

1. Introduction

1.1 Overview of Stock Segregated Account with Statement Service

A Stock Segregated Account (SSA) with Statement Service is an account provided by Hong Kong Securities Clearing Company Limited (HKSCC), a wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited (HKEX). A broker/custodian which is a Participant of HKSCC can open an SSA with Statement Service with HKSCC for their investor clients, and HKSCC is authorized to furnish activity and/or monthly statements to the investor named by the broker/custodian in respect of the account (SSA Statement Recipient).

SSAs with Statement Service are maintained by HKSCC for brokers and custodians which are its participants in accordance with the General Rules of CCASS¹ and the CCASS Operational Procedures. Those brokers or custodians² have full authority and control over the SSAs with Statement Service and the stocks deposited with the accounts. HKSCC provides on-line functions for them to open SSAs with Statement Service and maintain profiles of SSAs with Statement Service for their investor clients. By opening an SSA with Statement Service through his/her broker/custodian, an investor as SSA Statement Recipient of the SSA with Statement Service will receive statements from HKSCC, and can access the on-line services provided in the CCASS Internet System and the CCASS Phone System, e.g. Enquire Stock Account Balance, Enquire Stock Account Movement, Input Voting Instruction, Affirm Stock Segregated Account Transfer Instruction (STI), etc. However, the movements of stocks into and out of SSAs with Statement Service are administered by their brokers or custodians and investors have to continue to submit elections, subscriptions and other corporate action instructions through their brokers or custodians.

A. On-line Enquiry

Investors as SSA Statement Recipients can enquire (i) the stock movements, (ii) the stock account balances, (iii) the instructions performed by SSA Statement Recipients, and (iv) the corporate activities of SSAs with Statement Service via the CCASS Internet System and the CCASS Phone System.

B. Statements

When there are stock movements in an SSA with Statement Service or any messages issued to the SSA with Statement Service, HKSCC will mail a Stock Segregated Account Activity Statement, showing the Stock Movement, Payment Summary, Affirm STI Activity, Voting Activity, Voting Reminder and Broadcast Message from HKSCC, to the investor as SSA Statement Recipient who has selected to receive activity statement via mail on the following day. HKSCC will mail a Monthly Balance Statement, detailing the stock account movements for the month, balances of all stocks in the stock account and the Broadcast Message from HKSCC to an SSA Statement Recipient who has selected to receive monthly statement via mail at the end of each month. Electronic activity statement and monthly statement will be available to all SSA Statement Recipients via the CCASS Internet System.

SSA Statement Recipients can select the language of the statements in English, Traditional Chinese or Simplified Chinese.

In case there is any change in the profile of an SSA with Statement Service (including change of address or designated bank account, reset of CCASS phone password, etc.), a notification letter will be issued to the SSA Statement Recipient. SMS and/or email alert will also be sent to the SSA Statement Recipient who has selected to receive SMS and/or email alert.

¹ CCASS means the Central Clearing And Settlement System operated by HKSCC.

² Broker(s) / custodian(s) which is/are CCASS Participant(s)

C. Corporate Communications

At the discretion of investors as SSA Statement Recipients, they can request HKSCC via their brokers/custodians to arrange for the direct distribution of corporate communications, such as notices and annual reports issued by listed issuers to them.

D. Short Message Services (SMS) and Email

At the discretion of investors as SSA Statement Recipients, they can request HKSCC via their brokers/custodians, to issue alert messages in the languages they have selected to their mobile phones or email accounts when there are stock movements / STI reminder / voting notification / issuer announcement in their SSA with Statement Service.

1.2 Communicating with CCASS

1.2.1 CCASS Phone System

Investors as SSA Statement Recipients of the SSAs with Statement Service can use touch-tone phones and follow the instructions given by the CCASS Phone System to listen the account movements and balances, and operate STI / Voting function.

CCASS Phone Operations Hotline : ☎ 2979-7333 for SSA Statement Recipients

Services	Day	Time
Enquire Stock Account Movement	Daily	24 hours#
Enquire Stock Account Balance	Daily	24 hours#
Change Password	Daily	24 hours#
Stock Segregated Account Transfer Instruction (STI)	Daily	00:00 – 07:00# ³ 07:00 – 19:00 19:00 – 00:00 ³
Voting Instruction	Daily	24 hours#
Operator Assistance	Monday - Friday	09:00 - 18:00

HKSCC will process the system maintenance job from 05:00 to 06:00, Monday to Saturday and public holiday and from 00:00 to 07:00 on Sunday. During the period, there will be no service provided.

Important Notes :

1. When calling the CCASS Phone System, SSA Statement Recipients can press '0' to talk to our Customer Service Officer.
2. STI that affirmed other than 07:00 – 19:00 on business day (Monday to Friday) will be captured and processed on the next business day (at around 07:00) and the execution of transfer will be performed according to the STI batch-runs. Under typhoon or black rainstorm, SSA Statement Recipients can continue to affirm STI but the share transfer will be performed according to the service resumption schedule of CCASS.

1.2.2 CCASS Internet System

Investors as SSA Statement Recipients can perform account enquiry and operate STI / Voting functions by logging on to CCASS through the CCASS Internet System using the self created Internet User ID and Password.

The website of the CCASS Internet System for SSA Statement Recipients: <https://ssa.ccass.com>

Services	Day	Time
Notice Board	Daily	24 hours#
Stock Segregated Account Transfer Instruction (STI)	Daily	00:00 – 07:00# ³ 07:00 – 19:00 19:00 – 00:00 ³
Voting	Daily	24 hours#
Corporate Activities	Daily	24 hours#
Enquire Issuer Announcement	Daily	24 hours#
Enquire Stock Account Balance	Daily	24 hours#
Enquire Stock Account Movement	Daily	24 hours#
Enquire Stock Segregated Account Profile	Daily	24 hours#
Stock Segregated Account Statement	Daily	24 hours#
Change Internet User Password	Daily	24 hours#
Rules & Procedures Frequently Asked Questions	Daily	24 hours#

HKSCC will process the system maintenance job from 05:00 to 06:00, Monday to Saturday and public holiday and from 00:00 to 07:00 on Sunday. During the period, there will be no service provided.

Important Notes :

- For accessing CCASS Internet System, your personal computer is recommended to have the following configuration:
 - Windows 10
 - The web site is best viewed by Microsoft Internet Explorer 11
 - Internet connection provided by an Internet service provider
- STI that affirmed other than 07:00 – 19:00 on a business day (Monday to Friday) will be captured and processed on the next business day (at around 07:00) and the execution of transfer will be performed according to the STI batch-runs. Under typhoon or black rainstorm, SSA Statement Recipients can continue to affirm STI but the share transfer will be performed according to the service resumption schedule of CCASS.
- If the machine is left idle for more than 15 minutes, the system will logoff automatically to prevent unauthorized access.

1.3 Services Available from the CCASS Phone System

CCASS Phone Operations Hotline : ☎ 2979-7333

When connected to the Hotline, press the number to select language...

Enter CCASS Phone User ID and Password...

From the Main Menu of SSA Services, press...

- 1** Enquire Stock Account Balance

- 2** Enquire Stock Account Movement

- 3** Change Password

- 4** Stock Segregated Account Transfer Instruction (STI)
then ☞
 - 1 Affirm STI
 - 2 Enquire STI

- 5** Voting
then ☞
 - 1 Input Voting Instruction
 - 2 Change Voting Instruction
 - 3 Enquire Voting Instruction Done
 - 4 Enquire Voting Deadline

Common Keys:

- * Repeat
- 0 Operator Assistance
- 1 Confirm
- 3 Cancel
- 6 Back to submenu
- 7 Next
- 8 Main menu
- 9 Quit

1.4 Services Available from the CCASS Internet System

The website of the CCASS Internet System for SSA Statement Recipients:
<https://ssa.ccass.com>

Enter the self created Internet User ID and Password...

From the Main Menu, click the hyperlink...

Notice Board

under sub-menu ☞ Broadcast Message
Corporate Action Reminder

Stock Segregated Account Transfer
Instruction (STI)

under sub-menu ☞ Affirm STI
Enquire STI

Voting

under sub-menu ☞ Input Voting Instruction
Change Voting Instruction
Appoint Representative To Attend Meeting Form (*Applicable
to Individual SSA with Statement Service only*)
Enquire Voting Instruction

Corporate Activities

Enquire Issuer Announcement

Enquire Stock Account Balance

Enquire Stock Account Movement

Enquire Stock Segregated Account Profile

Stock Segregated Account Statement

Change Internet User Password

Rules and Procedures

under sub-menu ☞ Terms of Use
Terms and Conditions of SMS and Email
Operating Guide for SSA with Statement Service
CCASS Operational Procedures
General Rules of CCASS

Frequently Asked Questions

under sub-menu ☞ PC Requirements
Security
Stock Account Movement and Balance
Stock Segregated Account Transfer Instruction (STI)
Voting
Short Message Service (SMS) and Email
Others

Logout