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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**), 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 [website](#)³. Starting from 15 March 2017, the SFC will cease publishing the List of Specified Shares on its website.

Revision History

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

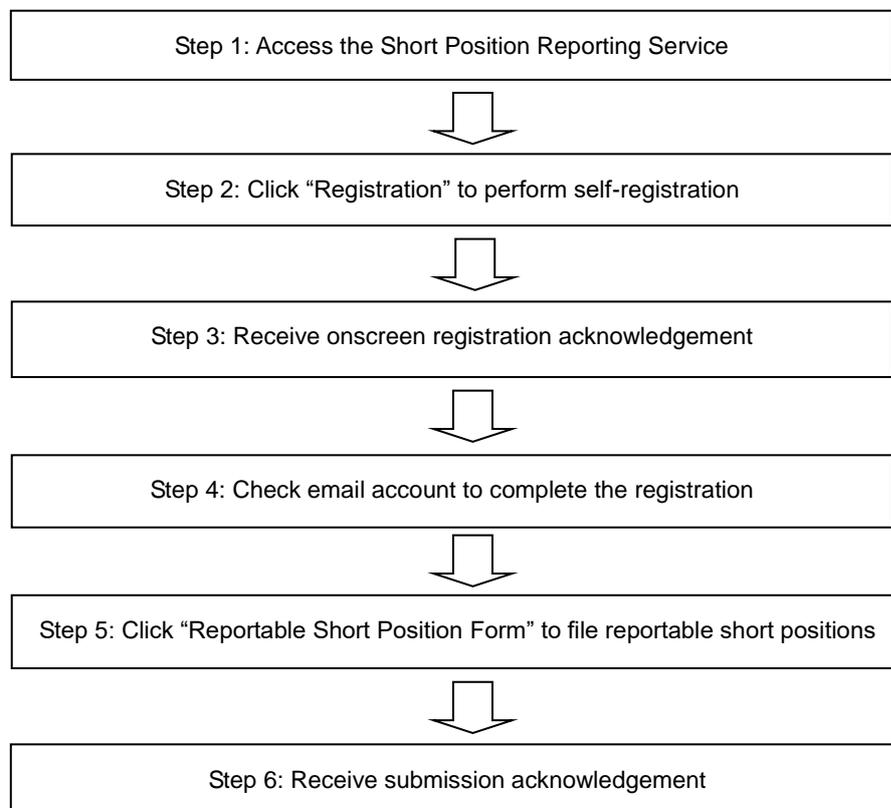
¹ To view the Rules, please click <https://www.elegislation.gov.hk/> and key in “571AJ” in the “Quick Search” box and press “Go To”

² <http://www.sfc.hk/web/EN/regulatory-functions/market-infrastructure-and-trading/short-position-reporting/>

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)



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.



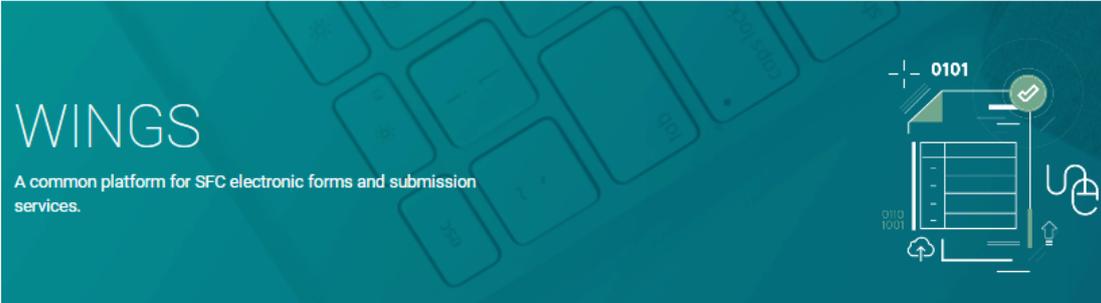
The screenshot shows the SFC website interface. At the top, there is a navigation bar with the SFC logo and name in both English and Chinese. Below this is a search bar and several utility buttons like 'Media corner', 'Subscribe', 'Forms', and 'FAQs'. A horizontal menu contains categories such as 'About the SFC', 'Regulatory functions', 'Rules & standards', 'Published resources', 'News & announcements', and 'Career'. The main content area features a 'Regulatory update' section with a 'Regulatory Calendar' and 'See all' link. Below this is a 'SFC Compliance Bulletin: Intermediaries' section with a line graph showing 'Licensed corporations and individuals' from Mar-14 to Mar-18. The graph data is as follows:

Month	Licensed corporations	Individuals
Mar-14	1,970	36,970
Mar-15	2,068	37,783
Mar-16	2,208	39,207
Mar-17	2,484	40,267
Mar-18	2,702	41,536

Below the graph is a 'View now' button highlighted with a red box. A callout box with the text '1. Click "View Now"' has an arrow pointing to this button. To the right of the graph is a 'Regulatory update' section with a 'Regulatory Calendar' and 'See all' link. Below this is a 'Latest news' section with links to 'Latest news', 'Circulars', 'Consultations & conclusions', and 'Recent publications', each with a 'See all' link. At the bottom left is an 'e-Submission Services' section with a list of services and a 'View now' button. At the bottom right is a 'Licensee search' section with a search bar and radio buttons for 'Individual' and 'Corporate'. At the very bottom is an 'SFC Alert' section with a 'Full list >' link.

WINGS

A common platform for SFC electronic forms and submission services.





Business and Risk Management Questionnaire

Licensed corporations and associated entities should submit the business and risk management questionnaire within 4 months after the end of the financial year to the Securities and Futures Commission.

[Access the Questionnaire](#) [Submit Online](#)



Licensing applications, notifications and returns

You can submit licensing applications, notifications and annual returns, and pay annual fees and application fees here.

[Access the SFC Online Portal](#)



Investment product information

You can submit investment product information here.



Financial returns

Licensed corporations should use the electronic forms available here to submit returns as required under the Securities and Futures (Financial Resources) Rules.

[Download Form](#) [Submit Online](#)



Short position reporting

Any person who has a reportable short position is required to submit notifications to the SFC here.

[New User](#) [Submit Online](#)



Rule 22 dealing disclosures

Any parties or associates who may exercise material influence over the outcome of an offer must make timely and accurate disclosures of information about their dealings.

[Download Form](#) [Submit Online](#)

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.



The screenshot shows the homepage of the Short Position Reporting Service. On the left, a vertical menu lists several options: Registration, Reportable Short Position Form, Forgot SPRID, CSV Template, Notes to the Reportable Short Position Form, User Guide, Personal Information Collection Statement, and Related Information. On the right, a main content area provides instructions for new users, listing three key documents to read: Securities and Futures (Short Position Reporting) Rules, Notes to the Reportable Short Position Form, and Personal Information Collection Statement. Arrows from callout boxes on the left point to these specific menu items and content areas.

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 website⁴

Home | Maintenance schedule | Security Tips | Contact Us | 中文

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Short Position Reporting Service

If you are new to the Short Position Reporting Service, please read through the following documents prior to registration or any filing:

- [Securities and Futures \(Short Position Reporting\) Rules](#);
(To view the above rules, please click [here](#) and key in "571AJ" in the "Go To Chapter" box and press "Enter".)
- [Notes to the Reportable Short Position Form](#); and
- [Personal Information Collection Statement](#).

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⁴ <http://www.sfc.hk/web/EN/regulatory-functions/market-infrastructure-and-trading/short-position-reporting/>

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



Registration

Reportable Short Position Form

Forgot SPRID

CSV Template

Notes to the Reportable Short Position Form

User Guide

Personal Information Collection Statement

Related Information

Short Position Reporting Servi

Registration

* Mandatory field(s)

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

Registrant Information

Name *: ABC Hedge Fund

Identification Document Type *: International Securities Identification Number (ISIN)
Please specify (if Others)

Identification Number *: GB1234567890

Registered Office / correspondence address *: 5th Floor,
20 St. James Street,
London

Postal Code: SW2 1DH

Country / Region *: U.K.
Please specify (if Others)

Nature of Business *: Hedge Fund
Please specify (if Others)

Corporate Website: www.abc-hedgefund.co.uk

- SFC Central Entity Reference
- Bank Identifier Code (BIC)
- International Securities Identification Number (ISIN)
- Certificate of Incorporation
- Stock Borrowing and Lending Agreement (SBA)
- Hong Kong Business Registration
- Hong Kong Identity Card
- Passport
- Others

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.

- Broker Dealer
- Fund Manager
- Fund other than hedge fund
- Hedge Fund
- Investment Bank
- Market Maker
- Trustee Service
- Others

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.

<u>Contact Information</u>	
Primary contact:	Secondary contact:
Contact Person *:	Contact Person:
<input type="text" value="Lee"/>	<input type="text" value="Chan"/>
Surname	Surname
<input type="text" value="Tommy"/>	<input type="text" value="May"/>
First / Other Name	First / Other Name
Email Address *:	Email Address:
<input type="text" value="tommy.lee@abc.co.uk"/>	<input type="text" value="may.chan@abc.co.uk"/>
Contact No. *:	Contact No.:
<input type="text" value="(44) 207 1234567"/>	<input type="text" value="(44) 207 1234569"/>
Fax No.:	Fax No.:
<input type="text" value="(44) 207 1234568"/>	<input type="text" value="(44) 207 1234568"/>

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

Additional Information

Is this your first time registration? * Yes No

Remarks:

Supporting Document:

I would like to subscribe news related to Short Position Reporting

Security Code *: X3xmc

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.

After filling in all the information, please click “Register” to submit your registration

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 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.**

Registration for Lodging Reportable Short Position Form

Registration Acknowledgement

Registration is not yet completed. An email has been sent to the email address of the primary contact person. Please follow the instructions in the email to complete the registration. Please ensure that you have the SPRID below in hand as you need to provide it at the final stage to complete the registration.

Registrant Information

SPRID :	EUEQSM9JBP	
Registration Date and Time :	16-April-2012 2:47:59 PM	
Name :	ABC Hedge Fund	
Identification Document Type :	International Securities Identification Number (ISIN)	
Identification Number :	GB1234567890	
Registered Office / correspondence address :	5th Floor, 20 St. James Street, London	
Postal Code :	SW2 1DH	
Country / Region :	U.K.	
Nature of Business :	Hedge Fund	
Corporate Website :	www.abc-hedgefund.co.uk	

Contact Information

	Primary	Secondary
Contact Person :	Lee Tommy	Chan May
Email Address :	tommy.lee@abc.co.uk	may.chan@abc.co.uk
Contact No. :	(44) 207 1234567	(44) 207 1234569
Fax No. :	(44) 207 1234568	(44) 207 1234588

Additional Information

First time registration : Yes

Remarks :

Supporting Document :

I would like to subscribe news related to Short Position Reporting : Yes

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

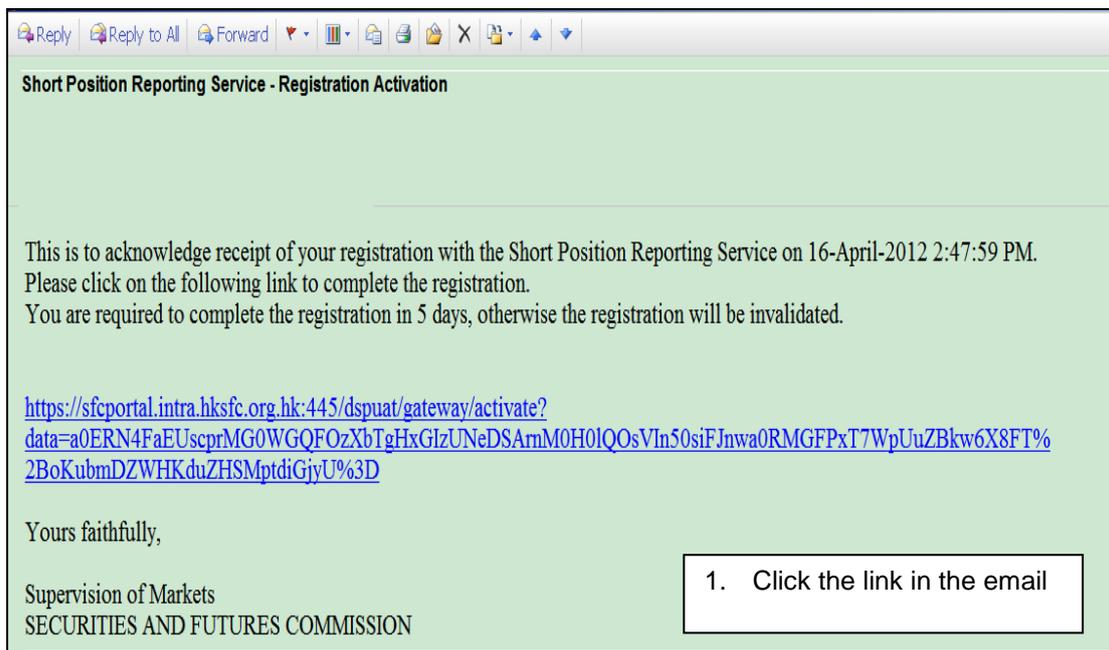
You are recommended to save and/or print this acknowledgement for your record

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.**



Short Position Reporting Service - Registration Activation

This is to acknowledge receipt of your registration with the Short Position Reporting Service on 16-April-2012 2:47:59 PM. Please click on the following link to complete the registration. You are required to complete the registration in 5 days, otherwise the registration will be invalidated.

<https://sfcportal.intra.hksec.org.hk:445/dspuat/gateway/activate?data=a0ERN4FaEUscprMG0WGQFOzXbTgHxGizUNeDSAmM0H0IQOsVln50siFJnwa0RMGFPxT7WpUuZBkw6X8FT%2BoKubmDZWHKduZHSMptdiGjyU%3D>

Yours faithfully,

Supervision of Markets
SECURITIES AND FUTURES COMMISSION

1. Click the link in the email



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Short Position Reporting Service

Registration

Reportable Short Position Form

Forgot SPRID

CSV Template

Notes to the Reportable Short Position Form

User Guide

Personal Information Collection Statement

Related Information

Please enter your SPRID *:

Security Code *:

2. Enter your SPRID here

ky5d6f

ky5d6f

Refresh

Clear Submit

Short Position Reporting Service

<p>Registration</p> <hr/> <p>Reportable Short Position Form</p> <hr/> <p>Forgot SPRID</p> <hr/> <p>CSV Template</p> <hr/> <p>Notes to the Reportable Short Position Form</p> <hr/> <p>User Guide</p> <hr/> <p>Personal Information Collection Statement</p> <hr/> <p>Related Information</p>	<p>Registration completed</p> <p>Please click here to proceed to submit the Reportable Short Position Form.</p> <div style="border: 1px solid black; padding: 10px; margin: 10px auto; width: 60%;"><p>3. You may now submit your reportable short positions.</p></div>
--	---

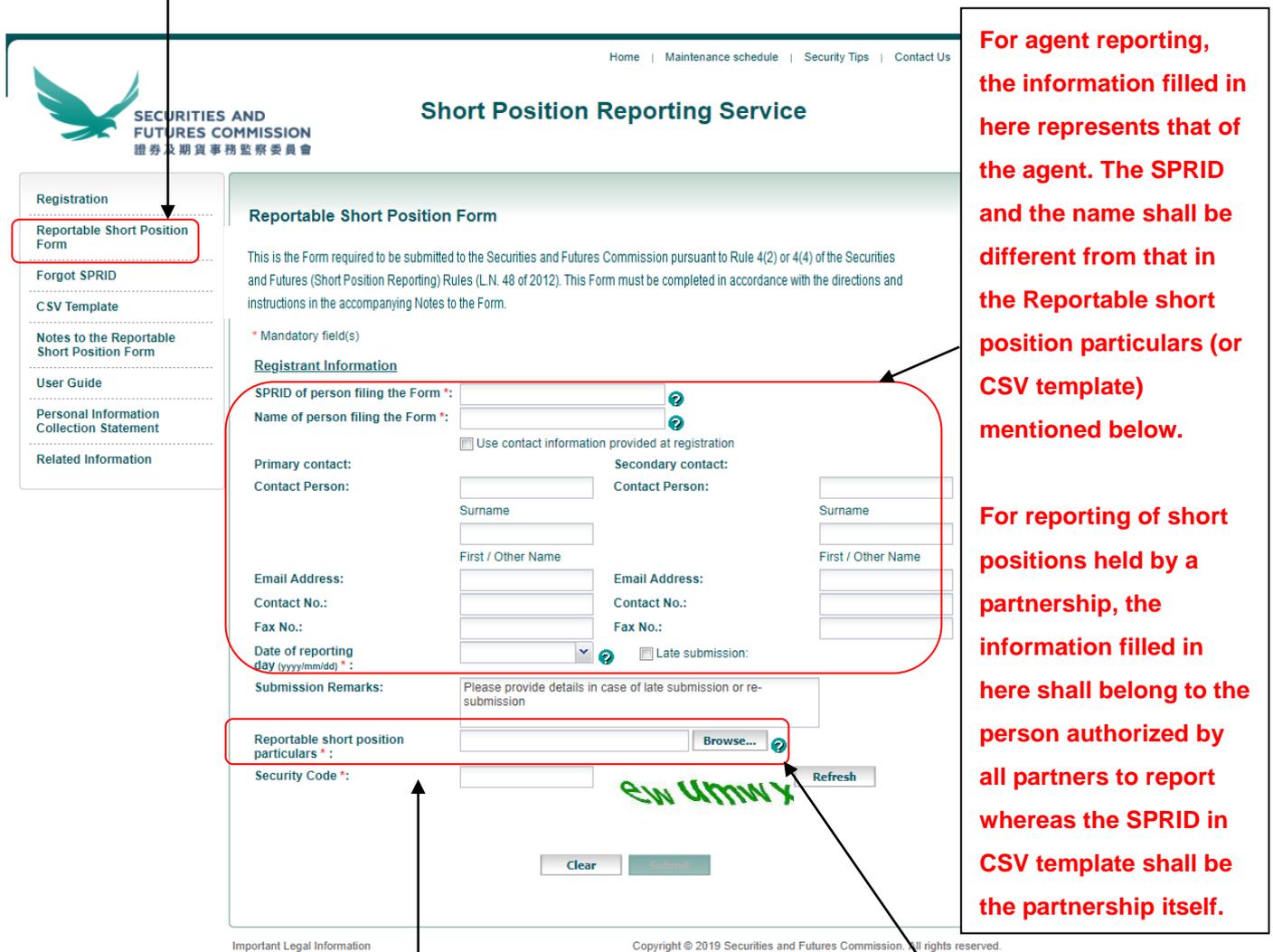
SPRID expiry

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.

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.

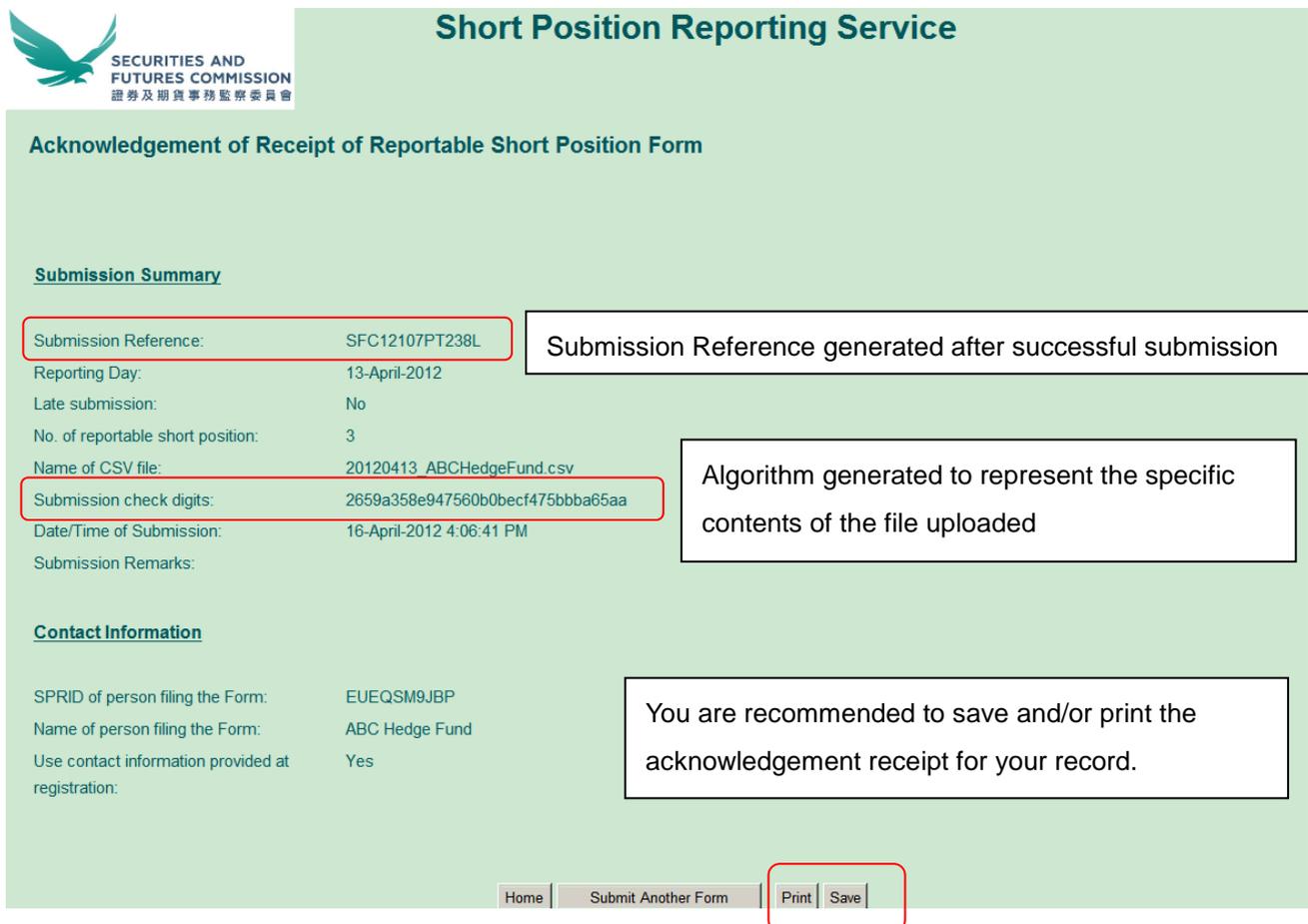
Tooltips  with more explanations are available next to the major mandatory fields for ease of completing the Form.

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

[Home](#) | [Security Tips](#) | [Contact](#)



Short Position Reporting Service

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Acknowledgement of Receipt of Reportable Short Position Form

Submission Summary

Submission Reference:	SFC12107PT238L	Submission Reference generated after successful submission
Reporting Day:	13-April-2012	
Late submission:	No	
No. of reportable short position:	3	
Name of CSV file:	20120413_ABCHedgeFund.csv	Algorithm generated to represent the specific contents of the file uploaded
Submission check digits:	2659a358e947560b0becf475bbba65aa	
Date/Time of Submission:	16-April-2012 4:06:41 PM	
Submission Remarks:		

Contact Information

SPRID of person filing the Form:	EUEQSM9JBP	You are recommended to save and/or print the acknowledgement receipt for your record.
Name of person filing the Form:	ABC Hedge Fund	
Use contact information provided at registration:	Yes	

Home | Submit Another Form | **Print | Save**

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.



The screenshot displays the 'Short Position Reporting Service' interface. On the left, a navigation menu includes 'Forgot SPRID', which is highlighted with a red box and an arrow pointing to the main content area. The main content area is titled 'Retrieval of Short Position Reporting ID' and contains a form with the following elements:

- A text input field for the email address, containing 'tommylee@abc.co.uk', with a red box around it and a callout '2. Enter your email address'.
- A 'Security Code *:' field containing 'chxxkm', with a callout '1. Click “Forgot SPRID”' pointing to the 'Forgot SPRID' link in the menu.
- A 'Refresh' button next to the security code field.
- 'Clear' and 'Submit' buttons at the bottom of the form.

At the bottom of the page, there is a footer with 'Important Legal Information' and 'Copyright © 2019 Securities and Futures Commission. All rights reserved.'

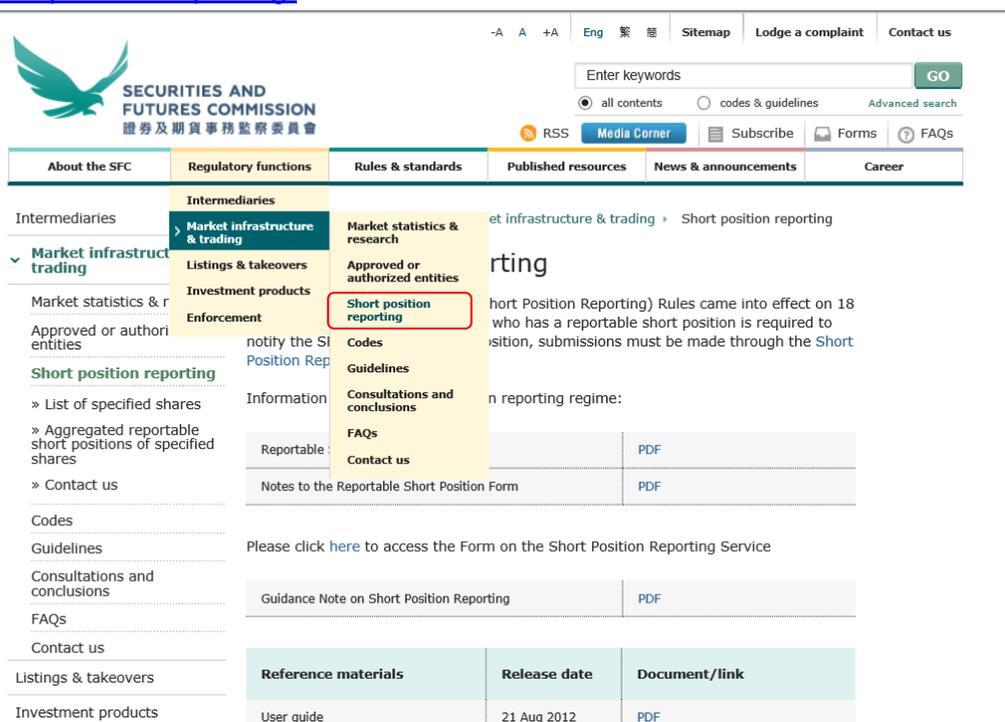
Related information

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.



The screenshot shows the 'Short Position Reporting Service' page. On the left, there is a navigation menu with the following items: Registration, Reportable Short Position Form, Forgot SPRID, CSV Template, Notes to the Reportable Short Position Form, User Guide, Personal Information Collection Statement, and Related Information. The 'Related Information' item is highlighted with a red rectangular box. The main content area contains a heading 'Short Position Reporting Service' and a list of links: '- Securities and Futures (Short Position Reporting) Rules;', '- Notes to the Reportable Short Position Form; and', and '- Personal Information Collection Statement.' Below the screenshot, there is a footer with 'Important Legal Information' and 'Copyright © 2019 Securities and Futures Commission. All rights reserved.'

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/>



The screenshot shows the 'Short Position Reporting' web corner. The top navigation bar includes 'Eng 繁體', 'Sitemap', 'Lodge a complaint', and 'Contact us'. Below this is a search bar and a menu with 'RSS', 'Media Corner', 'Subscribe', 'Forms', and 'FAQs'. The main content area has a sidebar with 'Market infrastructure & trading' expanded, showing 'Short position reporting' highlighted in a red box. The main content area contains a table with 'Reference materials', 'Release date', and 'Document/link' columns. The table lists the 'User guide' with a release date of '21 Aug 2012' and a 'PDF' link.

Reference materials	Release date	Document/link
User guide	21 Aug 2012	PDF

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.



The screenshot shows the homepage of the Short Position Reporting Service. At the top right, there is a navigation menu with links for Home, Maintenance schedule, Security Tips (highlighted with a red box), Contact Us, and 中文. The main header features the Securities and Futures Commission logo and the title "Short Position Reporting Service". On the left side, there is a vertical menu with links for Registration, Reportable Short Position Form, Forgot SPRID, CSV Template, Notes to the Reportable Short Position Form, User Guide, Personal Information Collection Statement, and Related Information. The main content area contains a message for new users: "If you are new to the Short Position Reporting Service, please read through the following documents prior to registration or any filing: - Securities and Futures (Short Position Reporting) Rules; (To view the above rules, please click [here](#) and key in "571AJ" in the "Go To Chapter" box and press "Enter".) - Notes to the Reportable Short Position Form; and - Personal Information Collection Statement." At the bottom, there are links for "Important Legal Information" and "Copyright © 2019 Securities and Futures Commission. All rights reserved."

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.



The screenshot shows the header of the Short Position Reporting Service page. It features the Securities and Futures Commission logo on the left, followed by the text 'SECURITIES AND FUTURES COMMISSION' and '證券及期貨事務監察委員會'. To the right of the logo is the title 'Short Position Reporting Service'. Below the header is a light green bar with the text '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

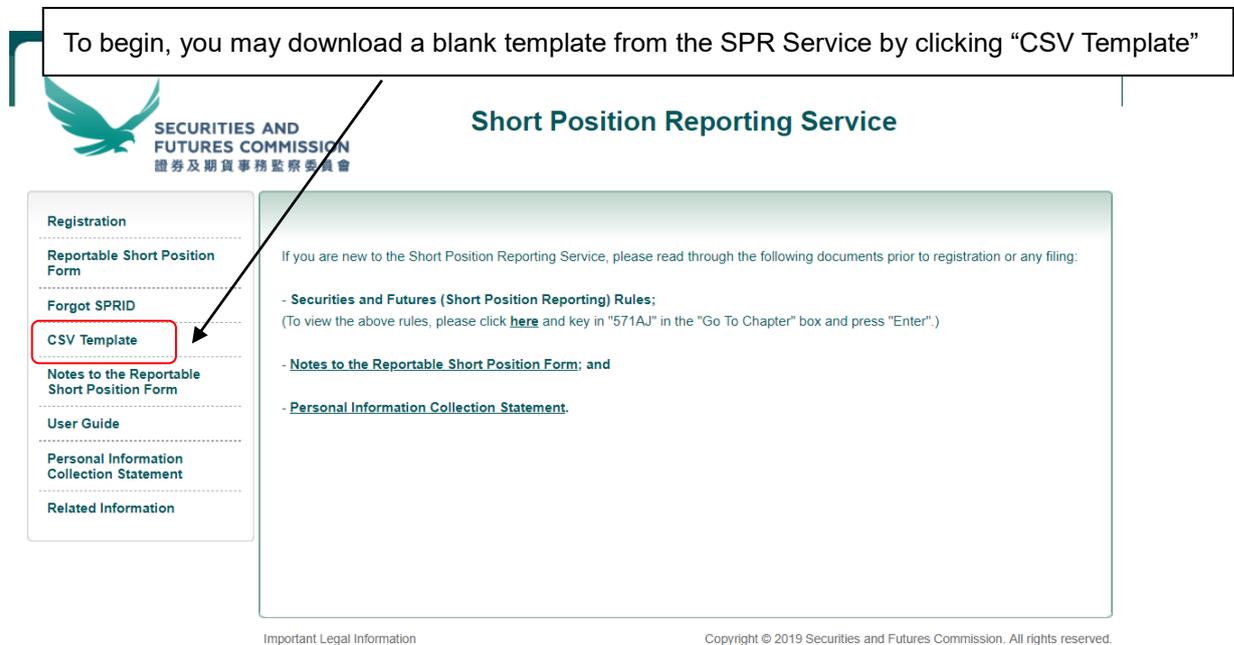
By Fax : (852) 2521-7917

Appendix: File format and technical specification of the CSV template

Description

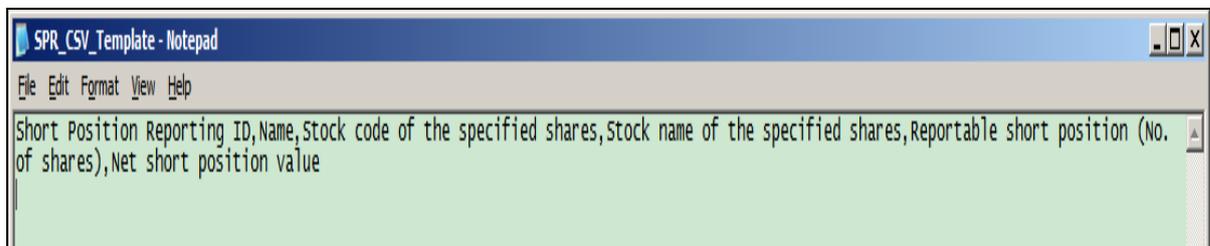
This is the data file specification of the CSV template (Reportable short position particulars) to be uploaded using SPR Service. The format of the data file must strictly follow the specification in the **Notes to the Reportable Short Position Form paragraphs 15 and 16.**

To begin, you may download a blank template from the SPR Service by clicking “CSV Template”



The screenshot shows the 'Short Position Reporting Service' page. On the left is a navigation menu with links: Registration, Reportable Short Position Form, Forgot SPRID, **CSV Template** (highlighted with a red box), Notes to the Reportable Short Position Form, User Guide, Personal Information Collection Statement, and Related Information. The main content area contains instructions for new users and lists documents to read: Securities and Futures (Short Position Reporting) Rules, Notes to the Reportable Short Position Form, and Personal Information Collection Statement. At the bottom, it says 'Important Legal Information' and 'Copyright © 2019 Securities and Futures Commission. All rights reserved.'

Here is a blank CSV template:



SPR_CSV_Template - Notepad

File Edit Format View Help

```
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
```

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:



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

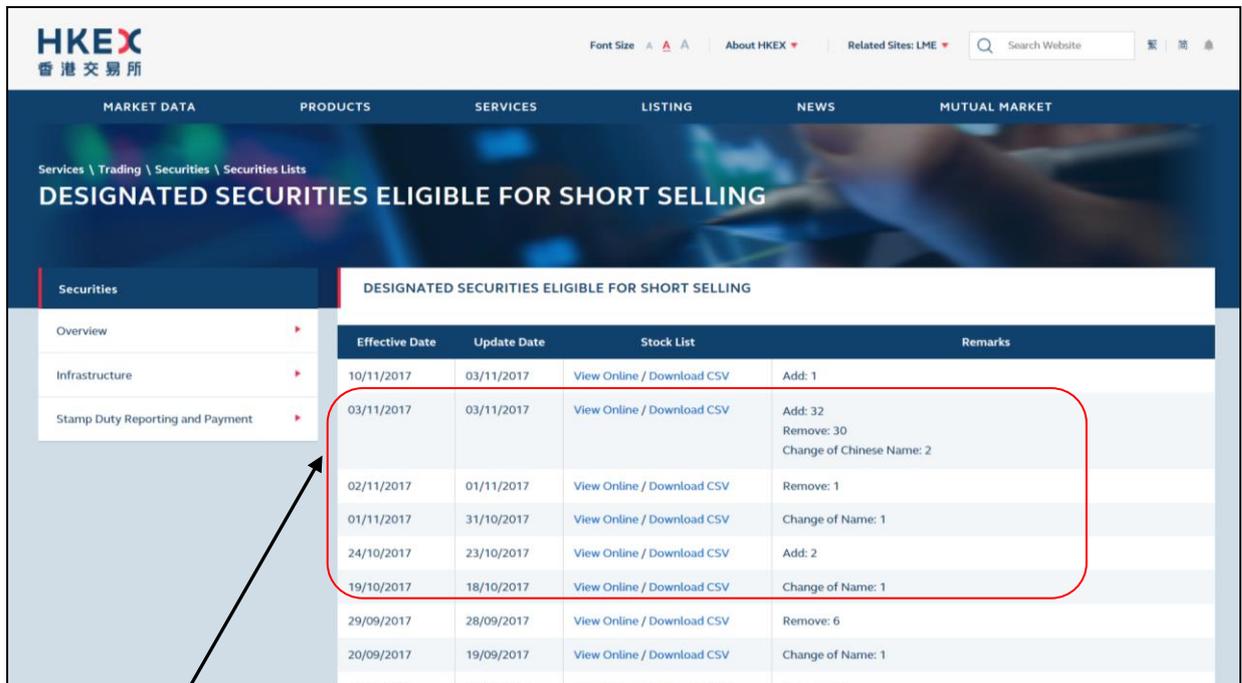
File size limit

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.**



Effective Date	Update Date	Stock List	Remarks
10/11/2017	03/11/2017	View Online / Download CSV	Add: 1
03/11/2017	03/11/2017	View Online / Download CSV	Add: 32 Remove: 30 Change of Chinese Name: 2
02/11/2017	01/11/2017	View Online / Download CSV	Remove: 1
01/11/2017	31/10/2017	View Online / Download CSV	Change of Name: 1
24/10/2017	23/10/2017	View Online / Download CSV	Add: 2
19/10/2017	18/10/2017	View Online / Download CSV	Change of Name: 1
29/09/2017	28/09/2017	View Online / Download CSV	Remove: 6
20/09/2017	19/09/2017	View Online / Download CSV	Change of Name: 1

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.