4.1 Settlement and Depository

NOM 1 DIVIDEND BONUS CLAIM SUBMISSION TO HKSCC

WHEN TO USE:

- When investors withdraw shares of a company in the form of physical certificates from CCASS Depository through their brokers or custodians (being CCASS Participants) and they have not reregistered the withdrawn share certificates into their own names before the book-close date or record date for determining the entitlements, the company will distribute entitlements to HKSCC Nominees Limited. These entitlements are held by HKSCC Nominees Limited as unclaimed entitlements. Participant may submit claim on such unclaimed entitlements held by HKSCC Nominees Limited through Client Connect.
- This eService is available at any time.

ABOUT THIS eSERVICE:

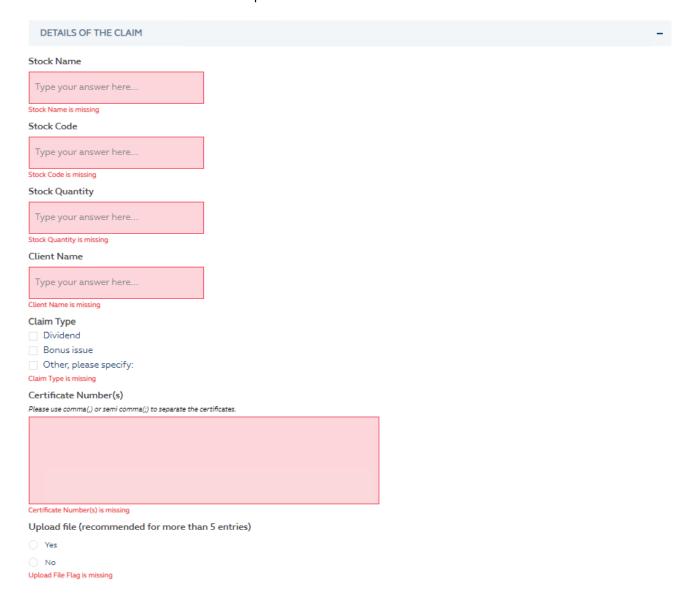
- > This eService is available to business users granted with the access rights EU CommonNomineeService.
- ➤ This eService is equivalent to "Dividend/ Bonus Claim Letter" (CCASS-Form 44).
- > To support the request, Participant must provide HKSCC with satisfactory proof to the effect that the Participant is entitled to the unclaimed benefits being claimed. Participant should scan and upload the certified true copies of the supporting doucements via the UPLOAD function in Client Connect. Participant can upload at most 5 files for each type of supporting document with file size below 20Mb by using the UPLOAD function. Physical delivery of supporting documents to HKSCC is no longer required for the claim request made through Client Connect unless otherwise specified by HKSCC.
- Participant acknowledges to indemnity aginst the claim request once the declaraction checkbox is checked. The Letter of Indemnity is replaced by such acknowledgement and is no longer required for the claim request made throught Client Connect, unless otherwise specificed by HKSCC.
- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- PDF report which contains the claim request information will be available to Participant after the workflow on the claim request is ended.

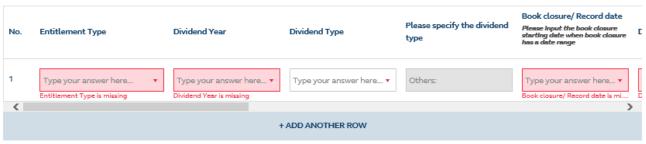
SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.





Total Cash Entitlement Amount

Total Stock Entitlement Amount (Stock Code/Quantity)

Dear Sirs.

I/We write to you in respect of my/our [Claim Type] Claim on [Stock Quantity] shares of [Stock name] under certificate number(s) [Certificate no (s)] registered in the name of HKSCC Nominees.

I/We/Our client, [Client Name], for whom we make this Claim, through an oversight, neglected to have the above shares transferred before the relevant Book-close date / Record date of the company.

I/We will send the under-mentioned documents (Items 2-6 in certified copies) in respect of the said shares for your perusal of this claim.

- 1. Letter of Indemnity
- 2. Claim Letter from beneficiary with the participant's endorsement
- 3. Purchase Contract Note/ Statement showing the relevant purchase transaction details
- 4. Stock Withdrawal Receipt
- 5. Share Certificates and Transfer Deeds
- 6. Transfer Receipt (with certificate numbers printed thereon)/ Confirmation Letter from Share Registrar

As the shares were registered in the name of HKSCC Nominees, I/we should be grateful if you would arrange for refund of the following:

In consideration of HKSCC Nominees instructing and directing HKSCC to effect the act or acts set out in the captioned claim request above; and in consideration of HKSCC following the instructions of HKSCC Nominees with respect to any act mentioned in the captioned claim request above, we hereby undertake to indemnify both HKSCC and HKSCC Nominees (together, the "Companies") in the manner set out below:

We undertake to keep each of the Companies indemnified against (i) all actions, claims or proceedings which may be brought against each of the Companies and (ii) all damages, costs and expenses suffered or incurred by each of the Companies and which may arise out of or in connection with either of the Companies having done or performed any of the acts mentioned in the captioned claim request above.

I/We understand and acknowledge that all claims will only be effected and accepted by HKSCC subject to the General Rules of CCASS and the CCASS

Operational Procedures as are in force from time to time and to the participant agreements or the Terms and Conditions for Investor Participants (as the case may be) in effect and the Terms and Conditions in the Client Connect and any other relevant documents from time to time issued by HKSCC.

Please tick this checkbox before proceed.

Claim Letter from beneficiary with the participant's endorsement (mandatory)



Upload file is missing

Purchase Contract Note / Statement showing the relevant purchase transaction details



Stock Withdrawal Receipt



Share Certificates and Transfer Deeds



Transfer Receipt (with certificate numbers printed thereon) / Confirmation Letter from Share Registrar



Other Supporting Documents



Privacy Policy Statement

I/We acknowledge that I/we have read and accept the Privacy Policy Statement

You must check this before you can proceed.

FIELDS HIGHLIGHTS:

#	Field Name	Highlights		
PART	ICIPANT INFORMATION			
1	From	- Display the Company name of Participant		
2	As	- Display the role of Participant and Participant ID		
DETAILS OF THE CLAIM				
3	Stock Name	- Field format: Alphanumeric		
4	Stock Code	- Field format: Positive integer		
5	Stock Quantity	- Field format: Positive integer		
6	Client Name	- Field format: Alphanumeric		
7	Claim Type DividendBonus issueOther, please specify:	 Field format: Aphanumeric Select the claim type by ticking the box(es) provided Textbox is displayed for inputting claim type when "Other, please specify" box is ticked 		
8	Certification Number(s)	 Field format: Alphanumeric Use comma (,) or semi comma (;) to separate certificate number entries 		
9	Upload file ○ Yes ○ No	 Field format: Radio button Refer to description of field number 10 to 11 when "Yes" is selected 		
Uploa	d file: Yes			
10	Download Template	 A link to download the Excel template Participant can refer to "Excel Example" sheet on how to fill the Excel template System will capture and validate data from the first spreadsheet of the Excel file uploaded 		
11	UPLOAD	 Upload an Excel template to fill the entitlement table as described at field number 12 to 32 Recommended to upload an Excel template if claim request is more than 5 entries 		
12	Entitlement Type o Cash Entitlement o Stock Entitlement	 Field format: Dropdown list Select entitlement type with dropdown list 		
Entitle	ement Type: Cash Entitlement			
13	Dividend Year	 Field format: Textbox with year picker Input or select a dividend year with reference to the financial year end date for the cash entitlement. E.g. Input or select 2019 when financial year end date for the cash entitlement is 30 June 2019 		
14	Dividend Type o Interim Dividend o Final Dividend o Others, please specify	 Field format: Dropdown list Select dividend type with dropdown list 		
15	Please specify the dividend type	 Field format: Alphanumeric Specify the dividend type in the space provided if dividend type is other than interim or final dividend 		
16	Book closure / Record date o Book Closure o Record Date	Field format: Dropdown list Select book closure or record date with dropdown list		
17	Date	 Field format: Textbox with date picker Input or select book closure starting date when book closure has a date range. 		
18	Stock Code	- Field format: Positive integer		
19	Shareholding as of Book Closure / Record Date	- Field format: Positive integer		
20	Currency	- Field format: Alphanumeric		
21	Dividend Rate	- Field format: Numeric		

#	Field Name	Highlights		
22	Cash Entitlement Amount	- Field format: Numeric		
Entitlement Type: Stock Entitlement				
23	Dividend Year	 Field format: Textbox with year picker Input or select a dividend year with reference to the financial year end date for the stock entitlement. E.g. Input or select 2019 when financial year end date for the stock entitlement is 30 June 2019 		
24	Dividend Type o Bonus Issue o Others, please specify	 Field format: Dropdown list Select dividend type with dropdown list 		
25	Please specify the dividend type	 Field format: Alphanumeric Specify the dividend type in the space provided if dividend type is other than bonus issue 		
26	Book closure / Record date o Book Closure o Record Date	 Field format: Dropdown list Select book closure or record date with dropdown list 		
27	Date	 Field format: Textbox with date picker Input or select book closure starting date when book closure has a date range. 		
28	Stock Code	- Field format: Positive integer		
29	Shareholding as of Book closure/ Record date	- Field format: Positive integer		
30	Stock entitlement ratio	 Field format: Numeric Enter in ratio format X:Y E.g. 1:3 means 3 shares distributed per 1 share held 		
31	Distributed Stock	- Field format: Positive integer		
32	Stock Entitlement Amount	- Field format: Positive integer		
33	+ ADD ANOTHER ROW	 Add a new row to provide entitlement details by clicking the button 		
34	Declaration Checkbox	- Anknowledge the declaration by ticking the checkbox		
35	UPLOAD	 Claim Letter from beneficiary with the Participant's endorsement is mandatory At most 5 files for each type of supporting document with file size below 20Mb 		
36	Declaration Checkbox	- Anknowledge the declaration by ticking the checkbox		
CONTACT INFORMATION				
37	Name of Contact Person	 Field format: Alphanumeric Auto-filled based on maker's profile and content is editable. 		
38	Email Address	 Field format: Alphanumeric Auto-filled based on maker's profile and content is editable. 		
39	Telephone Number	 Field format: Numeric Auto-filled based on maker's profile and content is editable. 		
40	+ CONTACT PERSON	 Provide additional contract information by clicking the button Participant can optionally provide up to 5 contact information. 		