

## Terminal Operations

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**FUNCTION NAME: RECIPIENT MASTER MAINTENANCE**

**WHEN TO USE:**

- The recipient master maintenance is used for maintaining a list of non-registered shareholders of securities who wish to receive Corporate Communications directly from share registrars or agent of the issuers.

**AVAILABLE MAINTENANCE FUNCTIONS:**

- A. Add Recipient Master  
To add a recipient record and specify a list of stocks to receive the relevant corporate communications, if needed, to the recipient master in CCASS.
- B. Change Recipient Master  
To update those already maintained recipient master records.
- C. Delete Recipient Master  
To delete those recipient master records, which are not being included in an event recipient list of any outstanding corporate communications event.
- D. Enquire Recipient Master  
To enquire the details of the recipient master records.

**AVAILABLE FUNCTION TIME:**

- The Enquire Recipient Master function is available between 8:00 a.m. and 8:00 p.m. Monday to Friday (except holidays). All other recipient master maintenance functions are available daily between 8:00 a.m. and 7:00 p.m. Monday to Friday (except holidays).

**FUNCTIONAL DESCRIPTIONS:**

- Recipients are those non-registered shareholders of securities wish to receive Corporate Communications.
- The ADD RECIPIENT MASTER function can be used to enter a recipient record which requires input to the following mandatory fields:
  - Recipient Number, which is a unique key assigned by the participant for identification purpose;
  - Recipient Name;
  - Address;
  - Domain;
  - HKID / Passport / BR Number and
  - Stock for Standing Instruction, to specify a list of stocks (with a maximum of 20 stocks) to receive the relevant corporate communications.

**Section 8.2.6**  
Recipient Master Maintenance

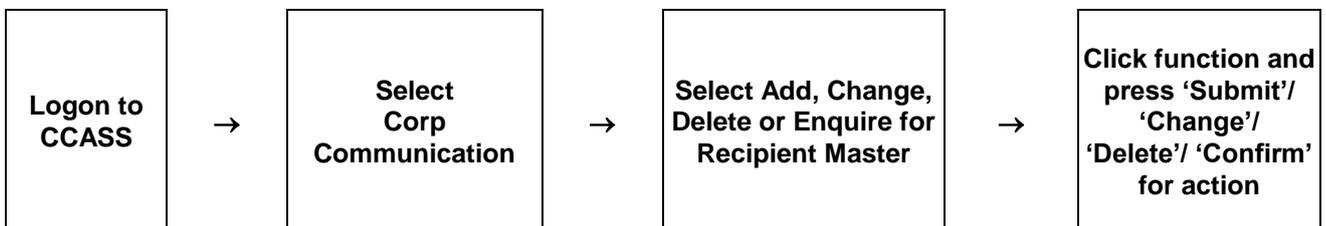
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- After successful input of the recipient details, a recipient record will be created.
- For recipient master record maintained with the “Stock for Standing Instruction”, if there is any corporate communication event available for the specified stocks, this recipient master record will be added to the respective Event Recipient List automatically. Hence, the recipient master record will not be available for selection via the Event Recipient List of the corporate communication events created for those specified stocks.
- For recipient master record which created without the “Stock for Standing Instruction”, or with the stock code of the corporate communication event not being on the list, Participants will NEED to add the recipient record to the respective Event Recipient List in order to receive the corporate communications. Please refer to 8.2.7 for details.
- The CHANGE RECIPIENT MASTER function can be used to update recipient master records. The following details of the recipient are allowed to be changed as identified below:
  - Recipient Name;
  - Address;
  - Domain;
  - HKID/Passport/BR Number; and
  - Stock code and stock name for Standing Instruction.

*If the recipient master record is generated by CCASS for the designated officer with Recipient Number defaulted as “PartID–DSG001”, a data field “All Stocks” will be available for participants to select. If the “All Stocks” indicator is selected as “Yes”, then the recipient record for the designated officer will be added to the event recipient list of all available corporate communication events in CCASS automatically. If only corporate communications of selective stocks are required for the designated officer, then participants can select “NO” at the “All Stocks” field, then add the required stock under “Stock for Standing Instruction” section (with a maximum of 20 stocks). Same features mentioned under ADD RECIPIENT MASTER function will also be applied.*

- The DELETE RECIPIENT MASTER function can be used only for those recipients that are not included in an event recipient list of any outstanding corporate communications event. Once a recipient master record is deleted, the recipient master record details are automatically removed from CCASS, an enquiry or retrieval of the recipient record will no longer be available.

The access path for recipient master maintenance function is:



RECIPIENT MASTER MAINTENANCE – Sample Screens:

Delivery Instruction (DI) | A/C Transfer Instr (A/TI) | Stk Seg A/C Transfer Instr (STI) | Settlement Instruction (SI) | Hide Unmatched SI Content Cpty List | Investor Stm Instr (ISI) | ISI (With Affirm) Cpty List | ISI (W/O Affirm) Cpty List | Payment Instruction | Cash Prepayment | Maintain Cash Prepayment Standing Instr | Stock Borrowing / Lending | SBL Bulletin Board | Login Withdrawal Order | Election Instruction | Subscription Instruction | Corp Voting Instruction | EIPO Application | Tender Instruction | Maintain Unit Order - Creation | Maintain Unit Order - Redemption | Maintain In Kind Creation / Redemption | Corp Communication | Upload Batch File | CCASS Files Authorization | Maintain Firm | Maintain Participant

**Corp Cmn Evt Recipient** | Site Map | Broadcast Message | Report Download | B0380201  
 Announcement Information | Change Password | Print | Logout | JRMA 03  
 18-Mar-08 11:58

**Add Recipient Master Execution**

Recipient Number: 0001  
 Recipient Name: CHAN TAI MAN  
 Address: 10/F  
 101 QUEEN'S ROAD  
 HK  
 Domain: Hong Kong  
 HKID / Passport / BR Number: A123456(7)  
 Stock for Standing Instruction: Maximum 20 stocks

Stock Code	Stock Name	Stock Code	Stock Name
1	CHEUNG KONG	5	HSBC HOLDINGS
388	HKEX	939	STOCK 939

[Input Another Record](#) | [Help](#)

**-2003 RECORD ADDED SUCCESSFULLY**

Hide Unmatched SI Content Cpty List | Investor Stm Instr (ISI) | ISI (With Affirm) Cpty List | ISI (W/O Affirm) Cpty List | Payment Instruction | Cash Prepayment | Maintain Cash Prepayment Standing Instr | Stock Borrowing / Lending | SBL Bulletin Board | Login Withdrawal Order | Election Instruction | Subscription Instruction | Corp Voting Instruction | EIPO Application | Tender Instruction | Maintain Unit Order - Creation | Maintain Unit Order - Redemption | Maintain In Kind Creation / Redemption | Corp Communication | Upload Batch File | CCASS Files Authorization | Maintain Firm | Maintain Participant | Maintain Collateral Account | Mtn Tran A/C to Collateral A/C Mapping | Maintain Static Data Master | Maintain Collateral Master

**Corp Cmn Evt Recipient** | Site Map | Broadcast Message | Report Download | B0302201  
 Announcement Information | Change Password | Print | Logout | JRMC 01  
 18-Mar-08 09:50

**Change Recipient Master Prompt**

Recipient Number:   
 Recipient Name:   
 Stock for Standing Instruction:

[Help](#)

## Section 8.2.6 Recipient Master Maintenance

<ul style="list-style-type: none"> <li>Delivery Instruction (DI)</li> <li>A/C Transfer Instr (ATI)</li> <li>Stk Seg A/C Transfer Instr (STI)</li> <li>Settlement Instruction (SI)</li> <li>Hide Unmatched SI Content Cpty List</li> <li>Investor Stm Instr (ISI)</li> <li>ISI (With Affirm) Cpty List</li> <li>ISI (W/O Affirm) Cpty List</li> <li>Payment Instruction</li> <li>Cash Prepayment</li> <li>Maintain Cash Prepayment Standing Instr</li> <li>Stock Borrowing / Lending</li> <li>SBL Bulletin Board</li> <li>Login Withdrawal Order</li> <li>Election Instruction</li> <li>Subscription Instruction</li> <li>Corp Voting Instruction</li> <li>EIPO Application</li> <li>Tender Instruction</li> <li>Maintain Unit Order - Creation</li> <li>Maintain Unit Order - Redemption</li> <li>Maintain In Kind Creation / Redemption</li> <li>Corp Communication</li> <li>Upload Batch File</li> <li>CCASS Files Authorization</li> <li>Maintain Firm</li> <li>Maintain Participant</li> </ul>	<p>B0302204 JPMC 03 18-Mar-08 11:53</p>																																								
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<p><b>Change Recipient Master Detail</b></p>																																									
<p>Recipient Number : 0001</p> <p>Recipient Name : CHAN TAI MAN</p> <p>Address : 10/F 101 QUEEN'S ROAD HK</p> <p>Domain : <input checked="" type="radio"/> Hong Kong    <input type="radio"/> Overseas (Address other than HK)</p> <p>HKID / Passport / BR Number : A123456(7)</p> <p>Stock for Standing Instruction : (Maximum 20 stocks)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Stock Code</th> <th>Stock Name</th> <th>Stock Code</th> <th>Stock Name</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>CHEUNG KONG</td> <td>5</td> <td>HSBC HOLDINGS</td> </tr> <tr> <td>388</td> <td>HKEX</td> <td>939</td> <td>STOCK 939</td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Stock Code	Stock Name	Stock Code	Stock Name	1	CHEUNG KONG	5	HSBC HOLDINGS	388	HKEX	939	STOCK 939																												
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## Recipient Master Record for Designated Officer

<ul style="list-style-type: none"> <li>Hide Unmatched SI Content Cpty List</li> <li>Investor Stm Instr (ISI)</li> <li>ISI (With Affirm) Cpty List</li> <li>ISI (W/O Affirm) Cpty List</li> <li>Payment Instruction</li> <li>Cash Prepayment</li> <li>Maintain Cash Prepayment Standing Instr</li> <li>Stock Borrowing / Lending</li> <li>SBL Bulletin Board</li> <li>Login Withdrawal Order</li> <li>Election Instruction</li> <li>Subscription Instruction</li> <li>Corp Voting Instruction</li> <li>EIPO Application</li> <li>Tender Instruction</li> <li>Maintain Unit Order - Creation</li> <li>Maintain Unit Order - Redemption</li> <li>Maintain In Kind Creation / Redemption</li> <li>Corp Communication</li> <li>Upload Batch File</li> <li>CCASS Files Authorization</li> <li>Maintain Firm</li> <li>Maintain Participant</li> <li>Maintain Collateral Account</li> <li>Mtn Tran A/C to Collateral A/C Mapping</li> <li>Maintain Static Data Master</li> <li>Maintain Collateral Master</li> </ul>	<p>B0302204 JPMC 03 18-Mar-08 09:52</p>																																												
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<p>Recipient Number : B03022-DSG001    All Stocks: <input type="radio"/> Yes    <input checked="" type="radio"/> No</p> <p>Recipient Name : 2FD</p> <p>Address : ADDRESS</p> <p>Domain : Hong Kong</p> <p>HKID / Passport / BR Number : 03022</p> <p>Stock for Standing Instruction : (Maximum 20 stocks)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Stock Code</th> <th>Stock Name</th> <th>Stock Code</th> <th>Stock Name</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Stock Code	Stock Name	Stock Code	Stock Name																																								
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**DESCRIPTION OF FIELDS:**

<u><i>Field</i></u>	<u><i>Description/Format</i></u>
RECIPIENT NUMBER	<ul style="list-style-type: none"> <li>- Recipient Number is a unique reference number assigned to each recipient by the participant.</li> <li>- not more than 20 characters in length.</li> <li>- mandatory field.</li> <li>- For recipient record generated for the designated officer by CCASS, it will be defaulted as "PartID-DSG001", e.g. "B00001-DSG001".</li> </ul>
RECIPIENT NAME	<ul style="list-style-type: none"> <li>- first character must NOT be blank.</li> <li>- not more than 80 characters in length.</li> <li>- mandatory field.</li> </ul>
ADDRESS	<ul style="list-style-type: none"> <li>- correspondence address of the recipient.</li> <li>- not more than 160 characters in length.</li> <li>- mandatory field.</li> <li>- display in the maintenance function detail screen.</li> </ul>
DOMAIN	<ul style="list-style-type: none"> <li>- radio buttons with the following options:               <ul style="list-style-type: none"> <li>- Hong Kong, means the correspondence address of the recipient is located within Hong Kong.</li> <li>- Overseas (other than Hong Kong) means the correspondence address of the recipient is located outside Hong Kong.</li> </ul> </li> <li>- default Domain is "Hong Kong"</li> <li>- mandatory field.</li> <li>- display in the maintenance function detail screen.</li> </ul>
HKID/PASSPORT/BR NUMBER	<ul style="list-style-type: none"> <li>- either the Hong Kong Identity Card Number, Passport Number or Business Registration Number of the recipient.</li> <li>- not more than 20 characters in length.</li> <li>- optional field.</li> <li>- display in the maintenance function detail screen.</li> </ul>
STOCK CODE	<ul style="list-style-type: none"> <li>- stock code for standing instruction, to indicate that if there is any corporate communications for the stock, this recipient record will be added to the Event Recipient List automatically</li> <li>- only applicable to the recipient master record for the designated officer, with the ALL STOCKS indicator set as "NO"- optional field</li> </ul>
STOCK NAME	<ul style="list-style-type: none"> <li>- stock name for standing instruction</li> <li>- optional field</li> </ul>

**Section 8.2.6**  
Recipient Master Maintenance

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<b><u>Field</u></b>	<b><u>Description/Format</u></b>
ALL STOCKS	<ul style="list-style-type: none"><li>- only applicable to the recipient master generated for the designated officer by CCASS, i.e. with Recipient Number defaulted as "Part-DSG001". Updates can be made via the CHANGE RECIPIENT MASTER function.</li><li>- radio buttons with the following options:<ul style="list-style-type: none"><li>- Yes, means the designated officer record will be added to the Event Recipient List of all available corporate communication events automatically;</li><li>- No, means the designated officer record will only be added to the Event Recipient List of corporate communication events for those stocks added to the STOCK CODE FOR STANDING INSTRUCTION section, automatically.</li></ul></li></ul>