

CCASS OPERATIONAL PROCEDURES

Definitions

- (b) When used in the Operational Procedures, the following expressions shall have the following meanings unless the context otherwise requires:

“CA ISO Message Service”

means a service under which subscribers may receive from HKSCC, information on corporate actions in the form of ISO Messages;

“ISO Message”

means an electronic message transmitted through SWIFT;

“SWIFT”

means the secured messaging services platform and interface software provided by the Society for Worldwide Interbank Financial Telecommunication;

Section 6

Operational and Service Schedule

6.2.1 Daily Processing and Service Schedule in relation to Eligible Securities Other than China Connect Securities

For the purpose of this Section 6.2.1, references to “Eligible Securities” shall mean Eligible Securities other than China Connect Securities.

Time	CCASS events
8:00 a.m.	Commencement of the following services and functions through CCASS Terminal and Participant Gateway where applicable: (i) clearing services (SI/ISI maintenance and ISI upload functions); (ii) ATI/STI and Mass ATI/STI maintenance functions; (iii) SSA maintenance and upload functions; (iv) Cash Prepayment Instruction, Cash Prepayment / TSF Payment Standing Instruction, Intra-day Payment Standing

Instruction and Nominee Payment (Evening) Standing Instruction maintenance functions;

(v) subscription, election, voting instructions, Electronic Application Instructions for New Issue Shares (except where such day is the application or confirmation start date), Tender Instructions (except where such day is the tender or application start date) and Corporate Representative / Proxy instructions maintenance functions; and

(vi) CA ISO Message Service maintenance functions

6:00 p.m. (after) Settled Position Report and third batch of Corporate Announcement Master Data File and Corporate Announcement Maintenance Activities Report available

7:00 p.m. Close of SI/ISI maintenance and ISI upload, Cash Prepayment / TSF Payment Standing Instruction maintenance, Intra-day Payment Standing Instruction maintenance, Nominee Payment (Evening) Standing Instruction maintenance, CCMS cash transfer and stock collateral maintenance services and Tender Instructions, subscription, election, voting, Corporate Representative/Proxy instructions maintenance functions and CA ISO Message Service maintenance functions

Deadline for inputting subscription instructions where the deadline for subscription imposed by the relevant Issuer falls on the next Business Day at or before 12:00 noon

Ninth batch of scrip entitlement distribution

Section 8

Nominee Services

8.2 GENERAL PRINCIPLES

8.2.1 Scope and procedures

In respect of (a) corporate actions or activities affecting Eligible Securities and (b) matters relating to Electronic Application Instructions for New Issue Shares and other electronic applications for or in connection with securities and Tender Instructions which are not dealt with in Section 8.4 to Section 8.20C, HKSCC will usually inform Participants other than Investor Participants via CCASS Terminals, Participant Gateways, SWIFT (for subscribers of the CA ISO Message Service only) and/or by

way of circulars and in the case of Investor Participants, by the CCASS Phone System, by the CCASS Internet System, by way of circulars and/or in the activity statement as to whether or not nominee services will be provided and, if so, the procedures to be adopted.

8.22 UNCLAIMED ENTITLEMENTS

8.22.2 A Participant other than Investor Participant wishing to claim such unclaimed benefits must apply in the form prescribed by HKSCC from time to time and must provide HKSCC with satisfactory proof to the effect that the Participant is entitled to the unclaimed benefits being claimed. Normally, such Participant will have to provide HKSCC with a certified copy of the relevant Stock Withdrawal Receipt, a certified copy of the relevant purchase contract notes or statement showing the relevant purchase transaction details, certified copies of the relevant certificates, certified copies of the relevant transfer deeds, a certified copy of the relevant registrars' transfer receipts with certificate numbers printed thereon, original letter from the beneficial owner claiming the entitlement and a letter of indemnity, in a form acceptable to HKSCC (see the CCASS Terminal User Guide for Participants), issued by the Participant.

8.22.3 An Investor Participant wishing to claim the unclaimed benefits must apply in the form prescribed by HKSCC from time to time and must provide HKSCC with satisfactory proof to the effect that such Investor Participant is entitled to the unclaimed benefits being claimed. HKSCC will only entertain claims made by Investor Participants who have obtained transfer of the certificates out of the name of HKSCC Nominees Limited into their own names.

8.27 CA ISO MESSAGE SERVICE

8.27.1 General

Apart from receiving information via CCASS Terminals and Participant Gateways, Participants (other than Investor Participants) may subscribe for the CA ISO Message Service to receive certain information on corporate actions in the form of ISO Messages via SWIFT in accordance with the procedures set out in this Section 8.27.

The types of information on corporate actions which may be made available under the CA ISO Message Service shall be prescribed by HKSCC and notified to Participants from time to time.

8.27.2 Subscription for and use of the CA ISO Message Service

The following procedures will usually apply in relation to the CA ISO Message

Service:

- (i) Participants who wish to subscribe for the CA ISO Message Service shall submit their instructions via the CA ISO Message Service maintenance functions of the CCASS Terminal.
- (ii) Upon setup and configuration, the effective date of the newly subscribed service will be reflected in the “CA ISO Message Service Subscription Audit Trail Report”.
- (iii) Participants who wish to cancel their subscription of CA ISO Message Service shall submit a duly completed cancellation form as prescribed by HKSCC from time to time. Upon configuration, the last date of subscription will be reflected in the “CA ISO Message Service Subscription Audit Trail Report”.
- (iv) Details of any updates in relation to the CA ISO Message Service made by Participants and HKSCC will be reflected in the daily “CA ISO Message Service Subscription Audit Trail Report”.
- (v) The subscription fee for the CA ISO Message Service and the list of ISO Messages sent in a given month will be reflected in the monthly “CA ISO Message Service Monthly Billing Report”.
- (vi) HKSCC reserves the right to reject any application for subscription of the CA ISO Message Service and may by prior notice to Participants, terminate their subscription in full or in part at any time.
- (vii) Participants shall not forward or distribute any ISO Messages generated by HKSCC in their original format to any third parties.
- (viii) ISO Messages are generated based on information received from Issuers of Eligible Securities. Without prejudice to CCASS Rule 2104, HKSCC makes no representation as to the accuracy or completeness of the information made available under the CA ISO Message Service.

For further details, Participants should refer to the relevant sections of the CCASS Terminal User Guide.

Section 16
Statements and Reports

16.6 REPORTS AND STATEMENTS FOR PARTICIPANTS

16.6.1 Reports and Statements for Participants other than Investor Participants

Report ID	Report name	Frequency	Time available
CCNPT09	Participant Shareholding Category Disclosure Exception Report - Before Voting Deadline	Daily	normally around 8:45 p.m. for SSE Market and 9:15 p.m. for SZSE Market (for Shareholding Category Disclosure instructions to be cancelled)
CCNPT10	CA ISO Message Service Subscription Audit Trail Report	Daily	from the time when the report retrieval function is available (for previous day's CA ISO Message Service subscription activities)
CCNPT11	CA ISO Message Service Monthly Billing Report	Monthly	from the time when the report retrieval function is available on the first Business Day of each month (for previous month's CA ISO Message Service subscription fee and list of ISO Messages)

Section 21
Costs and Expenses

21.5 DEPOSITORY AND NOMINEE SERVICES

- Disbursements and out-of-pocket expenses in connection with nominee services. Actual amounts incurred by HKSCC.

Note:

Recoveries of disbursements and out-of-pocket expenses are additional to other fees for relevant nominee services and will be debited or deducted as and when incurred by HKSCC.

- Subscription fee for CA ISO Message Service. HK\$20,000 per month per Participant.

Note:

Fee calculated at the end of each calendar month and debited on next Business Day.

Fee for the first and final months of CA ISO Message Service will be pro-rated if applicable.