

Terminal Operations

FUNCTION NAME: EIPO CONFIRMATION APPLICATION MAINTENANCE

WHEN TO USE:

- EIPO confirmation application maintenance is used to maintain or enquire the details of an Electronic Initial Public Offering ('EIPO') confirmation. Maintenance of EIPO confirmation application is available from confirmation start time on the start day to confirmation end time on the closing day. The confirmation period varies for different EIPO.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Confirm EIPO Application
To confirm EIPO application instruction(s).
- B. Delete Confirmed EIPO Application
To delete pending confirmed EIPO application instruction(s).
- C. Authorise Confirmed EIPO Application
To authorise pending confirmed EIPO application instruction(s).
- D. Cancel Confirmed EIPO Application
To cancel authorised confirmed EIPO application instruction(s).
- E. Enquire Confirmed EIPO Application
To enquire the details and current status of confirmed EIPO application instruction(s).

AVAILABLE FUNCTION TIME:

- In general, EIPO confirmation application maintenance functions, including enquiry function, are available daily between 8:00 a.m. to 8:30 p.m. Monday to Friday, 8:00 a.m. to 1:00 p.m. on Saturday (except holidays).
- However, on EIPO confirmation start day, the EIPO confirmation application maintenance can only be performed after the start time which is defined by issuers. Also, on EIPO Confirmation closing day, the EIPO confirmation application maintenance should be performed on or before the EIPO confirmation end time which is defined by issuers.

Section 8.2.8a
EIPO Confirmation Maintenance

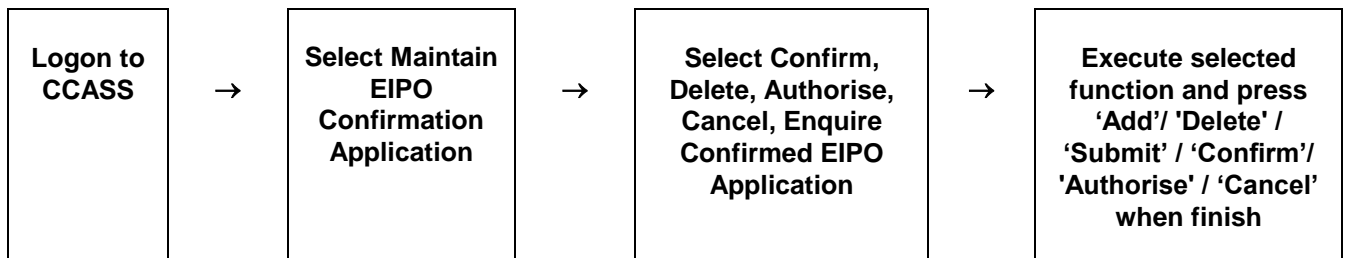
FUNCTIONAL DESCRIPTIONS:

Confirmation instruction can be added by Participants from confirmation start date to confirmation closing date through the CONFIRM EIPO APPLICATION function or batch file upload via CCASS terminals. The confirmation period varies for different EIPO and can be enquired through the ENQUIRE AUTHORISED EIPO ANNOUNCEMENT function (refer to Section 9.2.5). Confirmation details can be input within the following schedule:

<u>Confirmation Start Date</u>	Weekdays	Confirmation start time defined by the issuer – 20:30
	Saturdays	Confirmation start time defined by the issuer – 13:00
<u>Non-confirmation Start / Closing Date</u>	Weekdays	08:00 – 20:30
	Saturdays	08:00 – 13:00
	Sundays & Public Holidays	No service
	<u>Confirmation Closing Date</u>	Mondays to Fridays & Saturdays

- CCASS Participants may confirm EIPO application instructions on behalf of their clients. In this case, CCASS Participants will be considered as the IPO applicants who confirm the EIPO applications and their clients are the beneficiary owners.
- Newly confirmed instruction will carry a 'Pending' status and can be deleted through DELETE CONFIRMED EIPO APPLICATION function. Pending instructions have to be authorised through AUTHORISE CONFIRMED EIPO APPLICATION function. Once the instruction has been authorised, the status will be updated to 'Authorised'. If required, Participants can cancel any authorised EIPO confirmation instruction through CANCEL CONFIRMED EIPO APPLICATION function before the confirmation end time on the closing day, and the status will be updated to 'Cancelled'.
- All authorised instructions will be processed on the confirmation closing date and send to the registrar for processing. Maintenance of EIPO confirmation instructions will NOT be accepted after the confirmation end time on the closing day.

The access path for EIPO CONFIRMATION APPLICATION MAINTENANCE function is:



Section 8.2.8a
EIPO Confirmation Application Maintenance

<ul style="list-style-type: none"> General Enquiries Enq Settlement Act / Status Mtn Stk Segregated A/C with Strm Sev(SSA) Mtn SSA Bank A/C Delivery Instruction (DI) A/C Transfer Instr (ATI) Stk Seg A/C Transfer Instr(STI) Maintain Inter-counter Trf/Conv Instr Settlement Instruction (SI) Hide Unmatched SI Content Cpty List Investor Strm Instr (ISI) ISI (With Affirm) Cpty List ISI (W/O Affirm) Cpty List Payment Instruction Cash Prepayment Mtn Cash Pre-pmt/TSF Pmt Standing Instr Maintain RMB Conversion Request Maintain Stock Release Request Maintain TSF Earmarking Obligation Maintain Cash Prepmt Received for IPI Stock Borrowing / Lending SBL Bulletin Board Login Withdrawal Order Election Instruction Subscription Instruction Corp Voting Instruction Maintain Early-Ended Voting EIPO Application Maintain EIPO Confirmation Application Maintain Broker Number/Name 	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="background-color: #0056b3; color: white; padding: 2px 5px; font-weight: bold;">Maintain EIPO Confirmation Application</div> <div style="text-align: right;"> Site Map Announcement Information </div> <div style="text-align: right;"> Broadcast Message Change Password </div> <div style="text-align: right;"> Report Download Print Logout </div> <div style="text-align: right; font-size: small;"> B01701VP QCFA 01 15-Nov-12 16:30 </div> </div> <div style="background-color: #0056b3; color: white; padding: 2px 5px; font-weight: bold; margin-top: 5px;">Confirm EIPO Application Prompt</div> <table style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 40%; border-bottom: 1px solid #ccc;">Application Instruction Number :</td> <td style="width: 15%; border-bottom: 1px solid #ccc;">2</td> <td style="width: 10%; text-align: center;"><input type="button" value="Submit"/></td> <td style="width: 35%;"></td> </tr> <tr> <td style="border-bottom: 1px solid #ccc;">Stock :</td> <td style="border-bottom: 1px solid #ccc;"></td> <td colspan="2"></td> </tr> <tr> <td style="border-bottom: 1px solid #ccc;">Beneficial Owner :</td> <td colspan="3" style="border-bottom: 1px solid #ccc;"></td> </tr> <tr> <td style="border-bottom: 1px solid #ccc;">Status :</td> <td colspan="3" style="border-bottom: 1px solid #ccc;">ALL ▾</td> </tr> <tr> <td></td> <td style="text-align: center;"><input type="button" value="List"/></td> <td style="text-align: center;"><input type="button" value="Refresh"/></td> <td></td> </tr> </table> <div style="text-align: right; margin-top: 10px; font-size: small;">Help</div>	Application Instruction Number :	2	<input type="button" value="Submit"/>		Stock :				Beneficial Owner :				Status :	ALL ▾				<input type="button" value="List"/>	<input type="button" value="Refresh"/>	
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Section 8.2.8a
EIPO Confirmation Maintenance

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
APPLICATION INSTRUCTION NUMBER	<ul style="list-style-type: none"> - input / display the unique reference number assigned by CCASS - the Application Instruction Number is a 9-digit reference number beginning with the character '2'.
STOCK	<ul style="list-style-type: none"> - input / display the stock code and stock short name of the stock of the EIPO under confirmation.
BENEFICIAL OWNER	<ul style="list-style-type: none"> - type / display the name of the beneficial owner of the application. - inputs the name of the broker if apply for house account;
STATUS	<ul style="list-style-type: none"> - identify the status of the confirmation instruction. - a newly confirmed EIPO application instruction prior to authorisation is at 'Pending' status. An authorised confirmation record is at 'Authorised' status. - no entry is required.
ISIN	<ul style="list-style-type: none"> - display the International Securities Identification Number of the stock of the EIPO under confirmation.
APPLICATION QUANTITY	<ul style="list-style-type: none"> - display the number of shares being applied for the EIPO application.
Allotted Quantity	<ul style="list-style-type: none"> - display the total number of shares allotted for the particular EIPO Application
HKID/BRN/PASSPORT	<ul style="list-style-type: none"> - display the HKID number, Hong Kong Business Registration Number or the Passport Number of the beneficial owner;