

GENERAL RULES OF CCASS

CHAPTER 1

INTERPRETATION

101. Definitions

When used herein, the following expressions shall, unless the context otherwise requires, bear the following meanings:

“Eligible U.S. Securities” means any U.S. securities that are regularly traded on (i) a national securities exchange which is registered under section 6 of the Securities Exchange Act of 1934 or (ii) the NASDAQ, provided that no such securities are (x) U.S. real property interests as defined in section 897 of the U.S. Internal Revenue Code of 1986, as amended (the “Code”), (y) partnerships, trusts, or real estate investment trusts subject to withholding pursuant to Code section 1445(e), or (z) partnerships subject to withholding pursuant to Code section 1446;

CHAPTER 28

DISCLOSURE

2805. HKSCC may make available to the public, via the website of HKEx or such other means or person as it considers appropriate, details of Participants’ holdings of Eligible Securities in CCASS or any Appointed Depositary (other than those of Investor Participants unless their consent is obtained). Details of Participants’ holdings of Eligible Securities in CCASS or any Appointed Depositary that were or could have been disclosed or made available to the public as aforesaid will remain viewable and accessible by the public after the termination of their participation in CCASS for whatever reason.