

Terminal Operations

FUNCTION NAME: EVENT RECIPIENT LIST MAINTENANCE

WHEN TO USE:

- The event recipient list maintenance is used to select recipient records from the recipient master records created through recipient master maintenance (refer to section 8.2.6 for details) for a corporate communications event.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Event Recipient List
To add recipient records to an event recipient list for a corporate communication event.
- B. Delete Event Recipient List
To delete recipient records from an event recipient list prepared for a corporate communications event.
- C. Enquire Event Recipient List
To enquire on the details of the event recipient list (both maintained via Add Event Recipient List and generated by CCASS automatically) for a particular corporate communications event.

AVAILABLE FUNCTION TIME:

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

FUNCTIONAL DESCRIPTIONS:

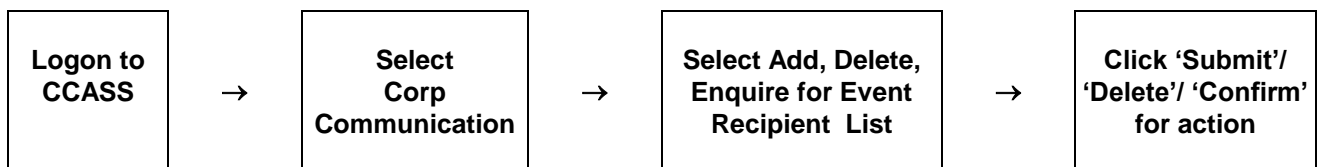
- Participants can add recipient records to an event recipient list through the ADD EVENT RECIPIENT LIST function for any corporate communications event until one CCASS day after the corresponding corporate communications event record date, i.e. the cut-off date. The record date is the date on which those recipients still holding the shares of the listed company are entitled to receive corporate documents and can be enquired through the ENQUIRE CORPORATE COMMUNICATIONS EVENT function (refer to Section 9.2.2).
- When maintaining an event recipient list via the ADD EVENT RECIPIENT LIST function, those recipient master records input with the same stock maintained as standing instruction via Recipient Master maintenance functions will NOT be displayed in the List screen for selection.
- Once a recipient record is added for an event recipient list for a particular corporate communications event, the recipient record will no longer be available for addition to the same corporate communications event.
- The DELETE EVENT RECIPIENT LIST function can be used to delete those recipient records maintained via the ADD EVENT RECIPIENT LIST function.

Section 8.2.7

Event Recipient List Maintenance

- Input is required in the following fields of the ADD EVENT RECIPIENT LIST and DELETE EVENT RECIPIENT LIST prompt screen:
 - Stock Code or ISIN, and
 - Record Date of the corporate communications event for which the event recipient list is to be created.
- The ENQUIRE EVENT RECIPIENT LIST function can be used to review the event recipient list regarding a particular corporate communications event with record date starting from 2 CCASS days before current date. Recipient master records added to the event recipient list through ADD EVENT RECIPIENT LIST function and those recipient master records which have standing instructions with the same stock will be displayed. Data cannot be entered or changed with this function. Once a recipient record is deleted from an event recipient list, enquiry of the recipient record through ENQUIRE EVENT RECIPIENT LIST function will not be available.

The access path for event recipient list maintenance function is:



EVENT RECIPIENT LIST MAINTENANCE – Sample Screen:

General Enquiries	Corp Cmn Evt Recipient			B0080301
Enq Settlement Act / Status	Site Map Broadcast Message Report Download Announcement Information Change Password Print Logout			JERA 02
Delivery Instruction (DI)				26-Apr-02 10:27
A/C Transfer Instr (ATI)	Add Event Recipient List Detail			
Settlement Instruction (SI)	Stock Code :	1304 STK 1301 -B.BON		
Investor Stm Instr (ISI)	ISIN :	HK- ISIN 01301		
ISI Counterparty List	Record Date :	10-JUL-02		
Payment Instruction	Select	Recipient Number	HKID / Passport / BR Number	Recipient Name
Cash Prepayment	<input checked="" type="checkbox"/>	223891923	E118239(2)	1HO MEI YEE
Stock Borrowing / Lending	<input type="checkbox"/>	9900001	K085511(2)	1MS. LEE CHING YAN
SBL Bulletin Board	<input type="checkbox"/>	238193828	12354898990	1WO LAI LING
General Stock Collateral	<input type="checkbox"/>	9233819293	A212382(2)	1YAN MEE MEE
Login Withdrawal Order	<input type="checkbox"/>	123456789	D283813(6)	2CHAN MEI LING
Election Instruction	<input type="checkbox"/>	911118888	E123123(2)	2MR LEE KA HO
Subscription Instruction	<input type="checkbox"/> Select All			
Corp Voting Instruction	<input type="button" value="Add"/> <input type="button" value="Refresh"/> Add Another Record Help			
EIPO Application				
Tender Instruction				
Corp Communication				
Upload Batch File				
Report Profile Maintenance				
View Circular				

-1001 BOTTOM OF LIST

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
STOCK or ISIN	<ul style="list-style-type: none"> - input the ISIN / stock code for display of a particular stock for the corporate communications event which the event recipient list is creating for. - 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.
STOCK CODE	<ul style="list-style-type: none"> - display the stock code and stock short name of the corporate communications event which the event recipient list is creating for.
ISIN	<ul style="list-style-type: none"> - display the International Securities Identification Number of the corporate communications event which the event recipient list is creating for.
RECORD DATE	<ul style="list-style-type: none"> - input the Record Date of the corporate communications event which the event recipient list is creating for. - input the record date to produce a list of recipient records which have not yet been selected for the event recipient list. - input of record date is mandatory in the maintenance function prompt screen.
SELECT	<ul style="list-style-type: none"> - click the check box for the particular recipient record to be added or deleted for the event recipient list in the maintenance function detail screen. - click "Select All" for all recipient records to be added or deleted for the event recipient list.
RECIPIENT NUMBER	<ul style="list-style-type: none"> - the Recipient Number is a unique reference number assigned to each recipient by the participant with a maximum of 20 characters. - input the Recipient Number to produce a list of recipient records, starting with the number input, which have not yet been selected for the event recipient list in the maintenance function prompt screen. - leave blank when the Recipient Number is not used as a selection criterion.
HKID/PASSPORT/BR NUMBER	<ul style="list-style-type: none"> - display the Hong Kong Identity Card Number, Passport Number or Business Registration Number of the recipient record in the maintenance function detail screen.
RECIPIENT NAME	<ul style="list-style-type: none"> - type the Recipient Name to produce a list of recipient records, which have not yet been selected for the event recipient list in the maintenance function prompt screen. - leave blank when the Recipient Name is not used as a selection criterion.