

Terms and Conditions for Investor Participants

1. Definitions

- 1.1 In this document, unless the context otherwise requires, the following expressions have the following meanings:-

~~"CCASS Phone System"~~

~~means the interactive voice response system operated by HKSCC for enabling Investor Participants and, upon authorization by a Clearing Participant or a Custodian Participant, SSA Statement Recipients of that Clearing Participant or Custodian Participant to access CCASS in accordance with the Rules;~~

9. Nominee and Similar Services

- 9.10 Instructions to HKSCC relating to nominee and similar services may be given via ~~the CCASS Phone System using a touch tone phone or~~ the CCASS Internet System or at the Customer Service Centre.

10. Copies of Corporate Communication

- 10.3 HKSCC will use its best efforts, but shall be under no obligation, to notify Investor Participants of corporate activities. Investor Participants are advised to keep themselves informed of corporate activities via ~~the CCASS Phone System or~~ the CCASS Internet System or from the activity statements or from any newspaper circulating generally in Hong Kong.

11. ISI Transactions

- 11.1 ISI inputted into CCASS by a Participant other than Investor Participant relating to transactions in Eligible Securities between such Participant and the Investor Participant will, unless rejected by HKSCC in accordance with the Rules, be accepted for settlement in CCASS in accordance with the Rules following (in the case of ISI (without affirmation)) input by such Participant or (in the case of ISI (with affirmation)) affirmation by the Investor Participant concerned. ISI (without affirmation) inputted into CCASS by an Investor Participant relating to transactions in Eligible Securities between such Investor Participant and a Participant other than an Investor Participant will, unless rejected by HKSCC in accordance with the Rules, be accepted for settlement in CCASS in accordance with the Rules following input by such Investor Participant. An Investor Participant may input an ISI (without affirmation) and affirm an ISI (with affirmation) via ~~the CCASS Phone System or~~ the CCASS Internet System or at the Customer Service Centre.

13. Obligations of Investor Participants

- 13.5 The Investor Participant shall be liable for all instructions input into CCASS via ~~the CCASS Phone System or~~ the CCASS Internet System or given at the Customer Service Centre, notwithstanding any person inputting such instruction is not authorised by the Investor Participant.

22. Limitation of Liability

- 22.4 HKSCC does not guarantee the reliability of ~~the CCASS Phone System~~, the CCASS Internet System or SMS and the telecommunications network through which information, messages or instructions are transmitted to and from HKSCC. HKSCC shall not be responsible for any delays and failure in transmission, receipt or execution of information, messages or instructions due to a breakdown or failure of transmission of communication facilities, or to any other cause beyond HKSCC's control and shall not be liable for any losses, fees, costs, expenses, damages and liabilities suffered or incurred as a result thereof.
- 22.5 HKSCC does not guarantee or warrant the accuracy, completeness, reliability and timeliness of any information or messages transmitted via ~~the CCASS Phone System or~~ the CCASS Internet System the telecommunications network used by the mobile operator or other person through which SMS is provided and shall not be liable for any losses, fees, costs, expenses, damages and liabilities arising from any inaccuracy, incompleteness, omission in transmission or up datedness of such information.

24. Temporary Suspension of Services

- 24.1 Under the Rules, HKSCC may suspend the whole for any part of HKSCC's facilities or services to deal with emergency situations. HKSCC shall notify Investor Participants as soon as practicable via ~~the CCASS Phone System or~~ the CCASS Internet System of any decision to suspend any HKSCC's facilities or services.

31. General

- 31.3 ~~[Repealed] The voice logging records of the CCASS Phone System shall be the property of HKSCC and will be admissible in evidence in settling any disputes relating to any instructions inputted by the Investor Participant via the CCASS Phone System.~~