

3.7 Account Maintenance

Investor Participants can request changes to the records maintained by CCASS, including general account information, the names of the account holders, the authorized signatories and their designated banks. Other account maintenance procedures are also described in this section.

3.7.1 Change Account Information Procedure

Investor Participants are required to complete and submit the original copies of relevant forms to our Customer Service Centre or by mail to effect the changes.

Investor Participants are allowed to online enquire the account information through CCASS Internet System.

Information to be Changed	Form to be Submitted	Time for Processing
Account Information (e.g. addresses, telephone numbers)	Account Information Change Form	3 working days
Account Name (for Corporate Investor Participants only)	Account Name Change Form	5 working days
List of CCASS Authorized Signatories (for Corporate Investor Participants only)	Authorized Signatories Change Form	5 working days
Designated Bank Account	Designated Bank Account Change Form	3 weeks

Important Notes :

- All the above-mentioned forms can be obtained from our Customer Service Centre. Investor Participants can also receive the forms via fax at CCASS Phone Operations Hotline (2979 7888) or download the form via CCASS Internet System.
- Save with the prior written approval of HKSCC, an Investor Participant shall not close or change its designated bank account (or modify the authority of HKSCC in respect thereof) or change its designated bank.

3.7.2 Reset Password Procedure

Investor Participants may need to reset their CCASS Phone or Internet User passwords if they have forgotten them or their passwords are revoked by CCASS Phone System or CCASS Internet System resulting from 3 invalid inputs.

Investor Participants are required to complete and submit a 'Request Form for Resetting a Password' to our Customer Service Centre in person or by mail to reset the passwords. The process will normally take 3 working days for request received by mail. For Investor Participants who submit the form in person, the password will be effected around 2 hours later.

Important Notes :

- The 'Request Form for Resetting a Password' can be obtained from our Customer Service Centre or downloaded via the CCASS Internet System.
- HKSCC will notify the Investor Participants by mail when the new passwords are ready for collection.
- Investor Participants must collect their new passwords within 6 months. Otherwise, the new passwords will be revoked by HKSCC and Investor Participants are required to follow the same procedure to reset their passwords again.

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3.7.3 Close Account Procedure

Investor Participants are required to complete and submit the original copy of 'Close Account Notice' to our Customer Service Centre to close their Investor Accounts.

An Investor Participant must do *all* the following before submitting close account notice to the Customer Service Centre.

1. Settle all outstanding ISIs that are already pending for settlement;
2. Withdraw all shares they held in CCASS; and
3. Settle all money obligations due to HKSCC.

Important Notes :

- The 'Close Account Notice' can be obtained from our Customer Service Centre. Investor Participants can also receive the form via fax at CCASS Phone Operations Hotline (2979 7888) or download the form via the CCASS Internet System.
- Investor Participants must maintain their designated bank accounts for at least one month from the date HKSCC accepts the close account notice, in order to settle any potential fees and payments due.
- The outstanding amount will be collected from Investor Participant when submitting the 'Close Account Notice'.
- If there is any cash entitlement to be distributed after submitted the 'Close Account Notice', it will be issued in cheque about one month after the distribution date.

3.7.4 Change of User Profile Procedure

Corporate Investor Participants are required to submit 'User Profile List' to our Customer Service Centre to assign user access level and transaction limit. The update process of the user profile normally takes 3 - 5 working days.

Important Notes :

- The 'User Profile List' can be obtained from our Customer Service Centre. Investor Participants can also download the form via the CCASS Internet System.
- HKSCC will notify the Investor Participants by mail of the effective date of the list.

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3.7.5 Reactivate Suppressed Account Procedure

HKSCC may close or suspend the stock account of an Investor Participant in accordance with the provisions of the 'Terms and Conditions for Investor Participants', the 'General Rules of HKSCC' and the 'HKSCC Operational Procedures' including circumstances under which the closing or suspension is required by law, valid rule or regulation of any government or governmental agency and valid executive or administrative or judicial order.

In the case of suppressed or delinquent account resulting from overdue payment, Investor Participants can reactivate the account by submitting a completed and signed 'Reactivate Suppressed / Delinquent Investor Account Request Form' to our Customer Service Centre.

Investor Participants must settle all overdue amount with a cheque payable to 'Hong Kong Securities Clearing Company Limited'. The account reactivating process usually takes 5 working days after successful clearing of the cheque.

Important Notes :

- The 'Reactivate Suppressed / Delinquent Investor Account Request Form' can be obtained from our Customer Service Centre. Investor Participants can also download the form via the CCASS Internet System
- If the designated bank account of the Investor Participant has been closed, the money related CCASS functions will only be available after Direct Debit Authorisation setup by the designated bank.