

香港中央結算有限公司  
(香港交易及結算所有限公司全資附屬公司)

**HONG KONG SECURITIES CLEARING COMPANY LIMITED**  
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

## 通告 CIRCULAR

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Subject: New service to facilitate submission of requisitions to Issuers

Enquiry: Hotline: 2979 7111 / E-mail: [clearingps@hkex.com.hk](mailto:clearingps@hkex.com.hk)

HKSCC is pleased to announce a new service to enable the submission of requisitions to Issuers with effect from 21 December 2020.

### Background

Currently, investors are required to withdraw their eligible securities from CCASS via HKSCC Participants<sup>1</sup> and have the securities re-registered in their own names before they can submit requisitions to Issuers to exercise their shareholder rights. On written application by HKSCC Participants, HKSCC may grant Stock Withdrawal Fee Concession for such withdrawal provided that the applicable terms and conditions set out in the circular dated 17 December 2020 are met (see circular ref: [CD/DNS/CCASS/374/2020](#)).

### New service and its scope

In addition to the Stock Withdrawal Fee Concession currently available for application, investors may now apply via HKSCC Participants to request HKSCC to submit the following three types of requisitions<sup>2</sup> to Issuers in the capacity as the nominee holder of the relevant securities on their behalf:

1. To request the directors<sup>3</sup> of an Issuer to call a general meeting;
2. To request an Issuer to circulate to its members or securities holders a statement with respect to a matter mentioned in a proposed resolution to be dealt with at a general meeting or other business to be dealt with at that meeting; and/or
3. To request the Issuer to give notice of a resolution that may properly be moved and is intended to be moved at an annual general meeting.

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<sup>1</sup> Means a Participant as defined in the General Rules of CCASS.

<sup>2</sup> The HKSCC Participant is required to confirm to HKSCC that its client is entitled to raise the relevant requisition(s) under the laws of the Issuer's place of incorporation or domicile, Issuer's formation documents and/or constitutional documents.

<sup>3</sup> Or, if the Issuer is an authorised collective investment scheme listed under Chapter 20 of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited, the directors of the scheme or the entity which operates or manages the said scheme.

Please note that the new service is also subject to the requisitions being available under the laws of the Issuer's place of incorporation or domicile, Issuer's formation documents and/or constitutional documents and the minimum statutory shareholding requirement or other relevant minimum securities holding requirement applicable to making the requisitions being met.

### **Requirements and procedures**

A HKSCC Participant is required to submit an application in the prescribed form, together with the required documentation as specified in the application form in original, to 1/F, One & Two Exchange Square, 8 Connaught Place, Central, Hong Kong before 6:00 p.m. Monday to Friday (except public holiday) to apply for the new service. The prescribed form, CCASS-Form 105, is available at [HKEX website](#).

Upon acceptance and processing by HKSCC of the application from the HKSCC Participant based on the information provided by the HKSCC Participant, HKSCC will cause the requisition to be made within three business days, or such longer period as HKSCC may in its sole discretion consider necessary. The handling fee of HKD3,000 per requisition will be charged on the day of submission of documents to the Issuer. Thereafter, HKSCC will notify the HKSCC Participant of any responses received from the Issuer in respect of the requisition accordingly. The requisitioner is required to handle any question or request from the Issuer, the relevant exchange and/or regulatory authorities directly.

Investors and the HKSCC Participants submitting the application for the new service on their behalf shall ensure the accuracy and completeness of the information and supporting documents to be provided to HKSCC. They are also required to ensure that all the relevant requirements (including without limitation any minimum statutory shareholding requirement and any notification period) applicable to making the requisition are fully complied with. HKSCC has no responsibility to verify the completeness and correctness of any information provided by a HKSCC Participant.

HKSCC Participants applying for the new service are recommended to take into account the processing time required by HKSCC in preparing the requisition for their clients. HKSCC do not guarantee that any target submission timeline proposed by the HKSCC Participant can be met.

Should there be any queries regarding this new service, please contact CCASS hotline at 2979 7111.

Maria Leung  
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Depository and Nominee Services