

Terminal Operations

FUNCTION NAME: CORPORATE REPRESENTATIVE/PROXY MAINTENANCE

WHEN TO USE:

- The corporate representative/proxy maintenance is used in relation to corporate representative/proxy instruction for a voting announcement.
- Participants are able to submit proxy instruction with voting preference via CCASS Terminal for Cumulative Vote. The details of the Cumulative Vote can be found in the relevant Proxy Form, Circular and the Notice of Meeting.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Corporate Representative/Proxy
To add a corporate representative/proxy detail record for a voting announcement during the voting period.
- B. Change Corporate Representative/Proxy
To amend the details of a pending corporate representative/proxy record entered by the participant during the voting period.
- C. Delete Corporate Representative/Proxy
To delete the details of a pending corporate representative/proxy record entered by the participant during the voting period.
- D. Authorise Corporate Representative/Proxy
To authorise a pending voting instruction which was entered via the AUTHORISE CORPORATE REPRESENTATIVE/PROXY function during voting period; OR
To change an authorised corporate representative/proxy record from "authorised" status to "pending" status for updating the details of the corporate representative/proxy record during the voting period.
- E. Enquire Corporate Representative/Proxy
To make enquiries on the details and current status of corporate representative/proxy records.

AVAILABLE FUNCTION TIME:

- The Enquire Corporate Representative/Proxy function is available between 8:00 a.m. and 8:00 p.m. Monday to Friday (except holidays). All other Corporate Representative / proxy related maintenance functions are available daily between 8:00 a.m. and 7:00 p.m. Monday to Friday (except holidays).
- On voting end date imposed by CCASS, corporate representative / proxy related maintenance must be performed before 4:15 p.m. on the day.

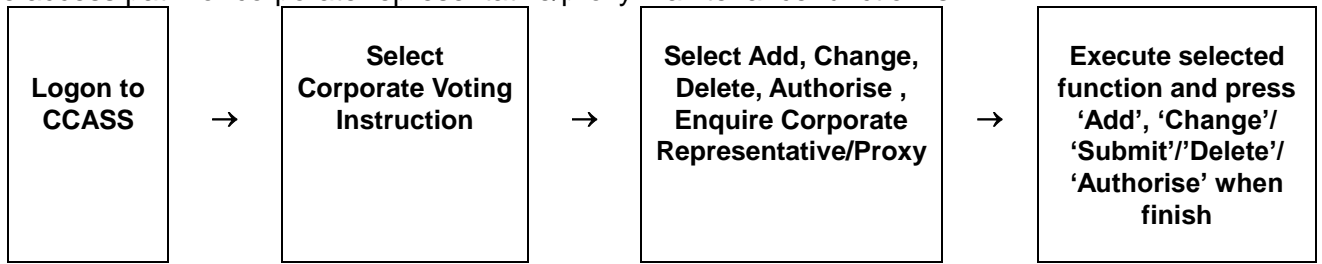
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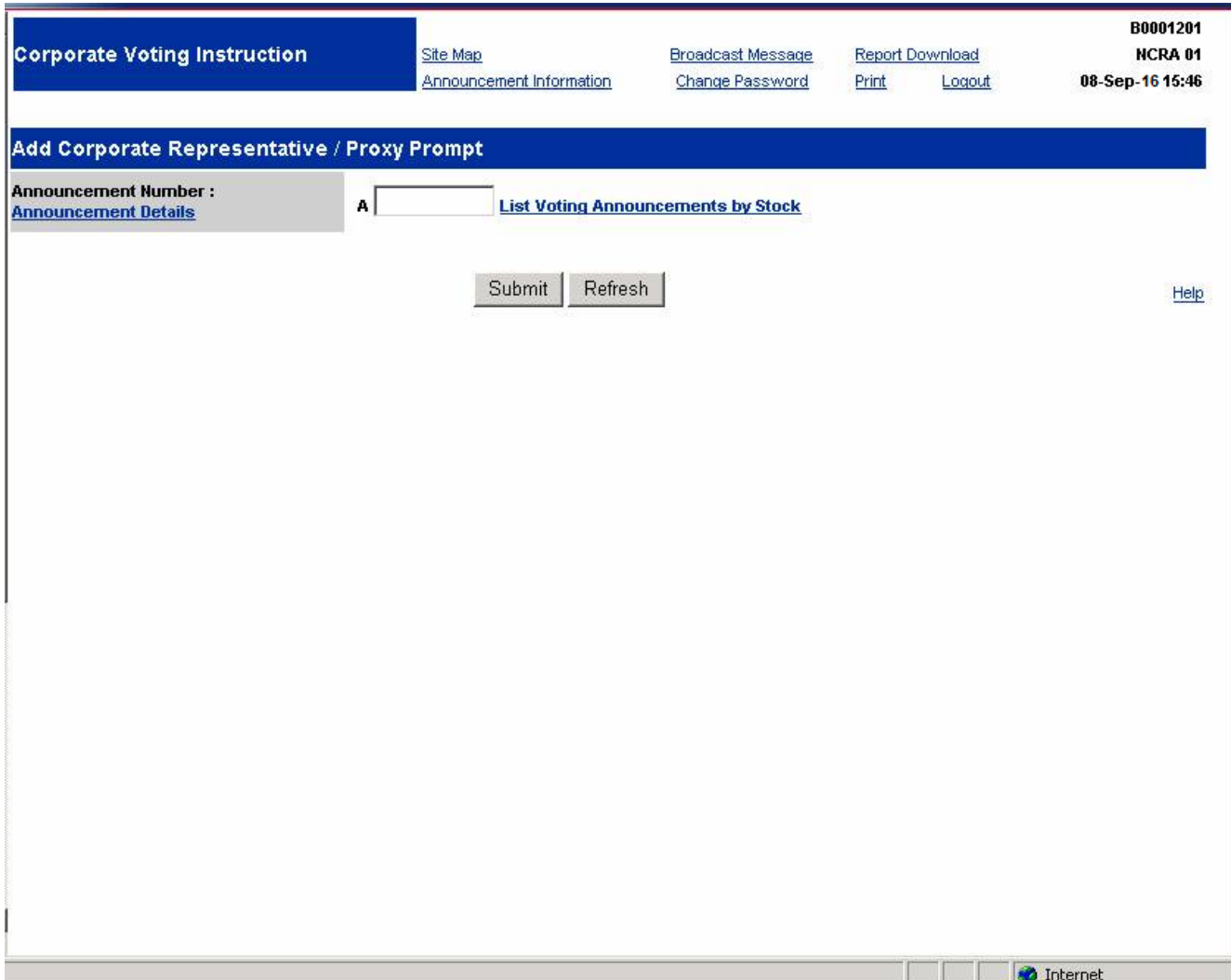
FUNCTIONAL DESCRIPTIONS:

- When inputting a corporate representative/proxy record, participants are required to input the following mandatory fields:
 - * Corporate announcement number for the voting instruction
 - * Title for corporate representative (either Mr or Ms)
 - * Full name for corporate representative/proxy
 - * Address for corporate representative/proxy
 - * No. of shareholding for corporate representative/proxy appointed
- Inputting of corporate representative/proxy record for the appropriate voting announcement will require input of the relevant announcement number. The appropriate announcement number can be obtained by clicking the “List Voting Announcements by Stock” hyperlink displays in the prompt screen will allow users to input the relevant stock code for listing of all relevant voting announcements for that particular stock. Then the maintenance can be continued by clicking the required announcement number displayed in the list screen. If required, the announcement details can be retrieved by inputting the relevant announcement number, then click onto the “Announcement Details” displayed in the prompt screen.
- In Cumulative Vote, the total votes are represented by the shares held by the shareholders multiplied by the number of directors/supervisors to be elected, and the total votes can be cast partially to several directors/supervisors or fully to one director/supervisor. Participants should refer to the relevant Proxy Form, Circular and the Notice of Meeting for the details of Cumulative Vote.
- Upon successful input of a corporate representative/proxy record, the record is at ‘Pending’ status. The details of a ‘Pending’ corporate representative record can be changed within the voting instruction period using the CHANGE CORPORATE REPRESENTATIVE/PROXY function within the voting period as long as the instruction is at ‘Pending’ status. The details which can be changed for a corporate representative/proxy record include the CORPORATE REPRESENTATIVE/PROXY FULL NAME, CORPORATE REPRESENTATIVE/PROXY ADDRESS, CORPORATE REPRESENTATIVE/PROXY HOLDING and the VOTING PREFERENCE under each resolution by the proxy, if any.
- The DELETE CORPORATE REPRESENTATIVE/PROXY MAINTENANCE function can be used to delete corporate representative/proxy records which have not been authorised. Once a corporate representative/proxy record is deleted, the details are removed from CCASS, and enquiry or retrieval of the corporate representative/proxy record is not available.
- ‘Pending’ corporate representative/proxy records require authorisation using the AUTHORISE CORPORATE REPRESENTATIVE/PROXY function in order for the status to be updated to ‘Authorised’ and be recorded in CCASS. Also, ‘Authorised’ corporate representative/proxy records can be changed from ‘Authorised’ back to ‘Pending’ using the AUTHORISE CORPORATE REPRESENTATIVE/PROXY function for changing of the details of authorised records. However, such ‘Pending’ records require authorisation after updating in order for the status to be updated to ‘Authorised’ status and be recorded in CCASS.
- ENQUIRE CORPORATE REPRESENTATIVE/PROXY function can be used to make enquires on the details of corporate representative/proxy records. Data cannot be entered or changed with this function.

The access path for corporate representative/proxy maintenance function is:



CORPORATE REPRESENTATIVE/PROXY MAINTENANCE – Sample Screen (1) :



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CORPORATE REPRESENTATIVE/PROXY MAINTENANCE – Sample Screen (2) :

Corporate Voting Instruction

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B0001201
 NCRA 04
 18-Apr-16 15:55

Add Corporate Representative / Proxy Execution

Announcement Number:	A00055806 VT ----- END1	Status:	PENDING
Voting Instruction Number:	R00286335		
Shareholding:	X,XXX,XXX,XXX,XXX		
Stock:	1 STOCK-->NAME		
ISIN:	HK0001000014		
Corporate Voting Holding:	X,XXX,XXX,XXX,XXX		
Share To Voting:	1. To 1.		
Total Instruction Holding:	X,XXX,XXX,XXX,XXX		
Corp Rep/Proxy Full Name:	Mr JOHN DOE		
Corp Rep/Proxy Address:	HOI WAN STREET 1 CHINA CHEM EXCHANGE SQUARE QUARRY BAY		
Corp Rep/Proxy Holding:	X,XXX,XXX,XXX,XXX		
Corp Rep/Proxy Voting Rights:	X,XXX,XXX,XXX,XXX		

Number In Proxy Form Enquire Resolution Description	Description Summary in the Proxy Form	For	Against	Abstain/V/withhold	Non Voted
1	Re-elect Chan Tai Man as director of boa	1,234,567,890,123	1,234,567,890,123	1,234,567,890,123	1,234,567,890,123
2	Re-elect Chan Tai Man as director of boa	1,234,567,890,123	1,234,567,890,123	1,234,567,890,123	1,234,567,890,123

[Add Another Instruction](#) [Help](#)

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
ANNOUNCEMENT NUMBER	<ul style="list-style-type: none"> - type the corporate announcement number for the list of voting instructions associated with the corporate announcement. - obtain the ANNOUNCEMENT NUMBER from the ENQUIRE ANNOUNCEMENT INFORMATION function using ENQUIRY TYPE 'A' and ANNOUCEMNET TYPE 'CORPORATE VOTING' as the selection criteria. (Refer to Section 9.2.1). - the ANNOUNCEMENT NUMBER is a 9-digit code beginning with the character 'A'. The system automatically displays the 'A' prefix. Type the remaining eight digits. e.g. for Announcement Number 'A20123456', only enter '20123456'. - leading zeros do not need to be entered. e.g. '00000123' can be entered as '123'. - click 'Submit' to display the voting instructions associated with the ANNOUNCEMENT NUMBER. - leave blank if not used as the selection criterion. - the 9 digit code with prefix 'A' announcement number will appear as hyperlink under detail screen, upon clicking the announcement number, respective announcement details will be shown in a pop-up window for information.
VOTING INSTRUCTION NUMBER	<ul style="list-style-type: none"> - display the unique reference number assigned to a corporate voting instruction, it also covers all corporate representative / proxy records in respect of the same voting announcement.
SELECT	<ul style="list-style-type: none"> - click the check box for the particular corporate representative/proxy records to be <u>authorised or deleted</u>. - click multiple check boxes for selection of multiple corporate representative/proxy records to be <u>authorised or deleted</u>. - 'Select All' for all corporate representative/proxy records to be authorised or deleted.
SHAREHOLDING	<ul style="list-style-type: none"> - display the participant's total shareholdings upon which voting are based (excluding those of SSA with Statement Service whose voting delegation indicators are set to 'No'). - for voting period starts on or before the shareholding date, shareholding will only be displayed after CCASS captured the shareholding
STOCK	<ul style="list-style-type: none"> - display the stock code and stock short name of the stock for the voting instruction.

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<u>Field</u>	<u>Description/Format</u>
ISIN	<ul style="list-style-type: none">- display the International Securities Identification Number of the stock for the voting instruction.
ISIN OR STOCK CODE	<ul style="list-style-type: none">- input the ISIN / stock code for display of a particular stock for the voting instruction.- can obtain the ISIN or stock code from the hyperlink of 'Enquire Stock List'.- must not be a delisted stock.- CCASS overlooks leading zero(s); i.e. '17', '017', '0017', and '00017' are treated as the same.
CORPORATE VOTING HOLDING	<ul style="list-style-type: none">- Corporate Voting Holding = "For" + "Against" + "Abstain/Withhold" + "Non Voted".- is automatically decreased by the number of shares involved in authorised corporate representative / proxy records.- for voting period starts after the shareholding date, the CORPORATE VOTING HOLDING is automatically displayed reflecting the maximum number of shares (excluding those of SSA with Statement Service whose voting delegation indicators are set to 'No') which can be used for voting in the instruction. This field can be updated as necessary.- for voting period starts on or before the shareholding date, the CORPORATE VOTING HOLDING field is blank before CCASS capture the shareholding. <p><i>Note:</i> For voting period starts on or before the shareholding date, it is suggested to input the same field in CHANGE CORPORATE VOTING INSTRUCTION first and then the quantity will be automatically reflected.</p>
SHARE TO VOTING	<ul style="list-style-type: none">- 'Share to Voting Ratio'- indicate the voting rights ratio by displaying the number of shares required to obtain one voting right.

<u>Field</u>	<u>Description/Format</u>
TOTAL INSTRUCTION HOLDING	<ul style="list-style-type: none"> - Total Instruction Holding = “For” + “Against” + “Abstain/Withhold” + Corp Rep/Proxy + “Non Voted”. - indicate the system calculated sum of the number of shares used for corporate representative / proxy instructions and voting instructions. - for voting period starts after shareholding date, it will be displayed automatically after CHANGE CORPORATE VOTING INSTRUCTION and will be equal to the SHAREHOLDING field. - for voting period starts on or before shareholding date, it will be displayed automatically after the input of corporate vote holding via CHANGE CORPORATE VOTING INSTRUCTION. - the difference between corporate voting holding and total instruction holding should be equal to the number of shares involved in authorised corporate representative / proxy records.
CORP REP/PROXY FULL NAME	<ul style="list-style-type: none"> - mandatory field. - title for corporate representative (either Mr or Ms). - for inputting the full name of corporate representative/proxy to be appointed. - DO NOT input any information other than the Name (e.g. Hong Kong ID number, passport number etc) - add “or” between the person’s name if more than 1 Corp Rep/Proxy to be mentioned See example below: e.g 1: Mr Chan Tai Man e.g 2: Mr Chan Tai Man or Ms Chan Siu Ling - not more than 80 characters in length.
CORP REP/PROXY ADDRESS	<ul style="list-style-type: none"> - correspondence address of the corporate representative / proxy to be appointed. - not more than 160 characters in length. - mandatory field.
CORP REP/RPOXY HOLDING	<ul style="list-style-type: none"> - for inputting the number of shares to be represented by corporate representative/proxy. - mandatory field.
CORP REP/PROXY VOTING RIGHTS	<ul style="list-style-type: none"> - display the number of voting rights for the corporate representative/proxy to be appointed. - calculated as CORP REP/PROXY HOLDING divided by SHARE TO VOTING RATIO.

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<u>Field</u>	<u>Description/Format</u>
STATUS	<ul style="list-style-type: none">- identify the status of the corporate representative/proxy record.- a newly added corporate representative/proxy record prior to authorisation is at 'Pending' status. An authorised record is at 'Authorised' status. A cancelled record is at 'Cancelled' status.- Corporate representative/proxy record can be updated to 'Authorised' status or change to 'Pending' status by selecting the status require via AUTHORISE CORPORATE REPRESENTATIVE / PROXY.
ENQUIRE RESOLUTION DESCRIPTION	<ul style="list-style-type: none">- linkage through which participants can enquire resolution description detail.
NUMBER IN PROXY FORM	<ul style="list-style-type: none">- display the resolution number recorded in the Proxy Form of Meeting.
DESCRIPTION SUMMARY IN THE PROXY FORM	<ul style="list-style-type: none">- display the description summary of the Proxy Form of Meeting.
FOR	<ul style="list-style-type: none">- input is allowed if indicator of "Allow For" is "Y".- for inputting the number of votes 'FOR' the resolution.
AGAINST	<ul style="list-style-type: none">- input is allowed if indicator of "Allow Against" is "Y".- for inputting the number of votes 'AGAINST' the resolution.
ABSTAIN/WITHHOLD	<ul style="list-style-type: none">- input is allowed if indicator of "Allow Abstain/Withhold" is "Y".- for inputting the number of votes 'ABSTAIN/WITHHOLD' the resolution.

<u>Field</u>	<u>Description/Format</u>
NON VOTED	<ul style="list-style-type: none"> - reflect the number of Non Voted holdings. - the number of Non Voted holdings is automatically recalculated for any changes to the 'FOR', 'AGAINST' and 'ABSTAIN/WITHHOLD' fields. - no input is required. <p>Note:</p> <p><u>For Non-Cumulative Voting:</u></p> <ul style="list-style-type: none"> - "NON VOTED" = Total Instruction Holding – Corp Rep /Proxy - (For + Against + Abstain/Withhold) - "NON VOTED" will be shown on each resolution. <p><u>For Cumulative Voting:</u></p> <ul style="list-style-type: none"> - "NON VOTED" = (Total Instruction Holding – Corp Rep /Proxy) x "No. of directors/supervisors to be elected" - (For + Against + Abstain/Withhold) under same cumulative group - Non Voted will be shown only in the 1st row of resolution within the group of Cumulative Vote.