

3.8 Claiming Unclaimed Benefits

Investor Participants may need to claim unclaimed benefits when shares withdrawn from CCASS are not re-registered from HKSCC Nominees Limited's name into the Investor Participants' name prior to the next book-close date.

3.8.1 Claim Unclaimed Benefits Procedure

Investor Participants wishing to claim unclaimed benefits must apply in writing to the following address:

Hong Kong Securities Clearing Company Limited ("HKSCC") and
HKSCC Nominees Limited ("HKSCC Nominees")
1/F, One & Two Exchange Square
8 Connaught Place, Central, Hong Kong

Investor Participants must provide HKSCC with satisfactory proof that they are entitled to the unclaimed benefits. Normally, an Investor Participants will have to provide :

1. A claim letter stating the stock details, the financial year for the dividend and the amount or quantities of entitlement to be claimed. The 'Dividend / Bonus Claim Letter' can be obtained from the Customer Service Centre;
2. A certified copy of the relevant Stock Withdrawal Receipt;
3. Certified copies of the relevant withdrawn certificates and transfer deeds;
4. A certified copy of the relevant registrars' transfer receipts (with certificate numbers printed thereon) and/or the relevant registrars' confirmation of the non-registration
5. A certified copy of the relevant purchase contract notes.

Important Notes :

- HKSCC will only entertain claims for unclaimed benefits from Investor Participants who have had the shares re-registered in their own names.
- Where an Investor Participant is unable to provide HKSCC with the documents listed above, HKSCC may entertain a claim for unclaimed benefits subject to the Investor Participants providing a letter of indemnity countersigned by a licensed bank or a recognized insurance company in a form acceptable to HKSCC.
- HKSCC imposes a handling fee (HK\$200) per claim application in respect of unclaimed entitlements of a stock or (if the gross cash amount of the unclaimed entitlements is less than HK\$200) the gross cash amount.
- If the shares in respect of the claim were withdrawn by a Broker/Custodian¹, Investor Participant should request the Broker/Custodian to submit the claim on behalf of them.

¹ Broker / Custodian means Broker or Custodian which is a CCASS Participant