

## CCASS OPERATIONAL PROCEDURES

### Section 2 Participants

#### 2.2 ADMISSION FEE

##### 2.2.4 HKSCC may refund admission fee

HKSCC may refund the admission fee paid by a Clearing Participant calculated as HK\$50,000 in respect of each Stock Exchange Trading Right being ~~disposed of~~ relinquished by it.

### Section 3

#### CCASS Terminals/CCASS Phone System/CCASS Internet System/ Participant Gateways

#### 3.3 DELEGATED ADMINISTRATORS

##### 3.3.1 Establishing and Cancelling Delegated Administrators

To appoint and cancel the appointment of a Delegated Administrator, a Participant must apply in the prescribed manner to HKSCC ~~(see Appendix 4.33)~~.

Upon approval of an application of a Participant to appoint a Delegated Administrator, HKSCC will provide to the Participant concerned a unique User ID and smartcard, in respect of that Delegated Administrator for access control purposes. The Participant must ensure that its Delegated Administrator creates or changes his initial Smartcard Password (where applicable) immediately upon receipt of the smartcard. If a Delegated Administrator forgets his Smartcard Password, the Participant will need to apply in the prescribed manner to HKSCC to establish a new Smartcard Password ~~(see Appendix 4.33)~~.

#### 3.5 ACCESS CONTROL

##### 3.5.1 Logging on to CCASS

In the event that a Delegated Administrator of a Participant is unsuccessful in logging on to CCASS via a CCASS Terminal after three attempts, the Participant concerned will need to re-establish that person as a Delegated Administrator by applying in the prescribed manner to HKSCC ~~(see Appendix 4.33)~~.

### 3.5.2 Administration Rights of a Delegated Administrator

At the time of establishing a Delegated Administrator, a Participant will need to determine the Administration Rights for that Delegated Administrator ~~(see Appendix 4.33)~~. A Participant may alter the Administration Rights of its Delegated Administrator at any time by applying in the prescribed manner to HKSCC ~~(see Appendix 4.33)~~.

## 3.10 CCASS PHONE SYSTEM AND CCASS INTERNET SYSTEM

### 3.10.3 Input Transaction Limit of an Authorized User of a Corporate Investor Participant

The extent to which a particular Authorised User of a Corporate Investor Participant can input or affirm an ISI in CCASS will be determined by the Input Transaction Limit specified by the Corporate Investor Participant for that Authorised User. ISI input or affirmed in CCASS by an Authorised User of a Corporate Investor Participant which exceeded his Input Transaction Limit will remain pending for authorisation by another Authorized User of the Corporate Investor Participant with the necessary Input Transaction Limit. In general the value of the Eligible Securities which are subject to instructions input into CCASS by an Authorised User will be compared with the Input Transaction Limit applicable to him. A Corporate Investor Participant may alter the Input Transaction Limit of its Authorised Users at any time by applying in the prescribed manner to HKSCC ~~(see Appendix 4.2)~~.

## Section 15

### Enquiry Services

#### 15.2 USE OF VARIOUS ENQUIRY FUNCTIONS AVAILABLE

The various enquiry functions that are available for access and the purpose of accessing each such function are set out below:

**(i) Available to Participants other than Investor Participants:**

- (au) “Enquire Issuer Announcement” function: to enquire the information about announcements of listed issuers published on HKEx website; ~~and~~
- (av) “Enquire GCP/NCP Mapping” function: to enquire about the details of the GCP designated by the NCPs as set up in CCASS with reference to the Clearing Agreements between the parties; ~~and~~

(aw) “Enquire Deleted SI” function: to enquire about the details of current day deleted SIs.

## Section 16

### Statements and Reports

#### 16.6 REPORTS AND STATEMENTS FOR PARTICIPANTS

##### 16.6.1 Reports and Statements for Participants other than Investor Participants

| Report ID | Report name             | Frequency   | Time available  |
|-----------|-------------------------|---|---|
| CSESP01   | Settled Position Report | Daily   | shortly after 6:00 p.m. (for <del>the current day's accumulated</del> settlement results as of current day)   |
| CSEAT02   | STI Activity Report     | <del>Twice daily</del><br><del>Five times a day</del> | <u>shortly after completion of each STI batch transfer run at around 10:00 a.m., 12:45 p.m., 3:30 p.m., 5:00 p.m. and 8:00 p.m. (for accumulated STI activities as of the report generation time)</u> <del>around 4:30 p.m., after completion of final settlement run and from the time when the report retrieval function is available (for previous day's and current day's STI activities)</del> |

## Section 18

### Guarantee Fund

#### 18.2 CALCULATION OF CONTRIBUTIONS

##### 18.2.3 Acquisition of additional Stock Exchange Trading Rights and/or increase in number of NCPs

Any additional amount so required from a Clearing Participant as Contribution (as a result of its acquisition of additional Stock Exchange Trading Rights and/or entering into Clearing Agreements with additional NCPs) must be made in cash within seven Business Days from the date on which notice of approval of the Exchange (in respect of the ~~transfer or~~ issue of such Stock Exchange Trading Right to that Exchange Participant) is given and in relation to entering into Clearing Agreements with additional NCPs, no later than seven Business Days from the date on which notice of the execution of each Clearing Agreements is given to HKSCC.

**DIVIDEND / BONUS CLAIM LETTER**  
**股息 / 紅股申請書**

Date :  
 日期  
 Claims ref :  
 申索編號

HKSCC NOMINEES LIMITED  
 2/F VICWOOD PLAZA  
 199 DES VOEUX ROAD CENTRAL  
 HONG KONG  
 香港中環德輔道中 199 號  
 維德廣場 2 樓  
 香港中央結算（代理人）有限公司

Dear Sir :  
 執事先生

In respect of the Dividend / Bonus Claim on \_\_\_\_\_ shares of \_\_\_\_\_ under certificate Nos. \_\_\_\_\_ registered in your name, 就以 貴公司名義登記的 \_\_\_\_\_ 股 \_\_\_\_\_ (股份號碼: \_\_\_\_\_), 本人特此來函申索有關的股息 / 紅股。 (股份名稱)

I / We write on behalf of our client, \_\_\_\_\_, who through an oversight, neglected to have the above shares transferred before the closing of the Company's book on \_\_\_\_\_. 本人代表客戶 \_\_\_\_\_ 來函提出申索。由於該客戶一時疏忽，沒有在截止過戶日期 (即 年 月 日) 之前辦妥股份過戶手續，因此未能獲派有關的股息 / 紅股。

For your easy reference, we enclose herewith the under-mentioned documents (Items 1-2 in original and Items 3-6 in certified true copies) in respect of the said for your perusal:- 隨函附上下列有關該等股份的文件 (第 1、2 項為正本，第 3 至 6 項為認證副本)，以供 貴公司參考:-

1. Letter of Indemnity  
保證書
2. Original Claim Letter from beneficiary with the participant's endorsement  
連同參與者簽署的受益人申索書正本
3. Purchase Contract Note  
買賣合約
4. Stock Withdrawal Receipt  
股份提取收據
5. Share Certificates and Transfer Deeds  
股票及過戶契據
6. Transfer Receipt  
過戶收據

As the shares were registered in your Nominee's name, we should be grateful if you would arrange for refund of the followings:- 由於該等股份是以 貴公司名義登記，懇請 貴公司安排發還：

Interim/Final Dividend of \_\_\_\_\_ per share totalling \_\_\_\_\_  
 每股獲派的中期/年終股息 \$ \_\_\_\_\_, 合共 \$ \_\_\_\_\_  
 (年度)

Bonus Issue of \_\_\_\_\_ totalling \_\_\_\_\_ share of \_\_\_\_\_  
 的紅股 (每 \_\_\_\_\_ 股送 \_\_\_\_\_ 股), 合共 \_\_\_\_\_ 股  
 (年度) (股份名稱)

Kindly contact our \_\_\_\_\_ on Tel: \_\_\_\_\_ if you have any queries on this matter.  
 如有任何疑問，請電 \_\_\_\_\_ 與 \_\_\_\_\_ 聯絡。

\_\_\_\_\_  
 Authorised Signature of CCASS Participant  
 (With Company Chop)  
 中央結算系統參與者之認可簽署  
 (連同公司印章)  
 Participant ID : \_\_\_\_\_  
 參與者編號  
 Name (in block letter): \_\_\_\_\_  
 參與者名稱

**Note :** Activities under CCASS are subject to the General Rules of CCASS rules and Operational Procedures in effect.  
**註 :** 所有在中央結算系統內進行的活動均受現行的香港中央結算有限公司不時發出的《中央結算系統一般規則》及《中央結算系統運作程序規則》所約束。