供股：供股(rights issue)是上市公司集资的一种方式，指向现有证券持有人做出供股要约，使他们可按其现时持有证券的比例认购证券。当公司宣告供股时，现有股东会收到供股权。如股东不想供股，可通过在市场上沽售供股权放弃供股权利。

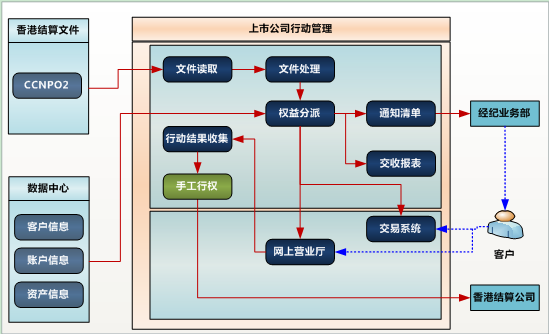




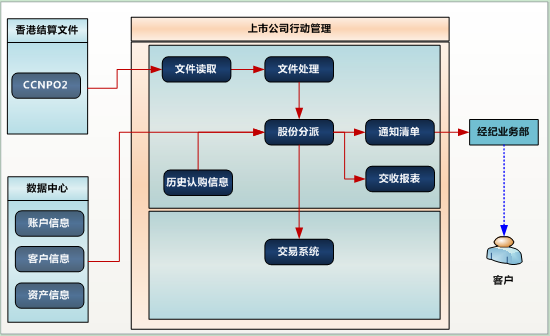
公司行动的流程一般包括五个步骤，从上市公司行动的信息采集及分析、信息发布、接受客户指令、执行客户指令、获取结算公司的指令反馈。

主要流程图

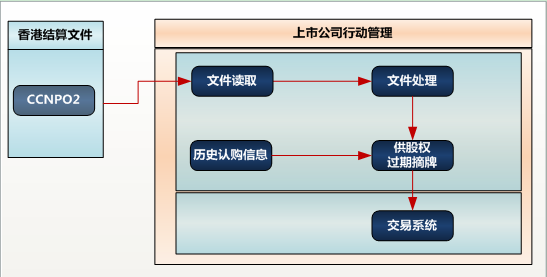
1、供股权分配及行权业务



2、供股到账分配



3、供股权过期摘牌



流程

一、公司行动文件处理

1. CCNPT02文件读取

2、行动文件数据复核

二、公司行动权益分派

1、权益派发

2、权益分派确认

三、公司行动信息发布

四、行权汇总执行

按香港结算的文件格式生成最终行权文件，上报香港结算。

**相关表**

RI\_STOCK\_ASSIGN

权益确认页面 benefitConfirm.jsp



1、打开页面时，调用了BenefitConfirmAction .queryData方法，查询CA\_EVENT的CUR\_FLOW\_CODE为03（权益确认）的纪录。

将查询结果进行转换

BeanUtil.listToDataset(queryList, dataset, false);

DEBUG得到的Dataset内容如下：

*<script language="javascript">*

*var Dataset\_CaEvent = new Dataset("Dataset\_CaEvent");*

*Dataset\_CaEvent.init('{id:"Dataset\_CaEvent",pageCount:0,pageNo:1,pageSize:10,totalSize:0,*

*fields:[*

*{name:"id",label:"id",dataType:"string",maxLength:20},*

*{name:"stageCode",label:"stageCode",dataType:"string",maxLength:4},*

*{name:"stageCodeDesc",label:"stageCodeDesc",dataType:"string",maxLength:4},*

*{name:"instrument",label:"instrument",dataType:"string",maxLength:20},*

*{name:"instrumentName",label:"instrumentName",dataType:"string",maxLength:20},*

*{name:"ccy",label:"ccy",dataType:"string",maxLength:3},*

*{name:"actDate",label:"actDate",dataType:"string",maxLength:8},*

*{name:"curFlowCode",label:"curFlowCode",dataType:"string",maxLength:2},*

*{name:"curFlowCodeDesc",label:"curFlowCodeDesc",dataType:"string",maxLength:2},*

*{name:"carryClass",label:"carryClass",dataType:"string",maxLength:1},*

*{name:"status",label:"status",dataType:"string",maxLength:1},*

*{name:"remark",label:"remark",dataType:"string",maxLength:100},*

*{name:"operator",label:"operator",dataType:"string"},*

*{name:"optTime",label:"optTime",dataType:"timestamp"},*

*{name:"dispatchResult",label:"dispacthResult",dataType:"string"},*

*{name:"dispatchUser",label:"dispatchUser",dataType:"string"},*

*{name:"dispatchTime",label:"dispatchTime",dataType:"timestamp"},*

*{name:"benefitConfirmUser",label:"benefitConfirmUser",dataType:"string"},*

*{name:"benefitConfirmTime",label:"benefitConfirmTime",dataType:"timestamp"},*

*{name:"caCode",label:"caCode",dataType:"string"},*

*{name:"caName",label:"caName",dataType:"string"}*

*]}');*

*Dataset\_CaEvent.updateTotalRecords=false;*

*Dataset\_CaEvent.calculateTotalSize=true;*

*</script>*

*<script language="javascript">*

*var Dataset\_CaEvent = new Dataset("Dataset\_CaEvent");*

*Dataset\_CaEvent.init('{id:"Dataset\_CaEvent",pageCount:1,pageNo:1,pageSize:10,totalSize:3,*

*fields:[*

*{name:"id",label:"id",dataType:"string",maxLength:20},*

*{name:"stageCode",label:"stageCode",dataType:"string",maxLength:4},*

*{name:"stageCodeDesc",label:"stageCodeDesc",dataType:"string",maxLength:4},*

*{name:"instrument",label:"instrument",dataType:"string",maxLength:20},*

*{name:"instrumentName",label:"instrumentName",dataType:"string",maxLength:20},*

*{name:"ccy",label:"ccy",dataType:"string",maxLength:3},*

*{name:"actDate",label:"actDate",dataType:"string",maxLength:8},*

*{name:"curFlowCode",label:"curFlowCode",dataType:"string",maxLength:2},*

*{name:"curFlowCodeDesc",label:"curFlowCodeDesc",dataType:"string",maxLength:2},*

*{name:"carryClass",label:"carryClass",dataType:"string",maxLength:1},*

*{name:"status",label:"status",dataType:"string",maxLength:1},*

*{name:"remark",label:"remark",dataType:"string",maxLength:100},*

*{name:"operator",label:"operator",dataType:"string"},*

*{name:"optTime",label:"optTime",dataType:"timestamp"},*

*{name:"dispatchResult",label:"dispacthResult",dataType:"string"},*

*{name:"dispatchUser",label:"dispatchUser",dataType:"string"},*

*{name:"dispatchTime",label:"dispatchTime",dataType:"timestamp"},*

*{name:"benefitConfirmUser",label:"benefitConfirmUser",dataType:"string"},*

*{name:"benefitConfirmTime",label:"benefitConfirmTime",dataType:"timestamp"},*

*{name:"caCode",label:"caCode",dataType:"string"},*

*{name:"caName",label:"caName",dataType:"string"}],*

*records:[*

*{"newDatas":["2013062804010002","0401","^5206^914d^80a1^606f","01161","^5965^601d^96c6^56e2","HKD","20130627","03","^6743^76ca^786e^8ba4","1","0","","~25~40~7c~24","~25~40~7c~24","~25~40~7c~24","kevin~2eauyeung","1372389615753","hejw","1372397133530","04","^5206^914d^80a1^606f"]},*

*{"newDatas":["2014031404010001","0401","^5206^914d^80a1^606f","01161","^5965^601d^96c6^56e2","HKD","20140313","03","^6743^76ca^786e^8ba4","1","0","","~25~40~7c~24","~25~40~7c~24","~25~40~7c~24","Jill~2eShangguan","1394759068903","hejw","1394759085173","04","^5206^914d^80a1^606f"]},*

*{"newDatas":["2014070204010014","0401","^5206^914d^80a1^606f","01161","^5965^601d^96c6^56e2","HKD","20140630","03","^6743^76ca^786e^8ba4","1","0","","~25~40~7c~24","~25~40~7c~24","~25~40~7c~24","Evian~2eLi","1404270702007","hejw","1404289265350","04","^5206^914d^80a1^606f"]}]}');*

*Dataset\_CaEvent.updateTotalRecords=false;*

*Dataset\_CaEvent.calculateTotalSize=true;*

*</script>*

2、点击具体行动时，调用Grid\_CaEvent\_onDblClick的JS方法

（1）BenefitDispatchAction. queryStockTotal

P\_FLOW\_CONTROL，传入ca\_event, flow\_code, acWorkType=4

得到将要调用的存储过程

*SELECT PROC\_NAME*

*FROM CA\_STAGE\_FLOW A,CA\_EVENT B*

*WHERE A.STAGE\_CODE = B.STAGE\_CODE*

*AND A.FLOW\_CODE = '03'*

*AND B.EVENT\_NO = '2013062804010002'*

P\_CD\_DISPATCH

@AC\_WORKTYPE='4'--权益分配中间内容

*SELECT REG\_DATE, STOCK\_QTY, MARKET, STOCK\_CODE, STOCK\_QTY, LOT\_SIZE, CCY, ASSIGN\_SCALE, CASH\_DIV, DIV\_FEE, PAY\_NET, TRANSFER\_FEE*

*FROM CD\_RIGHT\_TOTAL --股息分配客户表*

*WHERE EVENT\_NO='2013062804010002';*

/\*

股份数量：[STOCK\_QTY]份 现金股息：[CASH\_DIV]元 股息代收费：[DIV\_FEE]元

每股分配：[ASSIGN\_SCALE]元 派息币种：[CCY] 支付股息净额：[PAY\_NET]元

每手：[LOT\_SIZE]股 股权登记日：[REG\_DATE] 过户费：[TRANSFER\_FEE]元

\*/

将查询结果传入GS\_PUB..P\_GET\_MESSAGE，转换成HTML格式。

返回的结果是

*[CaStageItemVO [itemName=null, itemField=null, srcType=null, itemType=null, stageCode=null, itemCode=null, itemValue=*

*<TABLE style="text-align: left; width: 80%;">*

*<tr><td align="right">股份数量： </td><td>92000份 </td><td align="right">现金股息： </td><td>1380.0000元 </td><td align="right">股息代收费： </td><td>1.66元 </td></tr>*

*<tr><td align="right">每股分配： </td><td>0.0150000000 元 </td><td align="right">派息币种： </td><td>HKD </td><td align="right"> 支付股息净额： </td><td>1378.3400元 </td></tr>*

*<tr><td align="right">每手： </td><td>2000股 </td><td align="right">股权登记日： </td><td>20140227 </td><td align="right"> </td><td> </td></tr>*

*</TABLE>*

*, tableName=null, eventNo=null, itemStatus=null, fieldLen=null]]*

（2）BenefitConfirmAction. queryDetail

查询动态显示的列

*SELECT STAGE\_CODE stageCode*

*,FLOW\_CODE flowCode*

*,ITEM\_NAME itemName*

*,ITEM\_FIELD itemField*

*,ITEM\_TYPE itemType*

*FROM [GS\_CA].[dbo].[CA\_STAGE\_ITEM] a*

*WHERE a.STAGE\_CODE=#stageCode#*

*AND a.FLOW\_CODE=’02’*

还是调用P\_FLOW\_CONTROL，传入ca\_event, flow\_code, acWorkType=3

*SELECT EVENT\_NO,A.STAGE\_CODE,B.STAGE\_NAME,*

*CCY,A.TRADE\_ACCT,A.CUST\_CODE,A.ACCT\_TYPE,D.ACCT\_NAME AS CUST\_NAME,*

*STOCK\_CODE,C.CINST\_NAME AS STOCK\_NAME,A.STOCK\_QTY,CASH\_DIV,*

*TRANSFER\_FEE,COMMISSION,DIV\_NET,'' AS VIEWNOTICE*

*FROM CD\_RIGHT\_ASSIGN A,CA\_STAGE\_INFO B,GS\_DC.DBO.INSTRUMENT\_INFO C,*

*GS\_DC.DBO.CUST\_ACCOUNT D*

*WHERE EVENT\_NO='2013062804010002' AND A.STAGE\_CODE=B.STAGE\_CODE*

*AND C.INSTRUMENT=A.STOCK\_CODE AND D.TRADE\_ACCT=A.TRADE\_ACCT*

*UNION ALL*

*SELECT '' AS EVENT\_NO,'' AS STAGE\_CODE,'' AS STAGE\_NAME,*

*'' AS CCY,'' AS TRADE\_ACCT,NULL AS CUST\_CODE,'' AS ACCT\_TYPE,'' AS CUST\_NAME,*

*'' AS STOCK\_CODE,'合计：' AS STOCK\_NAME,SUM(A.STOCK\_QTY) AS STOCK\_QTY,SUM(CASH\_DIV) AS CASH\_DIV,*

*SUM(TRANSFER\_FEE) AS TRANSFER\_FEE,SUM(COMMISSION) AS COMMISSION,SUM(DIV\_NET) AS DIV\_NET,'' AS VIEWNOTICE*

*FROM CD\_RIGHT\_ASSIGN A,CA\_STAGE\_INFO B,GS\_DC.DBO.INSTRUMENT\_INFO C,*

*GS\_DC.DBO.CUST\_ACCOUNT D*

*WHERE EVENT\_NO='2013062804010002' AND A.STAGE\_CODE=B.STAGE\_CODE*

*AND C.INSTRUMENT=A.STOCK\_CODE AND D.TRADE\_ACCT=A.TRADE\_ACCT*

3、点击“权益确认”按钮

hk.guosen.ca.web.BenefitConfirmAction.benefitConfirm

caEventService.execBenefitConfirm

if("0101".equals(stageCode)){//供股权分配确认时同步供股权数量到交易系统

this.execRiRightSync(param);

}

if("0102".equals(stageCode)){//供股股份分配时同步股份数量，如涉及到额外供股还需同步资金数据

this.execRiStockSync(param);

}

**execRiStockSync**

通过eventNo查询RI\_STOCK\_ASSIGN表

1、**存入股份**execRiStockSync

*资金帐户的前2位代表*

*66 保证金帐户*

*88 现金帐户*

*99 期货*

*89 投资移民*

股份数量=认购数量+额外中签数量

*SELECT EVENT\_NO eventNo*

*,STAGE\_CODE stageCode*

*,CCY ccy*

*,TRADE\_ACCT tradeAcct*

*,CUST\_CODE custCode*

*,ACCT\_TYPE acctType*

*,STOCK\_CODE stockCode*

*,RIGHT\_CODE rightCode*

*,RIGHT\_QTY rightQty*

*,SUBS\_CODE subsCode*

*,SUBS\_SCALE subsScale*

*,SUBS\_QTY subsQty*

*,EXTRA\_SUBS\_QTY extraSubsQty*

*,EXTRA\_CONFIRM\_QTY extraConfirmQty*

*,SUBS\_PRICE subsPrice*

*,EXER\_TOTAL\_AMT exerTotalAmt*

*,CFM\_SUBS\_AMT cfmSubsAmt*

*,COMMISSION commission*

*,EXTRA\_COMMISSION extraCommission*

*,SERVICE\_FEE serviceFee*

*,CFM\_TOTAL\_AMT cfmTotalAmt*

*,STATUS status*

*,CONFIRM\_DATE confirmDate*

*,REMARK remark*

*,HAS\_WARRANT hasWarrant*

*,WARRANT\_CODE warrantCode*

*,WARRANT\_SCALE warrantScale*

*,WARRANT\_QTY warrantQty*

*,(EXTRA\_SUBS\_QTY-EXTRA\_CONFIRM\_QTY)\*SUBS\_PRICE backSubAmt –(额外认购数量-额外中签数量)\** *行权价格*

*FROM RI\_STOCK\_ASSIGN*

*where EVENT\_NO=#eventNo#*

（1）同步股份数量

调用存储过程sp\_InstrumentV\_Insert写表InstrumentVoucher，传入的是股票代码

（2）所有行动中涉及股份增加的(供股到账，公开发售到账，分配红股，以股代息到账，股份转换)，都在系统中另外记录

写表CA\_SETTLE\_STOCK

（3）同步涡轮数量

调用存储过程sp\_InstrumentV\_Insert写表InstrumentVoucher，传入的是涡轮代码

2、同步资金数据，归还额外认购未中签部分的资金

（1）

sp\_CashV\_InsertAPI\_BankGlCode，转调sp\_CashV\_Insert，写了表CashVoucher

（2）

SP\_Trading\_CalCostPrice

3、更新RI\_STOCK\_ASSGIN表里的数据状态为成功

涉及数据库

1、交易结算系统后台数据库，用于资金存取

172.16.130.11 OctOSTP\_Back\_Test gspmguser/ Guosen!507

2、交易结算系统前台自主开发数据库，用于解决前后台同步问题

172.16.130.16 GSBP gspmguser/ Guosen!507