

4.1 Settlement and Depository

NOM 1 DIVIDEND BONUS CLAIM SUBMISSION TO HKSCC

WHEN TO USE:

- When investors withdraw shares of a company in the form of physical certificates from CCASS Depository through their brokers or custodians (being CCASS Participants) and they have not re-registered the withdrawn share certificates into their own names before the book-close date or record date for determining the entitlements, the company will distribute entitlements to HKSCC Nominees Limited. These entitlements are held by HKSCC Nominees Limited as unclaimed entitlements. Participant may submit claim on such unclaimed entitlements held by HKSCC Nominees Limited through Client Connect.

- This eService is available at any time.

ABOUT THIS eSERVICE:

- This eService is available to business users granted with the access rights EU_CommonNomineeService.

- This eService is equivalent to “Dividend/ Bonus Claim Letter” (CCASS-Form 44).

- To support the request, Participant must provide HKSCC with satisfactory proof to the effect that the Participant is entitled to the unclaimed benefits being claimed. Participant should scan and upload the certified true copies of the supporting documents via the UPLOAD function in Client Connect. Participant can upload at most 5 files for each type of supporting document with file size below 20Mb by using the UPLOAD function. Physical delivery of supporting documents to HKSCC is no longer required for the claim request made through Client Connect unless otherwise specified by HKSCC.

- Participant acknowledges to indemnify against the claim request once the declaration checkbox is checked. The Letter of Indemnity is replaced by such acknowledgement and is no longer required for the claim request made through Client Connect, unless otherwise specified by HKSCC.

- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.

- PDF report which contains the claim request information will be available to Participant after the workflow on the claim request is ended.

Section 4.1 (Nom 1)

Settlement and Depository – Dividend Bonus Claim Submission To HKSCC

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot displays the HKEX user interface for submitting a dividend bonus claim. The top navigation bar includes the HKEX logo, user information (Welcome, UM), and system details (21-Aug-2019, 15°). The sidebar on the left lists various services, with 'Settlement & Depository' selected. The main content area features a form titled 'NOM 1 DIVIDEND BONUS CLAIM SUBMISSION TO HKSCC'. The form includes a 'Reference Number' field and a 'Status' dropdown set to 'Expand'. Below these are three expandable sections: 'COMPANY INFORMATION', 'DETAILS OF THE CLAIM', and 'CONTACT INFORMATION'. The 'DETAILS OF THE CLAIM' section is currently expanded, showing several input fields with red error messages indicating missing data.

There is built-in validation on the data input.

The close-up view of the 'DETAILS OF THE CLAIM' section shows the following fields and their validation status:

- Stock Name:** Input field with placeholder 'Type your answer here...'. Error message: 'Stock Name is missing'.
- Stock Code:** Input field with placeholder 'Type your answer here...'. Error message: 'Stock Code is missing'.
- Stock Quantity:** Input field with placeholder 'Type your answer here...'. Error message: 'Stock Quantity is missing'.
- Client Name:** Input field with placeholder 'Type your answer here...'. Error message: 'Client Name is missing'.
- Claim Type:** Radio button options: Dividend, Bonus issue, Other, please specify: . Error message: 'Claim Type is missing'.
- Certificate Number(s):** Input field with placeholder 'Please use comma(,) or semi comma(;), to separate the certificates.'. Error message: 'Certificate Number(s) is missing'.
- Upload file (recommended for more than 5 entries):** Radio button options: Yes, No. Error message: 'Upload File Flag is missing'.

No.	Entitlement Type	Dividend Year	Dividend Type	Please specify the dividend type	Book closure/ Record date <small>Please input the book closure starting date when book closure has a date range</small>
1	Type your answer here... <small>Entitlement Type is missing</small>	Type your answer here... <small>Dividend Year is missing</small>	Type your answer here... <small>Dividend Year is missing</small>	Type your answer here... <small>Dividend Year is missing</small>	Type your answer here... <small>Book closure/ Record date is mi...</small>
+ ADD ANOTHER ROW					

Total Cash Entitlement Amount

Total Stock Entitlement Amount
(Stock Code/Quantity)

Dear Sirs,

I/We write to you in respect of my/our [Claim Type] Claim on [Stock Quantity] shares of [Stock name] under certificate number(s) [Certificate no (s)] registered in the name of HKSCC Nominees.

I/We/Our client, [Client Name], for whom we make this Claim, through an oversight, neglected to have the above shares transferred before the relevant Book-close date / Record date of the company.

I/We will send the under-mentioned documents (Items 2-6 in certified copies) in respect of the said shares for your perusal of this claim.

1. Letter of Indemnity
2. Claim Letter from beneficiary with the participant's endorsement
3. Purchase Contract Note/ Statement showing the relevant purchase transaction details
4. Stock Withdrawal Receipt
5. Share Certificates and Transfer Deeds
6. Transfer Receipt (with certificate numbers printed thereon)/ Confirmation Letter from Share Registrar

As the shares were registered in the name of HKSCC Nominees, I/we should be grateful if you would arrange for refund of the following:

In consideration of HKSCC Nominees instructing and directing HKSCC to effect the act or acts set out in the captioned claim request above; and in consideration of HKSCC following the instructions of HKSCC Nominees with respect to any act mentioned in the captioned claim request above, we hereby undertake to indemnify both HKSCC and HKSCC Nominees (together, the "Companies") in the manner set out below.

We undertake to keep each of the Companies indemnified against (i) all actions, claims or proceedings which may be brought against each of the Companies and (ii) all damages, costs and expenses suffered or incurred by each of the Companies and which may arise out of or in connection with either of the Companies having done or performed any of the acts mentioned in the captioned claim request above.

I/We understand and acknowledge that all claims will only be effected and accepted by HKSCC subject to the General Rules of CCASS and the CCASS Operational Procedures as are in force from time to time and to the participant agreements or the Terms and Conditions for Investor Participants (as the case may be) in effect and the Terms and Conditions in the Client Connect and any other relevant documents from time to time issued by HKSCC.

Please tick this checkbox before proceed.

Claim Letter from beneficiary with the participant's endorsement
(mandatory)

UPLOAD

Upload file is missing

Purchase Contract Note / Statement showing the relevant purchase transaction details

UPLOAD

Stock Withdrawal Receipt

UPLOAD

Share Certificates and Transfer Deeds

UPLOAD

Transfer Receipt (with certificate numbers printed thereon) / Confirmation Letter from Share Registrar

UPLOAD

Other Supporting Documents

UPLOAD

[Privacy Policy Statement](#)

I/We acknowledge that I/we have read and accept the Privacy Policy Statement

You must check this before you can proceed.

Section 4.1 (Nom 1)

Settlement and Depository – Dividend Bonus Claim Submission To HKSCC

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
PARTICIPANT INFORMATION		
1	From	- Display the Company name of Participant
2	As	- Display the role of Participant and Participant ID
DETAILS OF THE CLAIM		
3	Stock Name	- Field format: Alphanumeric
4	Stock Code	- Field format: Positive integer
5	Stock Quantity	- Field format: Positive integer
6	Client Name	- Field format: Alphanumeric
7	Claim Type o Dividend o Bonus issue o Other, please specify:	- Field format: Aphanumeric - Select the claim type by ticking the box(es) provided - Textbox is displayed for inputting claim type when “Other, please specify” box is ticked
8	Certification Number(s)	- Field format: Alphanumeric - Use comma (,) or semi comma (;) to separate certificate number entries
9	Upload file o Yes o No	- Field format: Radio button - Refer to description of field number 10 to 11 when “Yes” is selected
Upload file: Yes		
10	Download Template	- A link to download the Excel template - Participant can refer to “Excel Example” sheet on how to fill the Excel template - System will capture and validate data from the first spreadsheet of the Excel file uploaded
11	UPLOAD	- Upload an Excel template to fill the entitlement table as described at field number 12 to 32 - Recommended to upload an Excel template if claim request is more than 5 entries
12	Entitlement Type o Cash Entitlement o Stock Entitlement	- Field format: Dropdown list - Select entitlement type with dropdown list
Entitlement Type: Cash Entitlement		
13	Dividend Year	- Field format: Textbox with year picker - Input or select a dividend year with reference to the financial year end date for the cash entitlement. E.g. Input or select 2019 when financial year end date for the cash entitlement is 30 June 2019
14	Dividend Type o Interim Dividend o Final Dividend o Others, please specify	- Field format: Dropdown list - Select dividend type with dropdown list
15	Please specify the dividend type	- Field format: Alphanumeric - Specify the dividend type in the space provided if dividend type is other than interim or final dividend
16	Book closure / Record date o Book Closure o Record Date	- Field format: Dropdown list - Select book closure or record date with dropdown list
17	Date	- Field format: Textbox with date picker - Input or select book closure starting date when book closure has a date range.
18	Stock Code	- Field format: Positive integer
19	Shareholding as of Book Closure / Record Date	- Field format: Positive integer
20	Currency	- Field format: Alphanumeric
21	Dividend Rate	- Field format: Numeric

#	Field Name	Highlights
22	Cash Entitlement Amount	- Field format: Numeric
Entitlement Type: Stock Entitlement		
23	Dividend Year	- Field format: Textbox with year picker - Input or select a dividend year with reference to the financial year end date for the stock entitlement. E.g. Input or select 2019 when financial year end date for the stock entitlement is 30 June 2019
24	Dividend Type o Bonus Issue o Others, please specify	- Field format: Dropdown list - Select dividend type with dropdown list
25	Please specify the dividend type	- Field format: Alphanumeric - Specify the dividend type in the space provided if dividend type is other than bonus issue
26	Book closure / Record date o Book Closure o Record Date	- Field format: Dropdown list - Select book closure or record date with dropdown list
27	Date	- Field format: Textbox with date picker - Input or select book closure starting date when book closure has a date range.
28	Stock Code	- Field format: Positive integer
29	Shareholding as of Book closure/ Record date	- Field format: Positive integer
30	Stock entitlement ratio	- Field format: Numeric - Enter in ratio format X:Y - E.g. 1:3 means 3 shares distributed per 1 share held
31	Distributed Stock	- Field format: Positive integer
32	Stock Entitlement Amount	- Field format: Positive integer
33	+ ADD ANOTHER ROW	- Add a new row to provide entitlement details by clicking the button
34	Declaration Checkbox	- Acknowledge the declaration by ticking the checkbox
35	UPLOAD	- Claim Letter from beneficiary with the Participant's endorsement is mandatory - At most 5 files for each type of supporting document with file size below 20Mb
36	Declaration Checkbox	- Acknowledge the declaration by ticking the checkbox
CONTACT INFORMATION		
37	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
38	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
39	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
40	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.