Terminal Operations

FUNCTION NAME: **STOCK SEGREGATED ACCOUNT WITH STATEMENT SERVICE MAINTENANCE**

WHEN TO USE:

- To maintain and enquire the account details of Stock Segregated Account with Statement Service ("SSA") or Special Segregated Account ("SPSA") i.e. stock account numbers starting from 21 onwards.

AVAILABLE MAINTENANCE FUNCTIONS:

A. Add SSA
   To create a new SSA

B. Change SSA
   To change the details of a SSA

C. Delete SSA
   To delete a SSA

D. Enquire SSA
   To enquire the details of a SSA

AVAILABLE FUNCTION TIME:

- For Add, Change and Delete SSA, the available function time is between 8:00 a.m. and 5:00 p.m. Monday to Friday.

- For Enquire SSA, the available function time is between 8:00 a.m. and 7:00 p.m. Monday to Friday, and 8:00 a.m. to 1:00 p.m. on Saturday.

FUNCTIONAL DESCRIPTIONS:

- To create a new SSA, Participant can use "Add SSA" function. In addition to physical statements in English, Traditional Chinese or Simplified Chinese, person(s) named and/or maintained in respect of an SSA ("SSA Statement Recipient) will be provided access to the CCASS Phone System and the CCASS Internet System to (i) enquire the stock movement transactions and stock account balance, (ii) give voting instructions (if applicable) and (iii) affirm STI before shares are transferred out from the SSA (if applicable). Each SSA Statement Recipient will be provided with a CCASS Phone User ID to access the CCASS Phone System when an account is created. Depending on their own need, SSA Statement Recipient can select whether to activate the access to the CCASS Internet System or not.

- Except CCASS Phone User ID which will be generated by CCASS upon the SSA is created, other particulars of SSA, including the account number and CCASS Phone password should be maintained by Participant. Participant should notify the SSA Statement Recipient of the account details, CCASS Phone User ID and Password when the account is created.
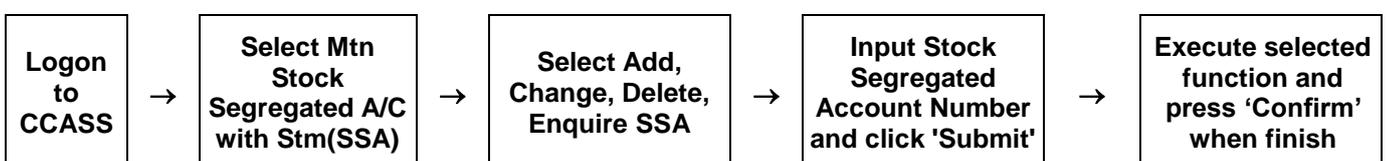
- While access to the CCASS Phone System and the CCASS Internet System will be available on next calendar day, Participant can start to perform stock movements once the account is created.

- Participant can use "Change SSA" function to amend the account details of the SSA, however, the account number and the CCASS Phone User ID are not allowed to be changed. Once the account details of the SSA are changed successfully, they will be updated to CCASS with immediate effect.

- Whenever a SSA with Statement Service is added or deleted or changed with personal particulars, a notification letter will be sent to the SSA Statement Recipient to alert him/her about the action. In addition, the respective SMS and/or Email alert message will also be sent to those SSAs which subscribe the SMS and/or Email alert services.

- Participants have to acknowledge i) the terms and conditions of subscribing SMS and Email; ii) the terms and conditions of receiving corporate communications when creating a new SSA or changing the related particulars of an existing SSA. Participants should ensure that they have furnished the related terms and conditions to their SSA Statement Recipients so that SSA Statement Recipients are aware of and agree to comply with these terms and conditions before subscribing to related services.

- Participants can delete SSA via "Delete SSA" function. Once the SSA has been deleted, the respective record will be deleted simultaneously in CCASS. The SSA Statement Recipient will not be able to access the CCASS Phone System and CCASS Internet System thereafter.

- SSA is not allowed to be deleted if there is stock balance in the stock and outstanding transactions.

- Participants can use "Enquire SSA" to enquire the account details and the subscribed services of their SSAs.

- Custodians or non-EP GCPs can set up Special Segregated Account SPSA by inputting SSA number following "800XXXXX" format, for holding A-shares of institutional investors. CCASS will generate a unique investor ID for each SPSA and Custodians or non-EP GCPs are required to provide further details by submitting the SPSA form for further processing.

- CCASS Phone System, CCASS Internet System, Statement Service, SMS / Email Alert services, and affirmation requirement are not available to SPSA.

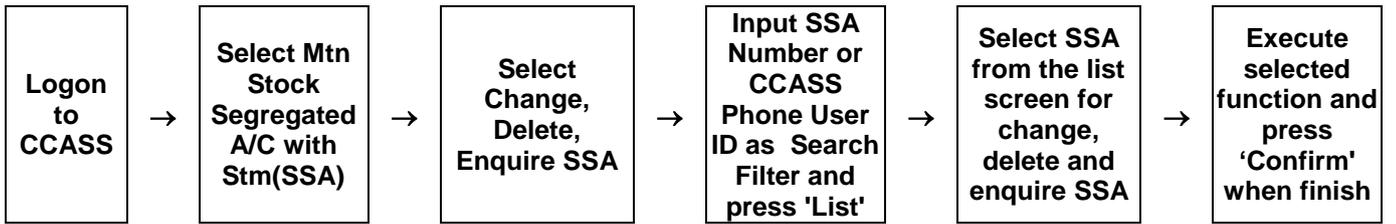- Participants are delegated to input voting instructions of SPSA in CCASS .

The above maintenance functions are not applicable to the Stock Segregated Account **without** Statement Service i.e. account number from 3 to 16. The application procedures of these stock accounts remain unchanged. Participants have to submit written request for opening these accounts.

- The access paths for the maintenance function of SSA are:

A. Attempt by direct input of Stock Segregated Account Number

Logon to CCASS	→	Select Mtn Stock Segregated A/C with Stm(SSA)	→	Select Add, Change, Delete, Enquire SSA	→	Input Stock Segregated Account Number and click 'Submit'	→	Execute selected function and press 'Confirm' when finish

B. Attempt by selection from list screen

Logon to CCASS	→	**Select Mtn Stock Segregated A/C with Stm(SSA)**	→	**Select Change, Delete, Enquire SSA**	→	**Input SSA Number or CCASS Phone User ID as Search Filter and press 'List'**	→	**Select SSA from the list screen for change, delete and enquire SSA**	→	**Execute selected function and press 'Confirm' when finish**

STOCK SEGREGATED ACCOUNT WITH STATEMENT SERVICE MAINTENANCE –
Sample Screens:

DESCRIPTION OF FIELDS:

Field	*Description/Format*
Full Name	- input the full name of the SSA - for joint account type SSA, all names of the 'joint' SSA should be input - for corporate account type SSA, the corporate name should be input - not more than 32 characters in length
Short Name	- input the short name of the SSA - not more than 15 characters in length
Account Type	- select 'Individual', 'Joint' or 'Corporate' to indicate the account type of the SSA - default SSA account type is 'Individual'

Field	*Description/Format*
Stock Segregated Account Number	- input the Stock Segregated Account Number of 2 to 8 digits starting from 21 onwards. For creating SPSA, Stock Segregated Account Number must be started with "800" followed by 5 digits ("800XXXXX"). - Account numbers starting from the range 80100000 to 89999999 are reserved for internal use. - duplicated account number under same Participant is not accepted - can be re-used after the account is deleted. - not allowed to be changed after the SSA is created - CCASS overlooks leading zero(s); i.e. '21', '021' and '0021' are treated as the same.
CCASS Phone User ID	- CCASS Phone User ID for the SSA Statement Recipient to access the CCASS Phone System - generated by the system upon the SSA is created successfully - protected field and not allowed to be changed - be effective on next calendar day upon the SSA is created successfully
CCASS Phone Password	- input the CCASS Phone Password of the SSA - show as "•" after input
CCASS Phone Password Confirmation	- re-type the 8-digit CCASS Phone Password - must be the same as the CCASS Phone Password input - show as "•" after input
CCASS Internet User ID	- display CCASS Internet User ID of the SSA - registered by SSA Statement Recipient - protected field
Address	- input mailing address for the SSA - 5 lines and not more than 32 characters for each line
Domain	- select 'HK', 'Macau', 'Mainland China' or 'Others' to specify the domain of the SSA's statement mailing address - default option is HK
Contact Phone Number	- input the contact phone number of the SSA - only number, space, '( )' and '-' are allowed - not more than 20 numbers in length

Field	_Description/Format_
Receive Statement via Mail	- select a statement delivery option for the SSA - if 'Activity Statement' is selected, only the Activity Statement will be sent to the SSA Statement Recipient - if 'Monthly Statement' is selected, only the Monthly Statement will be sent to the SSA Statement Recipient - if 'Both Activity and Monthly Statement' is selected, both the Activity and Monthly Statements will be sent to the SSA Statement Recipient - if 'None' is selected, neither the Activity nor Monthly Statement will be sent - default option is 'Both Activity and Monthly Statement'
Subscribe to SMS	- select the stock movement type required for the SSA Statement Recipient to receive SMS alert - if 'Stock Movement – In' is selected, SMS will be sent when any stock of the SSA is credited - if 'Stock Movement – Out' is selected, SMS will be sent when any stock of the SSA is debited - if 'STI Reminder' is selected for the SSA, SMS will be sent when there is STI activity - if 'Voting Notification' is selected for the SSA, SMS will be sent when there is voting activity available to the SSA - if 'All available options' is selected, SMS will be sent when there is stock movement (no matter credit or debit), STI activity or voting activity to the SSA Statement Recipient - if 'None' is selected, that means SMS is not required for the SSA - must be input if SMS Phone No is input - will be blanked out in confirmation screen if the SMS Phone No. input is cleared - no default option
Phone Number for receiving SMS	- input a 8-digit Hong Kong mobile phone number for receiving SMS alert - Hong Kong fixed-line phone number and overseas phone number are not supported - must be input if Subscribe to SMS is input, i.e. not 'None' - will be blanked out in confirmation screen if the Subscribe to SMS checkbox is cleared - The SMS alert message service is currently supported by mobile carrier 1010. - In addition to subscribing the service with CCASS, Participant should notify SSA Statement Recipient to register the service with the mobile carriers.

Field	*Description/Format*
Mobile Carrier	- select the phone operator at which the mobile phone number registered for receiving SMS alert - must be input if Subscribe to SMS is input - will be blanked out in confirmation screen if the Subscribe to SMS checkbox is cleared - SMS alert service is subject to the service availability of individual mobile operator, please check with the respective mobile operator - The SMS alert message service is currently supported by mobile carrier 1010. - In addition to subscribing the service with CCASS, Participant should notify SSA Statement Recipient to register the service with the mobile carrier.
Subscribe to Email Alert	- select the stock movement type required by the SSA to receive Email alert - if 'Stock Movement – In' is selected, Email alert will be sent when any stock of the SSA is credited - if 'Stock Movement – Out' is selected, Email alert will be sent when any stock of the SSA is debited - if 'STI Reminder' is selected for the SSA, Email alert will be sent when there is STI activity - if 'Voting Notification' is selected for the SSA, Email alert will be sent when there is voting activity available to the SSA - if 'Issuer Announcement' is selected for the SSA, Email alert will be sent when there is issuer announcement available to the SSA - if 'All available options' is selected, Email alert will be sent when there is stock movement (no matter credit or debit), STI activity, voting activity or issuer announcement to the SSA Statement Recipient - if 'None' is selected, that means Email alert is not required for the SSA - no default option
Email Address	- input an Email address for receiving Email alert - must be input if Subscribe to Email Alert is input - not more than 40 characters in length
Statement / SMS / Email Language	- select the language to be used in statement, SMS and Email - available language option are English, Traditional Chinese and Simplified Chinese - default option is English

Field	_Description/Format_

Receive Corporate Communications	- indicate the SSA Statement Recipient wishes to receive the corporate communications from listed issuers
	- options are represented by 'Yes' and 'No' as follows:
	  'Yes' - To receive corporate communications from listed issuers
	    Note : Listed issuers only send a notification and request form to non-registered holders whose listed securities are held in CCASS. Recipient who wishes to receive hard copies of corporate communications in the future should complete and return such request form to listed issuers directly.
	  'No' - Not to receive corporate communications from listed issuers. For SPSA, corporate communications is not available and this option shall be set as "No".

Voting Delegation	- select the value of Voting Delegation according to the selection of its SSA Statement Recipient - if 'Yes' is selected, the SSA Statement Recipient delegates the input of voting instruction to the Participant - if 'No' is selected, the SSA Statement Recipient will input voting instructions himself/herself - default option is 'Yes' (i.e. voting instructions to be input by the Participant) - For SPSA, input of voting instructions by himself/herself is not available and this option shall be set as "Yes",

Affirmation Requirement	- select the value of Affirmation Requirement in according to the selection of its SSA Statement Recipient
	- if 'Yes' is selected, every STI input by the Participant requires Affirmation from the SSA Statement Recipient before the STI is effected and such SSA can't be used for the following instructions:-
	  ➤ DI
	  ➤ Delivering SI
	  ➤ Delivering ISI
	  ➤ Withdrawal Order
	- if 'No' is selected, STI input by Participant will be effected immediately
	- Default option is 'No'

Client Account Number	- input participant's internal client account number - not more than 30 characters in length
Remarks	- two lines of free text - not more than 40 characters in length for each line