China Investment Information Services Ltd.

(A wholly owned subsidiary of Shanghai Stock Exchange)

Monthly Subscriber Report
Submission Guideline

Contact Us: reports@ciis.com.hk

(Last update: 13 July 2020)

Table of Contents

(1) Fill in the Report content

Part I - Summary page

Fields	Description
Reporting Year	The year in which the number of subscriber units and the amount of subscriber fees reported by IVs. Format in [YYYY].
Reporting Month	The month in which the number of subscriber units and the amount of subscriber fees reported by IVs. Select the month from drop down menu.
Contact Name	The name of person who is responsible for the subscriber report submission.
Contact Email	The email of person who is responsible for the subscriber report submission.
No. of Unit	The no. of subscriber units reported by IVs for each fee type. In numeric format.
Total Fee (USD)	This field is set formula and will auto calculate the Total subscriber fee after entering the No. of Unit.

Example of Summary of Subscriber Report:

Basic Information

Client Name	ABC Company
Client ID (Code)	C0001
Category	CATEGORY_1L2
Minimum Monthly Subscriber Fee	$ 800.000
Reporting Year	2019
Reporting Month	1
Contact Name	Mary Chan
Contact Email	mary@abc.com

Summary of Subscriber Fee

Detailed Description	Fee Type	Fee per Unit (USD) (i)	No. of Unit (ii)	Total Fee (USD) (i) x (ii)
Display Terminal SSE Level 1	SSE_L1_DT	$ 24.000	10	$ 240.000
Display Terminal SSE Level 2	SSE_L2_DT	$ 32.000	20	$ 640.000
Display Terminal for Individual Investor SSE Level 1	SSE_L1_II	$ 10.000	5	$ 50.000
Display Terminal for Subscriber located or use in Mainland China SSE Level 1	SSE_L1_MC	$ -	5	$ -
Display Terminal for Subscriber located or use in Mainland China SSE Level 2	SSE_L2_MC	$ 4.500	30	$ 135.000
Display Terminal Portable Device SSE Level 1	SSE_L1_PD	$ 5.000	20	$ 100.000
Display Terminal for Stock Option	SSE_SO_DT	$ 5.000	10	$ 50.000
Datafeed SSE Level 1	SSE_L1_DF	$ 24.000	50	$ 1,200.000
Datafeed SSE Level 2	SSE_L2_DF	$ 32.000	50	$ 1,600.000
Datafeed for Subscriber located or use in Mainland China SSE Level 1	SSE_L1_MCDF	$ -	2	$ -
Datafeed for Subscriber located or use in Mainland China SSE Level 2	SSE_L2_MCDF	$ 4.500	1	$ 4.500
Datafeed for Stock Option	SSE_SO_DF	$ 5.000		$ -
Quote SSE Level 1	SSE_L1_QT	$ 0.005		$ -
Quote SSE Level 2	SSE_L2_QT	$ 0.010		$ -
Quote Basic Market Data (billable)	SSE_BMP_QT	$ 0.010		$ -
Quote Basic Market Data (non-billable)	SSE_BMP_QT_Free	$ -		$ -
Internal Usage SSE Level 1	SSE_L1_IU	$ 12.000		$ -
Internal Usage SSE Level 2	SSE_L2_IU	$ 16.000		$ -
Internal Usage (non-billable)	SSE_IU_FREE	$ -	5	$ -
Free Trial SSE Level 1	SSE_L1_FT	$ -	10	$ -
Free Trial SSE Level 2	SSE_L2_FT	$ -		$ -
Free Trial Stock Option	SSE_SO_FT	$ -		$ -
			TOTAL	$ 4,019.500
			Minimum Monthly Subscriber Fee	$ 800.000
			NET TOTAL	$ 4,019.500

Part II - Detailed pages

Fields	Description
General	
Reporting Month	The month in which the number of subscriber units and the amount of subscriber fees reported by IVs. Format in [MMM-YY].
Unique Subscriber ID	A unique identifier assigned by IVs to each subscriber unit which shall be traceable in the systems of sales, accounting, billing and service permissioning.
Subscriber Name	The names of the subscribers to whom the IVs have disseminated our Market Data.
Address	The full address including building, street, district of the subscribers/re-vendors/users. For subscribers who wish to enjoy the preferential rate as individual investors, residential addresses are required.
Region / Country	The region/country where the subscribers/re-vendors/users are located.
Type of Information	The type of Information the IVs have disseminated to the subscribers/re-vendors/users. Please refer to Appendix I spreadsheet for the available Types of Information.
Fee Type	the code of each service the subscribers are subscribing or using from the IVs. Please refer to Appendix II spreadsheet for the available Fee Types.
Date of Service Commenced	The service activation date for permitting each subscriber/re-vendor/user to access our Market Data. Format in [D-MMM-YY]. For subscriber units being activated prior to the reporting month and without reported in previous subscriber reports, IVs shall make adjustment by adding a separate row for each month. Please refer to the example on p.4. _Note: Over-reporting adjustment required after six months is not allowed, while for under-reporting adjustment, interest may be imposed._
Date of Service Terminated	The service de-activation date for disallowing each subscriber/re-vendor/user to access our Market Data. Format in [D-MMM-YY]. For reported subscriber units being de-activated prior to the reporting month, IVs shall make adjustment by adding a separate row for each month. Please refer to the example on p.4. _Note: Over-reporting adjustment required after six months is not allowed, while for under-reporting adjustment, interest may be imposed._

Subscriber Fee per unit	Please refer to Appendix II spreadsheet for the corresponding subscriber fee of each Fee Type.
No. of Subscriber Unit	The total number of subscriber units being activated as of the last day of the reporting month.
Total Subscriber Fee payable	This field is set formula and will auto calculate the Total subscriber fee payable after entering the No. of Subscriber Unit.
Datafeed (non-display)	
No. of subscriber unit	The no. of subscriber unit is required to be reported, but it is not required to record in Summary of Subscriber Report
Per Quote	
Start Quantity	The beginning balance on the 1st day of reporting month. It will be reset to zero when license renewed.
Change Quantity	The movement of unit within the reporting month.
End Quantity	The ending balance on the last day of reporting month
Free quantity	The free quantity according to the license obtained.
Internal Usage	
Purpose of the Units	The Purpose of Internal Usage used by IVs, such as Business Support, Product Development
Staff Name	The name of staff who used our Market Data for internal usage
Department and Position	The department and position of the staff who used our Market Data for internal usage
Office Address	The office address of the staff who used our Market Data for internal usage.
Free Trial Units	
No. of Unit	The no. of free trial unit IVs have provided to the subscribers. Only 1 free trial unit per institution is allowed.
Other Non-billable	
Purpose of the Units	The purpose of non-billable usage such as service facilitator, promotion etc. IVs should obtain approval from CIIS for such usage
Redistribution	
Re-vendor ID	A unique identifier assigned by IVs to each re-vendor

Re-vendor Name	The name of the re-vendors.
Third Party Website	
Third Party Company Name	The name of third-party company the IVs have providing the framing service to.
URL	The web address of the third-party website disseminating our Market Data.

Example of Detailed Subscriber Report:

Reporting Month [MMM-YY]	Unique Subscriber ID	Subscriber Name	Address	Region / Country	Type of Information (refer to Appendix I)	Fee Type (refer to Appendix II)	Date of Service Commenced [D-MMM-YY]	Date of Service Terminated [D-MMM-YY]	Subscriber Fee per Unit (US$) (i)	No. of Subscriber Unit (ii)	Total Subscriber Fee payable (US$) (i) x (ii)
Jan-19	B0001	ABC Company	Room 123, ABC Building, Wanchai,	Hong Kong	RT SSE L2	SSE_L2_DT	1-Nov-18		$32.00	10	$320.00
Jan-19	B0001	ABC Company	Room 123, ABC Building, Wanchai,	Hong Kong	RT SSE L2	SSE_L2_DT	1-Sep-18	30-Sep-18	$32.00	10	$320.00
Jan-19	B0001	ABC Company	Room 123, ABC Building, Wanchai,	Hong Kong	RT SSE L2	SSE_L2_DT	1-Oct-18	31-Oct-18	$32.00	10	$320.00
Jan-19	A0001	Chan Tai Man	Room 1, 2/F, ABC Estate, Chai Wan,	Hong Kong	RT SSE L1	SSE_L1_II	1-May-18	15-Jan-19	$10.00	1	$10.00
Jan-19	B0003	Hay Company	Room 123, ABC Building, Wanchai,	Hong Kong	RT SSE L1	SSE_L1_DT	1-Mar-17		$24.00	10	$240.00
Jan-19	C0001	123 Company	Room A, 123 Building, New York	US	RT SSE L1	SSE_L1_DT	1-Jun-18		$24.00	20	$480.00
Jan-19	B0003	China Company	Room A, 123 Building, Futian	China	RT SSE L2	SSE_L2_MC	1-Jan-19		$4.50	40	$180.00
										Total:	$1,870.00

Adjustment of under-reported Sep 2018 & Oct 2018 usage

(2) Login to Subscriber Report Online Submission Tool

English: http://www.ciis.com.hk/hongkong/en/form/submitonline/index.shtml
Traditional Chinese: http://www.ciis.com.hk/hongkong/tc/form/submitonline/index.shtml
Simplified Chinese: http://www.ciis.com.hk/hongkong/sc/form/submitonline/index.shtml

✓ Enter the username and password. User name is equal to the Client ID in monthly report. *e.g. C9999*

✓ Please change your own password by clicking "reset password". A verification code will be sent to the registered email address.

✓ If you wish to change the registered email address, please contact reports@ciis.com.hk

(3) Upload the report

✓ User name / Client Name / Email address are automatically filled.

✓ Select or input the necessary fields mark as *

✓ Select the attachment. Only 1 attachment is allowed for each type of report and only Excel format is supported.

✓ Please pay attention to the report name format. Incorrect name will lead to upload failure

Report Name Format: UserName_ClientName_ReportType_YYYYMM

e.g. C0001_ABC Company_SSE_202001

✓ Input the CC Email address and Remark if any

✓ Enter the captcha and click Upload button

Notes:

● *If you want to re-submit report for any revised version, please use the same report name. Please also state in the Remark field this is a revised version*

● *If there are more than one report type to be submitted, please submit one by one*

● *Invoices for reports submitted from Monday to Wednesday will be sent on Friday of the same week, unless pubic holidays; Invoices for reports submitted on Thursday or Friday will be sent on following Friday, unless public holiday.*