4.1   Settlement and Depository

NOM 3 CORPORATE COMMUNICATION REQUEST TO HKSCC

WHEN TO USE:

- ➢ Issuers of Eligible Securities will send out reports or circulars to the shareholders from time to time. To ensure Participants receive copies of such report or circulars, HKSCC will provide issuers the names and addresses of Participants such that the issuers are able to send copies of corporate communications direct to Participants. The issuers, via their Share Registrars, will inform HKSCC of new corporate communications events by sending the corporate communication request. After collecting the names and addresses of recipients who are to receive copies of corporate communications for a corporate communications event from Participants, a list will send to the issuers via their Registrars.

- ➢ Share Registrar may send request to HKSCC from 00:00a.m. to 03:00p.m. on business day (excluding Saturday, Sunday and public holidays) with this eService.

ABOUT THIS eSERVICE:

- ➢ This eService is available to business users granted with the access rights EU_Registrar.

- ➢ Stock name, Registrar code and Registrar name will be populated automatically once a stock code is provided. As such, request can only be made by the corresponding Share Registrar of the Company.

- ➢ All record dates must be future business dates.

- ➢ Only one set of Corp Comm Label can be requested for each record date.

- ➢ Label requests for delisted stock will not be processed.

- ➢ The daily cutoff time of this eService is 03:00p.m

- ➢ To facilitate the request, Share Registrar may upload record(s) via the UPLOAD function in Client Connect. An excel template is available for download at the eService.

- ➢ When there is outstanding request with "Ready to Send to HKEX" status and it is not yet processed by Share Registrar checker, an email reminder will be sent to Share Registrar checkers at 2:30p.m. every day until the record is processed.

- ➢ Checkbox "Completed by HKEX" is editable by HKEX users only. The checked checkbox indicates information of the corresponding record is correct ('Checked record'). However, checked records will be taken as processed only when the Form is at "Completed" status. When the Form is at its interim status (Returned to Submitter, Ready to Send to HKEX and Sent to HKEX) or negative ending status (Rejected or Withdrawn), checked record will be taken as unprocessed.

- ➢ 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 request information will be available to Share Registrar after the workflow on the request is ended.

SAMPLE UX:

Users can expand all sections to view all the fields.

There is built-in validation on the data input.

DETAILS OF THE REQUEST   –

Upload file (recommended for more than 5 entries)

○ Yes

○ No

You must check this before you can proceed.

e	Registrar Name	Corporate Event	Record Date	Contact Person	Contact Number
		Type your answer here...	Type your answer here... ▼	Type your answer here...	Type your answer here...
		Corporate Event is missing	Record Date is missing	Contact Person is missing	Contact Number is missing

‹   ›

+ ADD ANOTHER ROW

We, Tricor Investor Services Limited, are acting as the share registrar for the issuer(s) as per attached. We have shown the list of the corporate events that have been announced by the issuer(s) and are available to the non-registered holders in CCASS ("the Holders") for these events. We would like to request you to provide us with the data files of the Holders for the purpose of communicating these corporate events to them. Please let us have the data files on the 2nd business day (excluding Saturdays) after the record date of each such corporate event accordingly.

For any invalid request, HKEX shall reject the request directly.

Whether a corporate communication record in the request with 'Completed' status is accepted and processed by HKEX shall be reflected in the 'Completed by HKEX' column. Only the record with tick in the 'Completed by HKEX' checkbox will be processed.

The submission period for the Corporate Communication Request is opened from 00:00 to 15:00. All the requests must be sent to HKEX before the submission deadline (15:00).

☐ **We confirm that we understand and accept the above.**

You must check this before you can proceed.

Contact information is auto-filled based on maker's profile and content is editable.

CONTACT INFORMATION   –

Name of Contact Person

Business Maker UM Maker

Email Address

um@sr1.com

Telephone Number

74174174

+   CONTACT PERSON

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FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the name of Share Registrar
2	As	- Display the role of Share Registrar and Share Registrar ID
DETAILS OF THE REQUEST		
3	Upload file ○ Yes ○ No	- Field format: Radio button - Refer to description of field number 4 to 5 when "Yes" is selected
4	Download Template	- A link to download the Excel template
5	UPLOAD	- Upload an Excel template to fill the details as described at field number 7 to 14 - Recommended to upload an Excel template if request is more than 5 entries - System will capture and validate data from the first spreadsheet of the Excel file uploaded
6	Completed by HKEX Checkbox	- This checkbox is editable by HKEX users only. It is either checked or blank after the eService is reviewed by HKEX users - A checked checkbox indicates information of the corresponding record is correct. However, checked records will be taken as processed only when the Form is at "Completed" status. When the Form is at its interim status (Returned to Submitter, Ready to Send to HKEX and Sent to HKEX) or negative ending status (Rejected or Withdrawn), checked record will be taken as unprocessed
7	Stock Code	- Field format: Positive integer
8	Stock Name	- Disallow input It is auto populated based on input of stock code
9	Registrar Code	- Disallow input. It is auto populated based on input of stock code
10	Registrar Name	- Disallow input. It is auto populated based on input of stock code
11	Corporate Event	- Field format: Alphanumeric
12	Record Date	- Field format: Text box with date picker - Record date should be input or selected with the range: Current day + 1 <= n <= Current day +364 - Disallow input or select Saturday, Sunday and public holidays
13	Contact Person	- Field format: Alphanumeric
14	Contact Number	- Field format: Alphanumeric
15	+ ADD ANOTHER ROW	- Add a new row to provide another record by clicking the button
CONTACT INFORMATION		
16	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
17	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
18	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
19	+ CONTACT PERSON	- Provide additional contact information by clicking the button - Share Registrar can optionally provide up to 5 contact information.