

4.1 Settlement and Depository

NOM 2 DENOMINATION REQUEST (CORPORATE ACTION RELATED)

WHEN TO USE:

- Participants may entitle to receive or subscribe non-eligible securities in CCASS due to corporate action events announced by Issuers. If Participants wish to receive relevant share certificates in various denomination on behalf of their clients, they are required to submit a denomination request to HKSCC via this eService before stipulated deadline. Otherwise, one share certificate representing the entire receivable quantity of their entitlement will be issued.
- This eService is available at any time. However, Participant can only submit denomination request for specific corporate action event within the stipulated period as stated at Participant and Members Circular issued by HKSCC.

ABOUT THIS eSERVICE:

- This eService is available to business users granted with the access rights EU_CommonNomineeService.
- 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 denomination request information will be available to Participant after the workflow on the denomination request is ended.

Section 4.1 (Nom 2)

Settlement and Depository – Denomination request (corporate action related)

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot displays the HKEX Client Connect interface for a 'NOM 2 DENOMINATION REQUEST (CORPORATE ACTION RELATED)'. The top navigation bar shows the user is logged in as 'UB@...com-' on '14-Nov-2019'. The left sidebar lists various services, with 'Settlement & Depository' selected. The main form area has a 'HOME /' breadcrumb and 'SAVE' and 'PREVIEW' buttons. The form is divided into four expandable sections: 'COMPANY INFORMATION', 'REQUEST DETAIL', 'DECLARATION', and 'CONTACT INFORMATION'. The 'REQUEST DETAIL' section is currently expanded, showing a 'Reference Number' field and a 'Status' dropdown set to 'Expand'.

There is built-in validation on the data input.

REQUEST DETAIL

Stock Code
Type your answer here...
Stock Code is missing

Stock Name
Type your answer here...
Stock Name is missing

Announcement No.
Type your answer here...
Announcement No. is missing

Upload File (recommended for more than 5 entries)
 Yes
 No
You must check this before you can proceed.

No.	Quantity of (Distributed Securities) Shares per Certificate (A)	Number of (Distributed Securities) Certificate(s) (B)	Total Quantity of (Distributed Securities) Shares (A*B)
1	Type your answer here... <small>Quantity of (Distributed Securities) Shares per Certificate (...)</small>	Type your answer here... <small>Number of (Distributed Securities) Certificate(s) (B) is missi...</small>	0

+ ADD ANOTHER ROW

Total Number of (Distributed Securities) Certificate(s) 0
Total Quantity of (Distributed Securities) Shares (A)*(B) 0

DECLARATION

We authorize HKSCC to arrange with the share register of [Name of Stock] to issue new share certificate(s) in respect of our entire holding of securities that we are entitled to receive with the denomination details in the above.

We confirm that we understand and accept the above
You must check this before you can proceed.

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant and Participant ID
REQUEST DETAILS		
3	Stock Code	- Field format: Positive integer - Auto suggest 10 stock codes for selection base on input
4	Stock Name	- Field format: Alphanumeric - Stock name is auto populated based on the selection of stock code at field number 3
5	Announcement No.	- Field format: Alphanumeric - Dropdown box is available to select an announcement no.
6	Upload file o Yes o No	- Field format: Radio button - Refer to description of field number 7 to 8 when “Yes” is selected
7	Download Template	- A link to download an Excel template
8	UPLOAD	- Upload an Excel template to fill the denomination table as described at field number 9 to 10 - Recommended to upload an Excel template if denomination request is more than 5 entries
9	Quantity of (Distributed Securities) Shares per Certificate (A)	- Field format: Positive integer
10	Number of (Distributed Securities) Certificate(s) (B)	- Field format: Positive integer
11	Total Quantity of (Distributed Securities) Shares (A*B)	- Input disabled. - Auto populated based on input of field number 9 to 10
12	+ ADD ANOTHER ROW	- Add a new row to provide denomination details by clicking the button
DECLARATION		
13	Declaration Box	- Acknowledge the declaration by ticking the checkbox
CONTACT INFORMATION		
14	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
15	Email Address	- Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
16	Telephone Number	- Field format: Numeric - Auto-filled based on maker’s profile and content is editable.
17	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.