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Appendix B VALUATION SUBMISSION THROUGH CSV FORMAT

The valuation request can be submitted in CSV format. By making use of the Excel templates, user can generate request files in CSV format and submit them to the HKTR-R system. For every CSV-formatted request file submitted to the HKTR-R system, a response file will be returned to the participant in CSV format.

B.1 List of Excel Templates

The following table lists the Excel templates that are provided to the participants for the generation of the valuation request files in CSV format.

Excel Template	Description	Applicable Product Taxonomy
Valuation View		
Reporting All Standard and Other (Valuation)	Request the valuation.	All
Others		
Reporting - Valuation Response	Response of the valuation.	All

B.2 Excel Templates

A user can use the Excel templates to generate the CSV request files for the submission of valuation. The procedures of valuation submission can be found in the worksheet “Introduction” of the Excel templates.

B.2.1 Worksheet in the Excel Templates

Worksheet	Description	Action button provided in the worksheet
Introduction	Introduction of the Excel template. - Excel template published version - Description of the worksheet - Request File Structure - Trade submission procedures - Notes	
Field Definition - File	The field definition of the file level request.	
Field Definition - Valuation	The field definition of the valuation level request.	
Input Template - File	User enters a single record for the file level request in this worksheet.	
Input Template - Valuation	User enters one or more records for the valuation level request in this worksheet. User should be noted that Excel has autocorrect feature which converts input value implicitly to another one. This may lead to rejection or acceptance with distorted meaning for trade submission. For example, input value “(c)” will be converted to “©”, etc.	“Preview” button: To preview the information of the request before generating the CSV file.
Preview	When the user presses the “Preview” button in the “Input Template - Valuation” worksheet, the request data will be populated in this worksheet to allow the user to preview the information of the request before generating the CSV file.	“Generate CSV” button: To Generate the CSV file.

B.2.2 Data Type

String: It is expressed as:

- X(n) where n is the fixed number of characters;
- Please refer to the characters set and case sensitivity handling in AIDG main document section 4.3 and 4.4 respectively for data field input requirement.

Numeric: It is expressed as:

- 9(n).9999 where at most n in its integral part, and at most 4 digits in its decimal part.

Date: It is expressed as:

- YYYY-MM-DD where YYYY is the year, MM is the month, DD is the date.

Date and Time: It is expressed as:

- YYYY-MM-DD hh:mm:ss where YYYY is the year, MM is the month, DD is the date, hh is the hour, mm is the minute, ss is the second.

B.2.3 Validation in the Excel Templates

When a user presses the “Preview” button to preview the output CSV data, the following validation will be performed for the applicable fields:

- Existence of required fields
- Length / format of fields (For fields with single value, the length and format of string, numeric, date and time will be validated; For fields with multiple values, only the length of the whole string will be validated)
- Input of N/A fields

B.3 CSV File Structure

B.3.1 Request File Structure

Each request file will contain a file level request record and one or more valuation level request records.

B.3.1.1 File Level Request Record

Data Field	Description
Version	The version of the CSV request.
File Reference	A unique file reference to identify the whole submission of requests assigned by user. This file reference will be carried forward to the response file for user to correlate the requests.
Purpose	Purpose of the file
Submitting Party (Type)	Type of “Submitting Party” Remarks: Please refer to the Excel template for the valid values.
Submitting Party (ID)	The TR participant who submits the valuation.
Reporting Party (Type)	Type of “Reporting Party” Remarks: Please refer to the Excel template for the valid values.
Reporting Party (ID)	The TR participant who reports the valuation.
Number of Valuation Requests	Total number of valuation requests in the csv file.

B.3.1.2 Valuation Level Request Record

For the field definitions of a valuation request, refer to the corresponding Excel template listed in B.1.

B.3.2 Response File Structure

Each response file will contain a file level response record and one or more valuation level response records.

B.3.2.1 File Level Response Record

Data Field	Description
File Reference	A unique file identifier generated by the HKTR-R system to submitting party for reference.
Response Generation Timestamp	The time at which the response file is generated.
Recipient (Type)	Type of recipient
Recipient (ID)	The TR participant who receives the response. Generally speaking, it should be identical to the submitting party specified in the request document.
Reporting Party (Type)	Party Type of “Reporting Party”
Reporting Party (ID)	The TR participant who reports the valuation.
Request File Name	The original request file name submitted by the submitting party.
Request File Reference	The file reference of the original request document.
Request File Capture Timestamp	The timestamp at which the request file is captured.
Number of Valuation Responses	<p>It returns the number of response record to be returned to the user.</p> <p>If there is no file level exception, the number of requests processed should be the same as the number of requests contained in the request document.</p> <p>If file level exception occurs and the system does not process detail request, the field will be blank, and the exception information can be acquired in “reason” block in the same header.</p>

Data Field	Description
Reason Code	<p>It carries success return code if there is no file level exception but carries the error code with reason description if file level exception occurs.</p> <p>User should not mix up this reason code with the code returned for each valuation request. Even the system processed all valuation requests and all are rejected, this field will still carry success return code since no file level exception occurs.</p>
Reason Description	<p>Reason description corresponding to the Reason Code.</p> <p>The field is not present if the Reason Code is success return code.</p>

B.3.2.2 Valuation Level Response Record

Data Field	Description
General	
Valuation Response ID	It is the unique valuation response ID generated by HKTR-R system.
In Reply To	<p>A copy of the unique message identifier to which this message is responding.</p> <p>It is the valuation Request ID specified by user on the request message corresponding to this response.</p> <p>Under critical exception that the valuation Request ID of the original request cannot be acquired, there will be no values for this element.</p>
Sent By	Indicates the system which this response file is generated from. It should be "HKTR".
Send To (Type)	Type of "Send To"
Send To (ID)	The TR participant who submits the valuation.
Creation Timestamp	The date and time of the HKTR-R system when this message instance was created.
Correlation ID	A unique valuation request reference generated by HKTR-R system when a valuation is successfully upload without errors.

Data Field	Description
Result	
On Behalf Of (Type)	Type of "On Behalf Of"
On Behalf Of (ID)	<p>If the original request is submitted by an agent on behalf of reporting party, the field carries the reporting party's input ID.</p> <p>If the original request is submitted by reporting party itself, there will be no values for this field.</p>
Status	<p>Defines the status of a valuation request.</p> <p>For the valid values of Status, please refer to "ValuationRequestStatus" as stipulated in the worksheet of "Reporting - Ref - Enumerations and coding schemes.xlsx"</p>
TR Trade Reference	The HKTR-R system will return the TR Trade Reference if the valuation status is "Completed".
Rejection	
Reason Code 1	<p>Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations.</p> <p>If the valuation is successfully captured, there will be no values for this element.</p>
Reason Description 1	Reason description corresponding to the Reason Code 1.
Reason Code 2	<p>Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations.</p> <p>If the valuation is successfully captured, there will be no values for this element.</p>
Reason Description 2	Reason description corresponding to the Reason Code 2.
Reason Code 3	<p>Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations.</p> <p>If the valuation is successfully captured, there will be no values for this element.</p>
Reason Description 3	Reason description corresponding to the Reason Code 3.
Reason Code 4	<p>Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations.</p> <p>If the valuation is successfully captured, there will be no values for this element.</p>

Data Field	Description
Reason Description 4	Reason description corresponding to the Reason Code 4.
Reason Code 5	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 5	Reason description corresponding to the Reason Code 5.
Reason Code 6	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 6	Reason description corresponding to the Reason Code 6.
Reason Code 7	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 7	Reason description corresponding to the Reason Code 7.
Reason Code 8	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 8	Reason description corresponding to the Reason Code 8.
Reason Code 9	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 9	Reason description corresponding to the Reason Code 9.
Reason Code 10	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 10	Reason description corresponding to the Reason Code 10.

Data Field	Description
Reason Code 11	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 11	Reason description corresponding to the Reason Code 11.
Reason Code 12	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 12	Reason description corresponding to the Reason Code 12.
Reason Code 13	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 13	Reason description corresponding to the Reason Code 13.
Reason Code 14	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 14	Reason description corresponding to the Reason Code 14.
Reason Code 15	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 15	Reason description corresponding to the Reason Code 15.
Reason Code 16	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 16	Reason description corresponding to the Reason Code 16.
Reason Code 17	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.

Data Field	Description
Reason Description 17	Reason description corresponding to the Reason Code 17.
Reason Code 18	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 18	Reason description corresponding to the Reason Code 18.
Reason Code 19	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 19	Reason description corresponding to the Reason Code 19.
Reason Code 20	Reason code of rejection / cancellation appears if the valuation fails to meet HKTR-R validations. If the valuation is successfully captured, there will be no values for this element.
Reason Description 20	Reason description corresponding to the Reason Code 20.

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