HKEX
香港交易所

Guidelines for Shareholding Chart provided to HKEX

This Guideline is for preparing the submission of shareholding information to Clearinghouse as fulfilment of clearing participant's notification obligation under HKSCC Rule 1703(viii), HKCC Rule 214A(a) and SEOCH Rule 403F.

In case of annual filing, your firm's shareholding information should be submitted as attachment to HKEX's annual attestation questionnaire. For other submission, the information should be submitted to ClearingCreditRisk@hkex.com.hk with email subject bears the same name as the shareholding chart (Please refer to the file name requirement below)

Please read the following carefully to make sure the shareholding chart complies with the following standard before submission, as your submission will be tracked and read by system:

File name requirement	
☐	• **The chart must be provided in the form of pdf using the template attached.** • **The name of the pdf file should begin with "Shareholding update" followed by your Participant ID and/or DCASS Customer Code and the "as of" date of the shareholding chart.** • **For example, "Shareholding update B09999 07Jan2020.pdf" for HKSCC participant, "Shareholding update CZZZ 07Jan2020.pdf" for HKCC/SEOCH participant. For participant with both HKSCC and HKCC/SEOCH participantship, the name of the pdf should be in the form of "Shareholding update B09999 and CZZZ 07Jan2020.pdf".** • **Your chart must be accompanied by a supplementary table providing further information on each entity company.** • **The supplementary table must be saved in the form of excel (Template is attached with this guideline). The filename of this table should be same as the shareholding chart. For example, for a shareholding chart with file name "Shareholding update B09999 07Jan2020.pdf", the excel file should be in the name of "Shareholding update B09999 07Jan2020.xls"**
Size and information	
☐	• **The chart must be provided in one single page.**
☐	• **Only name of entity/individual and ownership percentage should be present in the shareholding chart. Please remove information such as number of shares, share type, license number, address etc. from the chart.**
Naming and Language	
☐	• **In the chart, the name of Participant, Participant ID/DCASS Customer Code matches exactly with the HKEX data (Your name registered with HKEX may be ended with "Co." instead of "Company" or "Ltd." Instead of "Limited"). You can check the information via the following website: https://www.hkex.com.hk/eng/PLW/Search.aspx**

☐	• **For all individual and companies incorporated in Mainland China, Macau and Hong Kong, both English names and Chinese names (if applicable) should be provided. The Chinese name should be placed in brackets after the English name (see example in next page). Other than that, other names/information should be provided in English.**
How to present relationship	
☐	• **Each entity/individual should be set out in one rectangular box with white background.**
☐	• **Parent companies should be at the top of the chart and their subsidiaries at the bottom.**
☐	• **Only black solid lines (no. dotted lines, colour lines or arrow heads) should be used to indicate ownership relationship. The lines should not cross with each other.**
How to present ownership percentage and layers of ownership required	
☐	• **The share of ownership should be set out right next to the solid line below the box of the owners. The share should be expressed in percentage only and should be ended with symbol %.**
☐	• **The ownership of every entity/individual who owns (direct or indirect) 10% of stake of the clearing participant must be present in the chart. Once an entity/individual meets this requirement, all owners of this entity/individual should be disclosed (i.e. the sum of shares should be equal to 100%, and entity/individual who owns less than 10% stake can collectively express under a box with term "Public/Others"). (***See example at the next page, ownership of ABC Company is not necessary as ABC Company only owns 8% of IJK Securities Company, the CP. For IJK Securities Company, as its direct shareholders other than EFG Group and OPQ Company owns less than 10% of the firm, they can be collectively expressed under a box with term "Public/Others".***)** • **If there is no entity/individual owns above 10% of stake of the clearing participant, the entity/individual who owns the largest share of stake should be presented in the chart, and other entities/individuals can collectively express under a box with term "Public/Others".**
☐	• **For entity that is a listed company, the names of entity/individual that is a substantial shareholder should be presented individually in the chart. For others, they can be collectively expressed under a box with term "Public/Others".**

An example of shareholding chart and supplementary table are provided

		Entity Name (English)	Entity Name (Chinese)	Jurisdiction of Incorporation (In ISIN Code)	SFC Central Entity Number	Participant ID	DCASS Customer Code	Listed Entity (Y/N)	Listed Code 1 (In Reuters Instrument Code)	Listed Code 2 (In Reuters Instrument Code)	Listed Code 3 (In Reuters Instrument Code)	Updated as of Date
1	Reporting CP	IJK Securities Company	IJK 證券公司	HK - HONG KONG	ABC123	B09999	CZZZ	N	Nil	Nil	Nil	07 January 2020
2	Others	EFG Group	EFG 集團	HK - HONG KONG	Nil	Nil	Nil	Y	9999:HK	Nil	Nil	07 January 2020
3	Others	ABC Company	Nil	VG - VIRGIN ISLANDS, BRITISH	Nil	Nil	Nil	N	Nil	Nil	Nil	07 January 2020
4	Others	OPQ Company	Nil	HK - HONG KONG	Nil	Nil	Nil	N	Nil	Nil	Nil	07 January 2020
5	Others	LMN Company	Nil	KY - CAYMAN ISLANDS	Nil	Nil	Nil	N	Nil	Nil	Nil	07 January 2020
6	Others	RST Shenzhen Co Ltd	RST 深圳股份有限公司	CN - CHINA	Nil	Nil	Nil	N	Nil	Nil	Nil	07 January 2020