

4. Others

4.4 Disclosure of Shareholding Information

To increase market transparency, through the “Participant Shareholding Report” service to listed issuers and the “CCASS Shareholding Search” service to the public, the CCASS shareholding details, including the names, addresses, and shareholding information of Investor participants will be disclosed to the service users if they have given HKSCC their prior written consent to such disclosure.

A. Participant Shareholding (PSH) Report Service

HKSCC provides PSH reports to listed issuers upon their request. The PSH reports contain shareholding balances of all CCASS Participants, their names, addresses and Participant IDs on a specified date.

For Investor Participants, their addresses will be concealed unless prior written consent have been given to HKSCC for such disclosure.

B. CCASS Shareholding Search Service

Through this CCASS Shareholding Search service, the public will be able to look up the number of shares held in a Hong Kong listed company by each CCASS Participant by specifying a date in the past year together with the company’s stock code through HKEX’s Designated Issuer Website at <http://www.hkexnews.hk>. Names and addresses of the relevant Participants will also be displayed.

For Investor Participants, their individual shareholding information in CCASS will not be disclosed to the public through this new CCASS Shareholding Search service unless their prior written consent have been given to HKSCC. The shareholding of all Investor Participants that have not given consent to such disclosure will only be aggregated and displayed as a consolidated total without any of their identities to be shown to the public.

By signing and returning the consent form under Section 7.1.7, Investor Participants will be giving HKSCC their consent to (i) disclose their addresses to listed issuers through the PSH reports; and (ii) disclose their names, addresses and shareholding information to the public via the Designated Issuer Website or in hardcopy report or CD ROM format.