as “abc.com.hk”. No prefix of http:// is required.
2) Contact Information

You must provide the contact information of at least one person who is able to answer queries from the SFC in relation to the registration and future filings of reportable short positions in respect of the registrant. You may provide a group email address as the contact email. This should help to avoid unnecessary re-registration and missing relevant emails from the SFC, including the acknowledgement email, due to the absence of a particular person.

<table>
<thead>
<tr>
<th>Contact Information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Primary contact:</strong></td>
<td></td>
</tr>
<tr>
<td>Contact Person *:</td>
<td>Lee</td>
</tr>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>Tommy</td>
<td></td>
</tr>
<tr>
<td>First / Other Name</td>
<td></td>
</tr>
<tr>
<td>Email Address *:</td>
<td><a href="mailto:tommy.lee@abc.co.uk">tommy.lee@abc.co.uk</a></td>
</tr>
<tr>
<td>Contact No.:</td>
<td>(44) 207 1234567</td>
</tr>
<tr>
<td>Fax No.:</td>
<td>(44) 207 1234568</td>
</tr>
<tr>
<td><strong>Secondary contact:</strong></td>
<td></td>
</tr>
<tr>
<td>Contact Person:</td>
<td>Chan</td>
</tr>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td></td>
</tr>
<tr>
<td>First / Other Name</td>
<td></td>
</tr>
<tr>
<td>Email Address:</td>
<td><a href="mailto:may.chan@abc.co.uk">may.chan@abc.co.uk</a></td>
</tr>
<tr>
<td>Contact No.:</td>
<td>(44) 207 1234569</td>
</tr>
<tr>
<td>Fax No.:</td>
<td>(44) 207 1234568</td>
</tr>
</tbody>
</table>

An email will be sent to the primary contact person after successful registration.

You should provide the area and the country codes, if applicable.
3) Additional Information

You are highly recommended to subscribe to news related to Short Position Reporting. After successful registration, email alerts of the latest developments in relation to the short position reporting regime will be sent to the email address provided. These include:

i) publication of the revised reference materials such as FAQs and user guide, etc;

ii) notification that daily reporting of short position requirement is invoked in a contingency situation and the corresponding notification relating to the cessation of daily reporting requirement, etc.

Alternatively, you may also subscribe to our email alert service with other email address(es) through SFC website for “Short Position Reporting-Related Matters” at https://www.sfc.hk/CampaignHelper/campaignForm.jsp?lang=EN

You are required to indicate whether this is your first time registration with the SPR Service. If this is not your first time registration (e.g. re-registration due to change of contact information), please click “No” and provide the reason(s) as such. For details, please refer to “Re-registration” on p.11.

You may also provide any other information that you consider as relevant with respect to your registration.

You may upload any other information that you consider as relevant with respect to your registration.

In cases of an authorized person registering to submit the reportable short positions on behalf of all partners, the particulars of all partners in the partnership must be uploaded here in the form of an Excel, Word or PDF file. Please refer to the Notes to the Reportable Short Position Form paragraph 7 for the prescribed format of the particulars.
Re-registration

If there is any change to the information provided at registration such as the change of registered office or contact information, the registrant needs to re-register to obtain a new SPRID for subsequent reporting. You should provide the reason(s) for re-registration and your previous SPRID under the “Remarks” box.
Step 3: Registration acknowledgement

Immediately after successful registration, a registration acknowledgement will be provided on the screen. A SPRID will be assigned to you. **You need to provide your SPRID to complete the final stage of registration. You are recommended to save and/or print the acknowledgement for your record.**

Next, you need to provide this SPRID to complete the registration

You are recommended to save and/or print this acknowledgement for your record
Register multiple entities

To facilitate registrations of multiple entities, a button “Make another registration” is available on the Registration Acknowledgement screen that you will see after each registration. This button will enable you to retain part of the mandatory information such as the correspondence address, contact information, etc. from the previous registration such that you do not need to re-enter them again for immediate subsequent registration(s).
Step 4: Registration activation—email

Upon successful registration, an email will be sent to the email address of the primary contact person. You are advised to complete the activation within 5 calendar days after registration, otherwise the registration will be invalidated and the SPRID cannot be used for reporting. Re-registration will then be required.

1. Click the link in the email

2. Enter your SPRID here
SPRID expiry

An activated SPRID will be expired and cannot be used for reporting if it has not been used for submission for a long period of time, currently set as one year. Re-registration will be required prior to any submission.

3. You may now submit your reportable short positions.
Step 5: To complete the Reportable Short Position Form

Please refer to the Notes to the Reportable Short Position Form for directions on how to complete this Reportable Short Position Form.

To file your reportable short positions, please click “Reportable Short Position Form” to begin.

For agent reporting, the information filled in here represents that of the agent. The SPRID and the name shall be different from that in the Reportable short position particulars (or CSV template) mentioned below.

For reporting of short positions held by a partnership, the information filled in here shall belong to the person authorized by all partners to report whereas the SPRID in CSV template shall be the partnership itself.

The CSV template shall contain SPRID(s) of the person(s) who have the reportable short positions. They can be different from the “person filing the Form” mentioned above.

Please refer to the Appendix for the detail specification of the CSV template.

Toolips with more explanations are available next to the major mandatory fields for ease of completing the Form.
Step 6: Submission acknowledgement

Immediately after a short position report has been successfully submitted, an acknowledgement receipt with a submission reference will be provided on the screen. You are recommended to save and/or print the acknowledgement receipt for your record. You may also “Submit Another Form” or go back to Home page.

On-screen submission acknowledgement

Besides the on-screen submission acknowledgement after each successful submission, a submission acknowledgement email will be sent to the primary contact person provided at registration and, if applicable, to the primary contact person provided in the Form after each submission. Owing to security concern, only minimum amount of information will be provided in the submission acknowledgement email.
Submission acknowledgement email

Subject: Short Position Reporting Service - Submission Acknowledgement

Besides the on-screen submission acknowledgement, this email serves as an additional acknowledgement receipt of your submission of Reportable Short Position Form with the following details:

Submission Reference: SFC12107PT238L

Submitted by (SPRID) EUEQSM9JBP

Reporting Day: 13-April-2012

Submission Date and Time: 16-April-2012 4:06 PM

Yours faithfully,

Supervision of Markets
SECURITIES AND FUTURES COMMISSION

Amendment to submissions

Partial amendment or withdrawal on the reportable short position particulars is not supported. You can only re-submit the whole Reportable Short Position Form to supersede the previous submission. Appropriate remarks including the reason(s) for re-submission and the previous submission reference number (for example, SFC12107PT238L) specified in the previous submission acknowledgement must be provided.

Re-submission must be done before the reporting deadline, otherwise, it may be treated as a late submission.
3. Other functions

Forgot SPRID

If you have forgotten your SPRID, you may retrieve it by clicking “Forgot SPRID”. You will need to input the email address of the primary contact person provided at registration and your SPRID will be sent to that email account.
Related information

Please click the box for more information relating to the short position reporting regime, which will bring you to the Short Position Reporting web corner where you can find other reference materials.

Alternatively, you may visit our Short Position Reporting web corner at http://www.sfc.hk/web/EN/regulatory-functions/market-infrastructure-and-trading/short-position-reporting/
4. Arrangement for system breakdown

Please refer to Frequently Asked Questions E-2.

5. Specification of internet browser for electronic submission

To use the SPR Service, Microsoft Internet Explorer 11 is recommended. Cookies and JavaScript must be enabled on the browser. If you experience any issues in using the SPR Service with other browsers, please download Microsoft Internet Explorer 11 from Microsoft. More details are available from the official website of Microsoft.

6. Security tips

It is available for download from the SPR Service.
7. Contact us

To report any problem encountered when using the SPR Service, please provide the following information if available:

- Date and time of encountering the problem;
- SPRID(s) involved;
- System messages or screen-dumps;
- Actions leading to the problem, etc.

Contact Us

For general enquiries not related to the Short Position Reporting Service, please click here.

For enquiries on the Short Position Reporting Service:

By E-mail : shortpositions@sfc.hk

By Post : Supervision of Markets Division
            Securities and Futures Commission
            35/F, Cheung Kong Center
            2 Queen’s Road Central Hong Kong

            Please state on the envelope: Short Position Reporting Enquiries

By Fax : (852) 2521-7917
Appendix: File format and technical specification of the CSV template

Description

This is the data file specification of the CSV template (Reportable short position particulars) to be uploaded using SPR Service. The format of the data file must strictly follow the specification in the Notes to the Reportable Short Position Form paragraphs 15 and 16.

Here is a blank CSV template:
File format

Comma Separated Value (CSV) file with fixed numbers of fields on each row.

Detailed format of the data file

The file must contain 6 fields per row and the first row of the file must be field headers described as below. Each field must be separated by a comma. A blank template with prescribed field header can be downloaded from SPR Service. For example, the data in CSV format should look like:

- Short Position Reporting ID,Name,Stock code of the specified shares,Stock name of the specified shares,Reportable Short Position (No. of shares),Net short position value
- G3VA8F69MT,ABC Ltd,5,HSBC HOLDINGS,1000000,65250000
- G3VA8F69MT,ABC Ltd,1,CKH HOLDINGS,2000004,208200416.4
- EUEQSM9JBP, ABC Hedge Fund,941,CHINA MOBILE,1000005,75850379.25

Please note that a CSV template may contain multiple SPRIDs in cases of agent reporting.

File size limit

The maximum number of rows (excluding the field headers) that a CSV template should contain is 5000. If the template contains more than 5000 rows (excluding the field headers) or exceeds 5MB in size, you must split it into multiple templates and submit them separately. For each short position submission, only 1 template can be uploaded.
List of specified shares

With effect on 15 March 2017, reporting will be required for reportable short positions in all Designated Securities eligible for short selling specified by The SEHK. The list of Designated Securities is available on the HKEX’s website (http://www.hkex.com.hk/services/trading/securities/securities-lists/designated-securities-eligible-for-short-selling?sc_lang=en). It can be viewed online or downloaded in CSV format. The CSV file contains the stock code, stock short name, currency and the security type of a security (i.e. collective investment schemes or shares⁵) which may have a different reporting threshold.

You are highly recommended to download the list of Designated Securities (List) and use the exact stock code and stock name in the List to prepare the template for submission. CSV template must contain only short positions in the Designated Securities. CSV template which contains short positions on shares which are not Designated Securities will be rejected by the SPR Service.

Example (1): if the “Date of reporting day” under the Form is chosen to be 20 October 2017, you should use the List with the Effective Date which is 19 October 2017.

Example (2): if the “Date of reporting day” under the Form is chosen to be 3 November 2017, you should use the List with Effective Date which is 3 November 2017.

⁵ Collective investment schemes and shares are referred to as “TRST” and “EQTY” in the CSV file respectively.