

## 1. Introduction

### 1.1 CCASS Services Available to Investor Participants

#### A. Stock Transfers

HKSCC provides book-entry stock transfer facilities to all Investor Participants inside the Central Clearing And Settlement System (CCASS). Stock transfers can be initiated by either Investor Participants or non-Investor Participants<sup>1</sup> as Investor Settlement Instructions (ISIs). There are two types of ISI:

- 1) ISI (With Affirmation) is initiated by non-Investor Participants and required affirmation by Investor Participants.
- 2) ISI (Without Affirmation) can be initiated by either Investor Participants or non-Investor Participants and affirmation is not required. Investor Participants who would like to initiate the ISI (Without Affirmation) must meet the following conditions:
  - i) This ISI must be a delivery instruction
  - ii) Must maintain a maximum of 3 counterparty's Participant IDs in the ISI (Without Affirmation) Counterparty List
  - iii) Instruction must be settled on a Free of Payment (FOP) basis.

#### A.1 Transfer service for Multi-counter Eligible Securities

HKSCC may accept instructions from Investor Participants for the transfer of Multi-counter Eligible Securities from one stock code of Multi-counter Eligible Securities of an Issuer to another stock code of Multi-counter Eligible Securities of the same Issuer provided that the securities concerned are of the same class.

#### B. Money Settlement

HKSCC acts as a facilitator of money settlement between Investor Participants and non-Investor Participants. Each Investor Participant has to designate a bank account for money settlement purpose. CCASS will generate Electronic Payment Instructions (EPIS), Direct Debit Instructions (DDIs), Direct Credit Instructions (DCIs) or Clearing House Automated Transfer System (CHATS) Payment Instructions via its banker to Hong Kong Interbank Clearing Limited for processing.

#### C. Deposit and Withdrawal of Physical Share Certificates

Share certificates registered in the name of the Investor Participant or HKSCC Nominees Limited are acceptable to HKSCC for deposit into CCASS. After successful re-registration, the shares are credited to the stock account of the Investor Participant and available for securities settlement inside CCASS. Investor Participants can also have the option to withdraw physical certificates against their credit stock balances.

#### D. Nominee Services

HKSCC provides comprehensive nominee services to Investor Participants in respect of their stock balances held in CCASS. These include dividend / bonus shares collection, subscription and voting.

For corporate actions that require Investor Participants to make decision, HKSCC will send reminders to Investor Participants to inform them of the corporate actions and deadlines for giving instructions to HKSCC. Investor Participants should also refer to Activity Statement for notification of relevant corporate action activities.

Investor Participants who wish to elect to receive scrip entitlements in lieu of cash dividend payments in respect of all future dividend entitlements with scrip option for the entire holdings of the selective stock(s) or all stocks can give Standing Instructions to HKSCC by submitting a prescribed request form to Customer Service Centre.

#### E. Statements

On the day following the execution of a stock, nominee or money transaction, HKSCC will mail an activity statement to the Investor Participant. A monthly statement, detailing the money ledger and stock account movements for the month and balances of all stocks in the stock account, will also be sent. Investor Participants who have selected not to receive the statements by mail can view the statements via CCASS Internet System.

<sup>1</sup> Non-Investor Participants means Clearing, Custodian, Stock Lender or Stock Pledgee Participants

**1.1 CCASS Services Available to Investor Participants****F. Corporate Communications**

Unless otherwise instructed by Investor Participants, HKSCC will arrange for the direct distribution of corporate communications, such as notices and annual reports, by listed issuers to Investor Participants.

**G. Repealed****H. Tendering of Exchange Fund Notes (EFN), Government Bonds, Specified Instruments and/or CMU Instruments**

Investor Participants are able to participate in the tendering for new EFN, Government Bonds, Specified Instruments and/or CMU Instruments via the Investor Account. EFN, Government Bonds, Specified Instruments and/or CMU Instruments will be settled through CCASS on a trade-for-trade basis when they are listed on the Stock Exchange of Hong Kong. Transfer of EFN, Government Bonds, Specified Instruments and/or CMU Instruments between Investor Participants and non-Investor Participants are done by means of ISIs while transfer of EFN, Government Bonds, Specified Instruments and/or CMU Instruments between Investor Participants and Recognised Dealers of Central Moneymarkets Unit are done by means of Transfer Instructions (TIs).

**I. Short Message Services (SMS)**

HKSCC provides Short Message Services (SMS) for sending reminder messages to Investor Participants who subscribe to the service. Reminder messages include:

- ISIs inputted by non-Investor Participants required affirmation
- settled ISIs
- announcement summary and deadline for dividend election and voting instructions
- tender announcements
- rejected transactions such as Direct Debit Instruction (DDI).

SMS is available within the local telecommunication network in Hong Kong only.

**J. Disclosure of Shareholding Information**

Through the “Participant Shareholding Report” service (PSH) to listed issuers and the “CCASS Shareholding Search” service to the public, the CCASS shareholding details, including the names, addresses, and shareholding information of Investor Participants will be disclosed to the service users if they have given HKSCC their prior written consent to such disclosure.

For Investor Participants who have not given consent to such disclosure, (i) their addresses will be concealed from the PSH reports; and (ii) their shareholding will only be aggregated and displayed as a consolidated total without any of their identities to be shown to the public.

**K. Accessing CCASS via the Internet**

Investor Participants will be able to access the Investor Account Service via the Internet. The Internet access facility will allow Investor Participants to obtain statements, view circulars, affirm and input ISIs, check account balances, enquire issuer announcements and participate in corporate activities, etc., in the comfort of their homes or anywhere in the world using a computer with an Internet connection.

## 1.2 Communicating with CCASS

### 1.2.1 CCASS Phone System

Investor Participants can input and affirm ISIs, issue instructions to CCASS and make enquiries about their stock accounts through the CCASS Phone System by using the touch-tone phones. Investor Participants can listen to the details and follow the instructions given by the Interactive Voice Response System (IVRS).

CCASS Phone Operations Hotline : ☎ 2979-7888 *for Investor Participants*

Services	Day	Time
Input and Affirm ISIs	Monday - Friday  Saturday / Sunday / public holiday	00:00 – 07:00*# 07:00 – 19:00 19:00 – 00:00* 24 hours*#
Input/Cancel Subscription Instructions - Non-End Date by Direct Debit Instruction (DDI) payment  - End Date by CHATS payment or nil payment	Monday - Friday  Saturday / Sunday / public holiday  Monday - Friday	00:00 – 07:00*# 07:00 – 19:00 19:00 – 00:00*  24 hours*#  19:00 (End Date – 1) – 07:00(End Date)* 07:00 - 11:00
Input/Change Dividend Election Instructions - Non-End Date  - End Date	Daily  Monday - Friday	24 hours#  00:00 - 12:00#
Input/Change Voting Instructions - Non-End Date  - End Date	Daily  Monday - Friday	24 hours#  00:00 - 16:15#
Input/Cancel Tender Instructions - Non-Application-End Date  - Application End Date	Daily  Monday - Friday Saturday	24 hours#  00:00 - 15:45# 00:00 - 13:00#
Enquiries	Daily	24 hours#
Operator Assistance	Monday - Friday	09:00 - 18:00

\* Instruction inputted during the period will be processed on next system online session (at around 07:00).

# HKSCC will process the system maintenance job from 05:00 to 06:00, Monday to Saturday and public holiday and from 00:00 – 07:00 on Sunday. During the period, there will be no service provided.

## 1.2 Communicating with CCASS

### 1.2.1 CCASS Phone System

Investor Service Enquiry Hotline : ☎ 2979-7000 *for the general public*

Services	Day	Time
General Enquiries	Daily	24 hours#
Operator Assistance	Monday - Friday	09:00 - 18:00

#HKSCC will process the system maintenance job from 05:00 to 06:00, Monday to Saturday and public holiday and from 00:00 – 07:00 on Sunday. During the period, there will be no service provided.

### Important Notes :

- When calling the CCASS Phone System, Investor Participants can press ‘0’ to talk to our Customer Service Officer .
- Deposit of shares are only accepted at the Depository Service Counters.
- Investor Participants should call the CCASS Phone Operations Hotline (2979-7888) for any account enquiry as this hotline is operated exclusively for Investor Participants.
- ISIs and subscription instructions inputted during the following period will be processed on next system online session (at around 07:00). Investor Participants are advised to check against the relevant enquiry functions if such instructions are accepted by HKSCC after 07:00 on next system online session.
  - (i) 00:00 to 07:00 (excluding 05:00 to 06:00 when the system is suspended for maintenance) and 19:00 to 00:00 from Monday to Friday
  - (ii) Saturday, Sunday and public holiday

## 1.2 Communicating with CCASS

### 1.2.2 CCASS Internet System

Investor Participants can input and affirm ISIs, issue instructions to CCASS and perform account enquiry functions by logon the website of HKSCC Investor Account Homepage using the self created Internet User ID and Password or an e-Cert issued by the Hongkong Post.

The website of CCASS Internet System: <https://ip.ccass.com>

Services	Day	Time
Notice Board	Daily	24 hours#
Input and Affirm ISIs	Monday - Friday  Saturday / Sunday / public holiday	00:00 – 07:00*# 07:00 – 19:00 19:00 – 00:00* 24 hours*#
Maintain ISI Counterparty List	Daily	24 hours#
Input/Cancel Subscription Instructions - Non-End Date by Direct Debit Instruction (DDI) payment  - End Date by CHATS payment or nil payment	Monday - Friday  Saturday / Sunday / public holiday  Monday - Friday	00:00 – 07:00*# 07:00 – 19:00 19:00 – 00:00*  24 hours*#  19:00 (End Date – 1) – 07:00(End Date)* 07:00 - 11:00
Input/Change Dividend Election Instructions - Non-End Date  - End Date	Daily  Monday - Friday	24 hours#  00:00 - 12:00#
Input/Change Voting Instructions - Non-End Date  - End Date	Daily  Monday - Friday	24 hours#  00:00 - 16:15#
Appoint Rep. To Attend Meeting Form	Daily	24 hours#
Input/Cancel Tender Instructions - Non-Application End Date  - Application End Date	Daily  Monday - Friday Saturday	24 hours#  00:00 – 15:45# 00:00 – 13:00#

\* Instruction inputted during the period will be processed on next system online session (at around 07:00).

# HKSCC will process the system maintenance job from 05:00 to 06:00, Monday to Saturday and public holiday and from 00:00 – 07:00 on Sunday. During the period, there will be no service provided.

## 1.2 Communicating with CCASS

### 1.2.2 CCASS Internet System

Services	Day	Time
Stock Withdrawal Form	Daily	24 hours#
Enquiries	Daily	24 hours#
IP Statement	Daily	24 hours#
Investor Account Maintenance	Daily	24 hours#
Forms Download	Daily	24 hours#
e-Cert Maintenance Internet User ID Maintenance	Daily	24 hours#
Contact Us	Daily	24 hours#
Rules & Procedures Terms of Use CCASS Phone System	Daily	24 hours#

# HKSCC will process the system maintenance job from 05:00 to 06:00, Monday to Saturday and public holiday and from 00:00 – 07:00 on Sunday. During the period, there will be no service provided.

#### Important Notes :

1. For accessing CCASS Internet System, your personal computer is recommended to have the following configuration:

- Windows 10 or above
- Internet connection provided by an Internet service provider
- The web site is best viewed by Microsoft Edge browser
- Enable JavaScript and allow cookies on your browser

2.. If the machine is left idle for more than 15 minutes, the system will logoff automatically to prevent unauthorized access.

## 1.2 Communicating with CCASS

### 1.2.3 Customer Service Centre

Investor Participants can submit instruction input requests to the Customer Service Centre as an alternative to the CCASS Phone Operations Hotline and CCASS Internet System. Our Customer Service Centre is located at :

1/F One & Two Exchange Square  
8 Connaught Place Central  
Hong Kong

Services	Day (except public holidays)	Time
Input and Affirm ISIs	Monday - Friday	09:00 – 18:00
Input/Cancel Subscription Instruction - Non-End Date by Direct Debit Instruction (DDI) payment	Monday - Friday	09:00 – 18:00
- End Date by CHATS payment or nil payment	Monday - Friday	09:00 – 11:00
Input/Change Dividend Election Instruction - Non-End Date	Monday - Friday	09:00 – 18:00
- End Date	Monday - Friday	09:00 – 12:00
Input/Cancel Standing Instruction * (elect to receive scrip entitlements in lieu of cash dividend payments) - Non-End Date of Dividend Election	Monday - Friday	09:00 – 18:00
- End Date of Dividend Election	Monday - Friday	09:00 – 12:00 (Effective on the same day) 12:01 – 18:00 (Effective on the next business day)
<i>* Please refer to section 3.2.2.2 for details</i>		
Input/Change Voting Instruction - Non-End Date	Monday - Friday	09:00 – 18:00
- End Date	Monday - Friday	09:00 – 16:15
Submit Withdrawal Orders	Monday - Friday	09:30 – 15:45
Input/Cancel Tender Instructions - Non-Application End Date	Monday - Friday	09:00 – 18:00
- Application End Date	Monday - Friday	09:00 – 15:45
Input Multi-counter Transfer Instructions	Monday – Friday	09:00 – 15:00 (Effective on the same day) 15:01 – 18:00 (Effective on the next business day)
General Enquiries	Monday - Friday	09:00 – 18:00

**1.2 Communicating with CCASS****1.2.4 Depository Service Counters**

The Depository Service Counters mainly provide the physical share certificates deposit and collection services. They are located at :

1/F One & Two Exchange Square  
8 Connaught Place Central  
Hong Kong.

<b>Services</b>	<b>Day (except public holidays)</b>	<b>Time</b>
Deposit Shares	Monday - Friday	09:30 – 15:45
Collection of Share Certificates (after a Withdrawal Order is submitted to the Customer Service Centre)	Monday - Friday	09:30 – 17:00

**Important Notes :**

- Investor Participants should first submit either a ‘Withdrawal Order Input Request Form’ to the Customer Service Centre or an electronic ‘Withdrawal Order Form’ via the CCASS Internet System before collecting share certificates at the Depository Service Counters.
- All instruction input requests can be submitted in person or by authorized representative of Investor Participants to the Customer Service Centre. For Corporate Accounts, all input forms must be duly signed by the authorized persons (with company chop, ONLY applicable if it forms part of your signing instruction).
- Investor Participants will receive copies of the relevant input request forms imprinted with machine validation for all instruction inputs done at the Customer Service Centre.



**1.3 Services Available from CCASS Phone System**

**1.3.1 CCASS Phone Operations Hotline : ☎ 2979-7888**

**When connected to the Hotline, press the number to select language...**

**Enter CCASS Phone User ID and Password**

**From the Main Menu of IP Account Services, press...**

**1**

**Investor Settlement Instruction (ISI)**

*then ☎*

- |   |                                   |
|---|-----------------------------------|
| 1 | <b>Affirm ISI</b>                 |
| 2 | <b>Input ISI</b>                  |
| 3 | <b>Enquire ISI Activities</b>     |
| 1 | Enquire Affirmed ISI              |
| 2 | Enquire Self Input ISI            |
| 3 | Enquire ISI Input by Intermediary |
| 4 | Enquire ISI Money Obligation      |

**2**

**Enquire Stock Account Balance**

**3**

**Subscription, such as rights issue, takeover, warrant subscription, open offer or bond conversion**

*then ☎*

- |   |  |
|---|--|
| 1 | <b>Input Subscription Instruction</b>                  |
| 2 | <b>Cancel Subscription Instruction</b>                 |
| 3 | <b>Enquire Subscription Instruction Done</b>           |
| 4 | <b>Enquire Subscription Instruction Input Deadline</b> |

**4**

**Dividend Election or Voting**

*then ☎*

- |   |   |
|---|---|
| 1 | <b>Dividend Election</b>                      |
| 1 | Input or Change Dividend Election Instruction |
| 1 | Input Dividend Election Instruction           |
| 2 | Change Dividend Election Instruction          |
| 2 | Enquire Election Instruction Done             |
| 3 | Enquire Election Instruction Input Deadline   |
| 2 | <b>Voting Instruction</b>                     |
| 1 | Input or Change Voting Instruction            |
| 1 | Input Voting Instruction                      |
| 2 | Change Voting Instruction                     |
| 2 | Enquire Voting Instruction Done               |
| 3 | Enquire Voting Instruction Input Deadline     |

## 1.3 Services Available from CCASS Phone System

### 1.3.1 CCASS Phone Operations Hotline : ☎ 2979-7888

From the Main Menu of IP Account Services, press...

5

#### Other Services

then ☞

- 1 Change Password
- 2 Other Account Services
  - 1 Change Account Information\*
  - 2 Request Statement Reprint\*
  - 3 Close Account\*
- 3 Depository Service Procedures
  - 1 Stock Deposit\*
  - 2 Stock Withdrawal\*

\* Press 1 to receive information by fax or press 2 to listen the details

6

#### Tender

then ☞

- 1 Repealed
- 2 Tender
  - 1 Input Tender Instruction
  - 2 Cancel Tender Instruction
  - 3 Enquire Tender Instruction Done
  - 4 Enquire Tender Announcement
  - 5 Enquire Tender Result
- 3 Repealed

#### Common Keys:

- \* Repeat
- 0 Operator Assistance
- 1 Confirm
- 3 Cancel
- 6 Back to Submenu
- 7 Next
- 8 Mainmenu
- 9 Quit

### 1.3 Services Available from CCASS Phone System

#### 1.3.2 Investor Service Enquiry Hotline : ☎ 2979-7000

When connected to the Hotline, press the number to select language...

From the Main Menu, press...

1

#### Type of Services

then ☎

- |   |                               |
|---|-------------------------------|
| 1 | To receive information by fax |
| 2 | Type of Services              |

2

#### Admission Criteria and Application Procedure

then ☎

- |   |                               |
|---|-------------------------------|
| 1 | To receive information by fax |
| 2 | Admission Criteria            |
| 3 | Application Procedure         |

3

#### Tariff

then ☎

- |   |                               |
|---|-------------------------------|
| 1 | To receive information by fax |
| 2 | Account Maintenance Fee       |
| 3 | ISI Settlement Fee            |
| 4 | Depository Service Fee        |
| 5 | Nominee Service Fee           |
| 6 | Other Money Settlement Fee    |

4

#### Service Hours and Location

then ☎

- |   |                               |
|---|-------------------------------|
| 1 | To receive information by fax |
| 2 | Service Hours and Location    |

#### Common Keys:

- |   |                     |
|---|---------------------|
| * | Repeat              |
| 0 | Operator Assistance |
| 8 | Mainmenu            |
| 9 | Quit                |

## 1.4 Service Available from CCASS Internet System

CCASS Internet System: <https://ip.ccass.com>

### 1.4.1 From Main Menu

Notice Board	<i>under sub-menu</i> ☞ Circulars Broadcast Messages Corporate Action Reminder Frequently Asked Questions
Investor Settlement Instruction (ISI)	<i>under sub-menu</i> ☞ Affirm ISI Input ISI (Without Affirmation) Enquire ISI
ISI Counterparty List Maintenance	<i>under sub-menu</i> ☞ Input ISI Counterparty List Cancel ISI Counterparty List Enquire ISI Counterparty List
Subscription	<i>under sub-menu</i> ☞ Input Subscription Instruction Cancel Subscription Instruction Enquire Subscription Instruction
Dividend Election	<i>under sub-menu</i> ☞ Input Dividend Election Instruction Change Dividend Election Instruction Enquire Dividend Election Instruction
Voting	<i>under sub-menu</i> ☞ Input Voting Instruction Change Voting Instruction Appoint Rep. To Attend Meeting Form Enquire Voting Instruction
Tender	<i>under sub-menu</i> ☞ Input Tender Instruction Cancel Tender Instruction Enquire Tender Announcement Enquire Tender Instruction
Stock Withdrawal Form	
Enquiry	<i>under sub-menu</i> ☞ Stock Balance ISI Money Obligation Corporate Activities Issuer Announcement

## 1.4 Service Available from CCASS Internet System

### 1.4.1 From Main Menu

IP Statement

Investor Account Maintenance

Forms Download

e-Cert Maintenance

*Only applicable for e-Cert access*  
*under sub-menu* ☛ **Change e-Cert Registration Details**  
**Enquire e-Cert Registration Details**

Internet User ID Maintenance

*Only applicable for Internet User ID access*  
*under sub-menu* ☛ **Change Internet Account Profile**  
**Enquire Internet Account Profile**  
**Change Internet User Password**

Contact Us

Rules & Procedures

*under sub-menu* ☛ **Terms and Conditions for Investor Participants**  
**Terms and Conditions for SMS**  
**Operating Guide for Investor Participants**  
**HKSCC Operational Procedures**  
**General Rules of HKSCC**

Terms of Use

CCASS Phone System

Logout

## **1.4 Service Available from CCASS Internet System**

### **1.4.2 From My Account Page**

**Broadcast Message**

**Unaffirmed ISI**

**Voting Instruction**

**Dividend Election Instruction**

**Subscription**

**Tender Result**

#### **Important Note:**

- An icon of “My Account” is placed besides the CCASS Phone User ID. There are 7 tabs for accessing different functions directly.
- A sign (\*) will be appended on the tab(s) if there is any outstanding transactions for the related functions.
- Sorting function is available for Unaffirmed ISI, Voting Instruction, Dividend Election Instruction and Subscription. Investor Participants can click on the column name to sort the information of the selected function.