Uncertificated Securities Market (USM)

Information Package for USM Practice Session

Practice Session: 10 & 11 October 2026

Practice Session (Back-up): 24 & 25 October 2026

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1. Introduction

To help Clearing and Custodian Participants (CPs) to familiarise themselves with operations under the Uncertificated Securities Market (USM), Hong Kong Securities Clearing Company Limited (HKSCC) invites all CPs to participate in the Practice Session (PS) scheduled for 10 and 11 October 2026. A back-up PS is scheduled for 24 and 25 October 2026 (Back-up).

This Information Package supports CPs in planning and preparing for the PS. CPs should read this document carefully to ensure all required arrangements are in place before conducting the sessions. Please also share a copy with your IT support or system vendor to secure appropriate technical support and operational resources before and during the sessions.

2. Objectives and Scope

2.1 Objectives

The PS provides CPs with an environment to verify operational and (if applicable) back-office system readiness for USM launch.

2.2 Scope

The PS simulates daily depository and nominees activities under USM for the business day immediately following migration. CCASS online access will be provided using pre-set data so that CPs can exercise new/enhanced USM functions, review and verify outputs (CCASS reports with transactions), and validate internal processes and interfaces against simulated migration data.

Coverage includes:

New CCASS Functions	Relevant processes
1. Maintain USI Transfer Request **2. USI Transfer Request Batch File Upload**	• USI transfer of participating securities in uncertificated form • Share movement – share repurchases
3. Maintain Login Deposit/Demat Order **4. Login Deposit/Demat Order Batch File Upload**	• Deposit of prescribed securities • Demat with transfer of participating securities in certificated form • Prescribed securities becoming participating securities
5. Maintain Stamp Duty Payment Request	• Stamp duty payment for Settlement Instruction (SI) transactions of participating securities which is subject to stamp duty

Enhanced CCASS Functions	Relevant processes
1. Enquire Stock List	• Enquiry of the participating securities list

Enhanced CCASS Functions	Relevant processes
2. Corporate Representative/Proxy Maintenance	• Corporate actions – proxy input with straight-through submission to ASR

New CCASS Reports	Relevant Process
1. CCVUM01 - USI Transfer Request Activity Report	• Review and verify the CCASS reports with transactions
2. CCVUM02 - USI Transfer Request Status Report	
3. CCVUM03 - USI Transfer Request Batch Input Control Report	
4. CCVUM09 - Deposit / Demat Order Status Report	
5. CCVUM10 - Deposit / Demat Certificate(s) Detail Report	
6. CCVUM11 - Rejected Deposit / Demat Order Certificate(s) Detail Report	
7. CCVUM12 - Deposit / Demat Order Audit Trial Report	
8. CCVUM13 - Deposit / Demat Order Batch Input Control Report	
9. CSEUM01 - Stamp Duty Payment Request Activity Report	
10. CSEUM02 - Stamp Duty Payment Request Status Report	
11. CCVWD17 – Daily Stock Withdrawal Fee (for Physical Withdrawal) Collection Report	
12. CCVWD18 – Daily Stock Withdrawal Fee (for USI transfer) Collection Report	
13. CCVUM39 – ASR Fees Report	

Enhanced CCASS Reports	Relevant Process
1. CSEMS08 – Money Ledger Report	• Review and verify the CCASS reports with transactions
2. CSESM01 – Statement of Stock Movement (By Stock) Report	
3. CSESM02 – Statement of Stock Movement (By Account) Report	

Enhanced CCASS Reports	Relevant Process
4. CCNAN05 – Corporate Announcement Master Data File	
5. CCNAN06 – Corporate Announcement Maintenance Activities Report	

There are enhanced processes that will be covered during the PS. However, these processes will be transparent to CPs and will not require any action on their part:

i. HKSCC vault dematerialization for prescribed securities becoming participating securities
ii. IPO Allotments and distribution of bonus shares

In addition, all existing CCASS functions and batch runs will continue to operate as usual during the PS, with no suspension of services. However, any instructions submitted during the PS will not result in any actual production activities or market transactions.

3. Important Notes on Technical Arrangements

Prior to the PS Day, configure workstations according to "HKSCC CCASS / RAP Installation Procedures" (Client Connect > Infrastructure – Settlement & Depository):

A. Section 4.2 – configure required DNS server IPs: Preferred DNS 10.243.1.1 (UDP 53); Alternate DNS 10.243.65.1 (UDP 53).
B. Section 4.5 – verify DNS setup and connectivity to the Alternate DNS.
C. Section 5.3 – configure Compatibility View Settings.
D. Section 5.4 – configure Local Intranet Settings.
E. Section 5.5 – disable Certificate Revocation Check.

Furthermore, CPs should note the following arrangements for preparation and execution of the Practice Session:

3.1 CCASS

a. CPs should Log on to CCASS via existing CCASS Terminal (C3T) in production **at 11:00 a.m. HKT promptly to start the PS**. Users must use Microsoft Edge to access CCASS via C3T.

b. The CCASS reports/data files available during the PS are for practice only. CPs should not rely on such CCASS reports/data files for production use.

c. For CPs who will perform file upload during the PS, they should prepare the testing upload files beforehand.

d. The participating users must have experience in using CCASS in their daily business activities and have registered email/mobile device for receiving One-Time Password (OTP) and regular passwords for accessing CCASS by Two-Factor Authentication (2FA) during the PS. Also, CPs should ensure the participating user has completed the first-time login process, please refer to Appendix C of Information Package for Launch of 2FA for the first time login arrangement.

e. CPs should ensure that the participating users have appropriate user function access to perform the required CCASS activities during the PS. Please refer to Appendix F for access control. The Delegated Administrators (DAs) of CPs are encouraged NOT to change any user function access during the PS as it will take time to take effect.

f. CPs are reminded to remove ALL their testing upload files and CCASS reports/data files downloaded during the PS from their production C3Ts to avoid any misuse upon normal CCASS operations on next business day.

g. CPs who use BOS in the PS are reminded to do clean-up and make sure that their corresponding BOS used in the PS have been resumed to production image and ready for normal business activities on the next business day.

h. CPs should refer to the Checklist in Appendix A and the Schedule and Timetable listed in Section 4.2 for the action items to be performed before, during and after the PS for preparation and execution. In order to achieve the objectives, it is imperative that CPs follow the PS checklist and rundowns. CPs should ensure their participating user is familiar with the requirements and procedures prior to participating in the PS.

i. **In addition, CPs are recommended to maintain a proper audit trail in respect of each transaction performed during the PS. A responsible officer or his/her designate of each participating CPs are advised to be available during the PS to supervise the testing process and to be responsible for relaying any issues arising during the PS to HKEX.** In any event, it is recommended that an internal briefing should be held by each CP prior to the PS to ensure that (1) user involved fully understand all requirements and procedures and (2) proper arrangements have been put in place by the CP to comply with the PS requirements.

j. CPs should ensure that they have access to the emails of the designated contact person(s) nominated in the registration in order to receive emergency messages from HKEX during the PS.

k. CPs should coordinate with their IT teams and/or vendors for necessary preparation for the PS. Moreover, CPs should secure sufficient support from their IT teams and/or vendors at all times during the PS. **Administrator accounts on the CCASS/3 Terminals should be ready to correct PC configurations for the terminals if necessary.**

l. After completion of the PS, CPs are required to complete and return the "USM Practice Session Confirmation Form" as set forth in Appendix G on 12 October 2026 (Monday) or 26 October 2026 (Monday) for PS (back-up).

3.2 Report Access Platform (RAP)

- CPs using IP addresses to access RAP, before conducting PS activities, should check and **ensure the RAP's IP address has been changed from primary connection to secondary connection**, i.e. **10.243.66.141** or **10.243.66.142**.
- Before re-connecting to Primary Data Centre after PS activities (please refer to section 4.2 for detail schedule), **resume to primary connection**, i.e. **10.243.2.141** or **10.243.2.142**.
- CPs should use the registered client workstations to access RAP, i.e. with registered IP addresses and SSH Key submitted in the registration form for HKSCC Report Access Platform (RAP).
- CPs manually connect to RAP via SFTP client should ensure that the participating user is familiar with RAP connection via SFTP client.
- To prevent concurrent login which is restricted in RAP, CPs should set "Number of simultaneous connections" or "Limit for concurrent download" to "1" in SFTP client.

4. Schedule and Arrangements

4.1 Overview

The PS simulates normal business operations on 7 December 2026 (Monday). Pre-set CNS positions and stock balances are provided for testing.

4.2 Schedule and Timetable

	PS	PS (Back-up)
Execution Date	10 October 2026 (Saturday) & 11 October (Sunday)	24 October 2026 (Saturday) & 25 October 2026 (Sunday)
Logical Date	7 December 2026 (Monday)	
System Involved	CCASS & RAP – production state	

Normal Business Day Operation – 10 October 2026 (Saturday)			
Time From	**Time To**	**Practice Session Activities**	**Remarks**
11:00		Online ready	
11:00	**17:00**	**<u>Online input session starts</u>** • logon to CCASS via: https://www.ccass.com • perform CCASS online transactions. Upon successful logon, the main view will be displayed (connectivity verification). **<u>RAP</u>** • Access RAP to retrieve CCASS reports	Refer to Appendix C for data setup. Refer to Appendix D for suggested functions and reports/data files.
11:00	**12:30**	Perform Share Movement Request Maintenance	
11:00	**13:00**	Perform Login Deposit / Demet Order Maintenance	
11:00	**13:30**	Perform USI Transfer Request Maintenance	
11:00	**16:15**	Submit proxy instruction through "Corporate Representative / Proxy Maintenance" or CRP File Transfer" functions	
11:00	**16:15**	Perform Stamp Duty Payment Request	
11:00	**17:00**	Enquire Stock List	
Before 12:00		1st Batch Settlement Run	
18:00		End of Practice Session on 10 October • Logout CCASS • Logout from RAP	

Report Retrieval – 11 October 2026			
Time From	**Time To**	**Practice Session Activities**	**Remarks**
09:00	**12:00**	**<u>RAP</u>** Access RAP to retrieve CCASS reports for result checking (Refer to Appendix D for the reports schedule)	
12:00		End of Practice Session on 11 October • Logout from RAP	

4.3 User profile and Password

User profiles are based on the latest production image prior to the Practice Sessions: day-end image of 9 October 2026 (Friday) for PS and 23 October 2026 (Friday) for PS (Back-up).

During the PS, CCASS password resets do not affect production. If a 2FA self-reset or DA-initiated password reset is performed during the PS, the original pre-reset password remains valid for production on the next business day: Monday, 12 October 2026 for PS; Monday, 25 October 2026 for PS (Back-up).

Under USM, four new user access level codes (29, 30, 31, 32) have been introduced to support the batch file upload functions, namely:

- Authorise Login Deposit/Demat Order Batch File Upload
- Login Deposit/Demat Order Batch File Upload
- Authorise USI Transfer Request Batch File Upload
- Login USI Transfer Request Batch File Upload.

The DAs of CPs are responsible for maintaining the user profile of the participating users and ensuring that appropriate access rights are assigned for the required activities during the PS. **User profiles setting should be completed before the PS, by Wednesday, 7 October 2026**.

4.4 Practice Session Environment

The environment is set up with testing data (pre-defined stocks, stock balances and CNS positions). Refer to Appendix C for the data setup. Activities performed simulate production operations of 7 December 2026, the normal settlement day immediately after migration.

4.5 Transactions to be Executed

Online sessions will be provided for CPs to simulate internal processes supporting clearing, settlement, depository and nominees activities under USM. CPs should refer to their daily operations to plan what type of transactions and/or activities should be covered in the PS. CPs should refer to Appendix D for the suggested test script.

4.6 Retrieve Batch File Upload via CCASS

CCASS reports/data files can be retrieved via RAP during the Practice Session.

In addition, to facilitate CPs to verify the results of their uploaded testing files in CCASS, the batch input control reports will be available shortly after the successful upload of the batch files.

4.7 Important Reminder for Prior Practice Sessions Arrangement

- Ensure BOS readiness for PS activities in CCASS under USM.

- Create a new directory as the “Report Directory” for CCASS reports/data files during Practice.
- If using production BOS for PS, back-up production data beforehand and prepare data restore procedures to resume production data afterwards.
- Arrange data backup with IT support or BOS vendor where appropriate.

4.8 Important Reminder for Post Practice Session Arrangement

- Ensure all corresponding systems used during PS are restored and ready for normal business on the following day.

5. Severe Weather Arrangement

If Typhoon Signal No. 8 or above remains in effect and is not lowered before 8:30 a.m. on PS / PS (Back-up) execution date, and/or Black Rainstorm Warning remains in effect and is not lowered before 8:30 a.m., the PS will be cancelled. HKSCC will notify CPs of a revised schedule later.

If Typhoon Signal No. 8 or above is hoisted at or after 8:30 a.m. on the day, all activities will be terminated 15 minutes thereafter. If Black Rainstorm Warning is issued during testing hours (i.e. at or after 11:00 a.m.), the Practice Session(s) will continue until completion.

6. Communication Channels

Approximately 2 hours before the PS, CPs may call the CCASS Hotline at 2979-7111 to confirm whether the sessions will be held as scheduled.

During the PS, HKEX will communicate via: (a) Broadcast Messages through CCASS or email under normal circumstances; and (b) email and/or phone calls in emergency situations where CCASS access is unavailable. Ensure nominated contact(s) are reachable and that submitted email addresses and mobile numbers are accurate.

7. Help Desk

For queries during preparation and execution, contact CCASS Hotline at 2979-7111:

- Saturday, 10 October 2026 (24 October 2026 back-up): Online input and enquiry session – 10:30 a.m. to 6:30 p.m.
- Sunday, 11 October 2026 (25 October 2026 back-up): Reports retrieval via RAP – 9 a.m. to 12:30 p.m.

8. Confirmation on Readiness

All CPs who participated in the PS must declare readiness for USM by 12:00 noon on Monday, 12 October 2026 for PS or by 12:00 noon on Monday, 26 October 2026 for PS (Back-up). CPs should declare readiness by completing Appendix G and submit the form via email to clearingps@hkex.com.hk.

Appendix A: Practice Session Checklist

ITEMS TO BE CHECKED		✓
(A) Before the Practice Session(s)		
1	Have you read and understood this document?	
2	Have you passed this document to your internal IT support team or system vendor and ensured that they would take follow-up actions (if necessary)?	
3	Should the designated contact person(s) be changed, have you submitted the updated contact details (Email address and telephone number(s)) to HKEX?	
4	Have you arranged access for your designated contact person(s) to receive HKEX's communication via email and/or CCASS's Broadcast Messages before and during the PS?	
5	Have you ensured that the participating users have access to CCASS functions, especially the user access level codes, to be tested in the PS and their OTP channel (i.e. email address or mobile device) is accessible? **Note:** Refer to section 4.3, four new user access level codes (29, 30, 31, 32) have been introduced	
6	If you would use your BOS in the PS, have you developed proper procedures to restore your BOS upon completion of the PS and verification control to ensure system readiness for normal business operations on the following Monday?	
8	Have you prepared the testing upload files for USI Transfer and Demat with Transfer requests etc. in the Practice Session?	
9	Have you created a new directory for downloading the testing CCASS reports/data files during the PS?	
10	Have you configured and verified Alternate Domain Name Servers (DNS) on workstations for access to CCASS, RAP according to Section 4.2 and 4.5 of the Technical Guide?	
11	Have you arranged IT and/ or system vendor support with appropriate system administration ID during the PS in case there is any technical problem?	
12	Have you ensured you have your user ID, password and workstations ready to verify RAP? i.e. your SSH Key is not expired during the PS. For RAP, you should use the registered client workstations to access RAP, i.e. with registered IP addresses and SSH Key submitted in the registration form for HKSCC Report Access Platform (RAP).	
(B) After the Practice Session(s)		
1	Have you cleaned up or removed the downloaded reports from the production RAP after the PS?	
2	Have you submitted the "USM Practice Session Confirmation Form" (Appendix G) to HKEX by 12:00 noon, 12 October 2026 (Monday) for PS or by 12:00 noon on 26 October 2026 (Monday) for PS back-up upon completion of the PS?	

Appendix B: Availability Schedule of CCASS On-line Functions During the PS

Function Name	Start Time	End Time	Market
Add Login Deposit/Demat Order	11:00	13:00	GLOB
Change Login Deposit/Demat Order	11:00	13:00	GLOB
Delete Login Deposit/Demat Order	11:00	13:00	GLOB

Authorise Login Deposit/Demat Order	11:00	13:00	GLOB
Cancel Login Deposit/Demat Order	11:00	13:00	GLOB
Enquire Login Deposit/Demat Order	11:00	13:00	GLOB
Login Deposit/Demat Order Batch File Upload	11:00	13:00	GLOB
Authorise Login Deposit/Demat Order Batch File	11:00	13:00	GLOB
Add USI Transfer Request	11:00	13:30	GLOB
Change USI Transfer Request	11:00	13:30	GLOB
Delete USI Transfer Request	11:00	13:30	GLOB
Authorise USI Transfer Request	11:00	13:30	GLOB
Enquire USI Transfer Request	11:00	13:30	GLOB
USI Transfer Request Batch File Upload	11:00	13:30	GLOB
Authorise USI Transfer Request Batch File	11:00	13:30	GLOB
Add Corporate Representative/Proxy[1]	11:00	16:15	HKMK
Change Corporate Representative/Proxy	11:00	16:15	HKMK
Delete Corporate Representative/Proxy	11:00	16:15	HKMK
Authorise Corporate Representative/Proxy	11:00	16:15	HKMK
CRP Batch File Upload	11:00	16:15	HKMK
Authorise CRP Batch File Upload	11:00	16:15	HKMK
Enquire Corporate Representative/Proxy	11:00	18:00	GLOB
Add Stamp Duty Payment Request	11:00	16:15	GLOB
Delete Stamp Duty Payment Request	11:00	16:15	GLOB
Authorise Stamp Duty Payment Request	11:00	16:15	GLOB
Enquire Stamp Duty Payment Request	11:00	16:15	GLOB
Enquire Stock List	11:00	18:00	GLOB
Enquire Broadcast Message	11:00	18:00	GLOB

[1] CPs are advised to refer to the Circular (Ref: PT/NIS/CCASS/109/2026) issued by HKSCC on 13 April 2026 and the designated webpage (https://www.hkex.com.hk/Services/Settlement-and-Depository/Common-Nominee-Services/Pre-registration-arrangement-for-online-meeting-(For-HKSCC-Participants)?sc_lang=en) for details of the enhanced pre-registration arrangement for online meetings, which was implemented on 27 July 2026.

Appendix C: List of Testing Stocks, Pre-set Security Balances and CNS Positions

<table>
<tr><td>Execution Date</td><td colspan="3">10 October 2026 (Saturday) /
24 October 2026 (Saturday) (Back-up)</td></tr>
<tr><td>Logical Date</td><td colspan="3">7 December 2026</td></tr>
<tr><td rowspan="2">System</td><td colspan="3">CCASS</td></tr>
<tr><td colspan="3">RAP</td></tr>
<tr><td rowspan="2">RP Details</td><td>Computershare</td><td>Stocks involved:
#1 – CKH Holdings
#16 – SHK PPT
#293 – Cathy Pac Air
#388 – HKEX
#45615 – IPO mock-up stock</td><td rowspan="2">RP will process transactions transmitted by HKSCC via the interface on a best-efforts basis.

Transactions with incorrect details will be rejected (e.g. invalid stock codes, incorrect USI number or names or insufficient holdings, etc.)</td></tr>
<tr><td>Vistra</td><td>Stock involved:
#4 – Wharf Holdings
#23 – Bank of E Asia
#28 – Tian An
#83 – Sino Land
#45619 – IPO mock-up stock</td></tr>
<tr><td rowspan="6">CCASS Holdings</td><td>#293</td><td>12,000</td><td rowspan="4">Initial holdings</td></tr>
<tr><td>#388</td><td>2</td></tr>
<tr><td>#4</td><td>12,000</td></tr>
<tr><td>#23</td><td>2</td></tr>
<tr><td>#45615</td><td>10,000</td><td rowspan="2">To be distributed during the PS</td></tr>
<tr><td>#45619</td><td>10,000</td></tr>
<tr><td>CNS Positions</td><td>#388</td><td>10 (Long)</td><td>To be settled in the batch settlement run before 12:00 noon</td></tr>
<tr><td>Data File for the Suggested Execution</td><td colspan="3">
USM Practise Session_Test Data file

Please refer to the "Summary for Data Inputs" tab for instructions on the required inputs for each corresponding case.

Note: "Appendix" tab and “eDeposit” tab contain data assigned to EACH CP for inputs in certain cases (i.e. Case#3, 4, 7-14, 23,24).</td></tr>
</table>

Appendix D: Suggested Executions for CPs

<table>
<tr><th colspan="4">CPs are recommended to perform the following online CCASS functions</th></tr>
<tr><td colspan="4">(i) Online Enquiry, Maintenance and Upload Files</td></tr>
<tr><th>Activities</th><th>Start Time</th><th>End Time</th><th>Description</th></tr>
<tr><td rowspan="2">Corporate Actions</td><td>11:00</td><td>16:15</td><td rowspan="2">CPs shall submit proxy instructions to HKSCC through the “Corporate Representative / Proxy Maintenance” or “CRP File Transfer” functions.

<u>Case CA1:</u>

For Voting (VT) case - #293 AGM on 10 December 2026, input proxy instruction through “Add Corp Rep/Proxy” in CCASS Terminal with suggested detail below:

• Corp Rep/Proxy Full Name: <u>MR B0XXXX AAA</u>
• Email address for Online Meeting: <u>AAA@B0XXXX.com</u>
• B0XXXX refers to the participant ID
• Corp Rep/Proxy holdings: 1,000

<u>Case CA2:</u>

For Voting (VT) case – #4 AGM on 10 Dec 26, input proxy instruction through “Add Corp Rep/Proxy” in CCASS Terminal with suggested detail below:

• Corp Rep/Proxy Full Name: MR B0XXXX AAA</td></tr>
<tr><td colspan="2">Via the “Corporate Representative / Proxy Maintenance” or the “Corporate Representative/Proxy (CRP) File Transfer[2]”

Sample of CRP batch file layout:


8A36959S.TXT</td></tr>
</table>

[2] Validation Run for Corporate Representative/Proxy (CRP) File at around ~ 14:45 and 16:15.

			• Email address for Online Meeting: AAA@B0XXXX.com • Corp Rep/Proxy holdings: 1,000
	Before 13:30		**Case CA3:** CP shall enquire about stock account movements for #4 and #293 relating to bonus share distribution of participating securities. Please refer to Appendix E for the Summary of Corporate Action.
Depository	11:00	13:30	Perform USI Transfer Request Maintenance **Case 1:** For USI transfer out from HKSCCN to ASR USI holder account • Stock: #388 • No. of shares to be transferred: 2 **Case 2:** For USI transfer out from HKSCCN to ASR USI holder account • Stock: #23 • No. of shares to be transferred: 2

			<u>Case 3:</u> For USI transfer into HKSCCN from ASR USI holder account • Stock: #388 • No. of shares to be transferred: 3 **<u>Case 4:</u>** For USI transfer into HKSCCN from ASR USI holder account • Stock: #23 • No. of shares to be transferred: 3
	11:00	13:00	Perform Login Deposit / Demat Order Maintenance **<u>Case 7:</u>** For deposit order of non-participating securities • Stock: #1 • No. of shares to be deposited: 5,000 **<u>Case 8:</u>** For deposit order of non-participating securities • Stock: #28 • No. of shares to be deposited: 6,000 ***Notes:*** For the case 7 and case 8, the subsequent certificates delivery to the respective ASRs will not be simulated during the PS. CPs shall expect these orders end status will be “TO REGISTRAR”. **<u>Case 9:</u>** For demat with transfer order of participating securities

			• Stock: #388 • No. of shares for demat with transfer: 7,000 **Case 10:** For demat with transfer order of participating securities • Stock: #23 • No. of shares for demat with transfer: 7,000 **Case 11:** For demat only order (i.e. demat without transfer) of participating securities • Stock: #388 • No. of shares for demat only: 9,000 **Case 12:** For demat only order (i.e. demat without transfer) of participating securities • Stock: #23 • No. of shares to be demat: 9,000 **Case 13:** For demat with transfer order of prescribed securities that become participating securities 4 days prior to the participation date • Stock: #16 • No. of share to be demat with transfer: 10,000 **Case 14:** For demat with transfer order of prescribed securities that become participating securities 4 days prior to the participation date • Stock: #83

			• No. of share to be demat with transfer: 10,000 ***Notes:*** For the case 13 and case 14, CPs shall expect these orders end status will be "DEMAT IN PROGRESS".
Depository	11:00	12:30	Perform Share Movement Request Maintenance **Case 21:** For the transfer of repurchased shares from HKSCCN to ASR for cancellation • Stock: #293 • No. of repurchased shares: 10,000 • Issuer's Instruction Reference Number: SMREP00xxx **Case 22:** For the transfer of repurchased shares from HKSCCN to ASR for cancellation • Stock: #4 • No. of repurchased shares: 10,000 • Issuer's Instruction Reference Number: SMREP00xxx
	11:00	13:00	Batch Upload Login Deposit / Demat Order via FUDV/U. Batch input control report CCVUM13 will be generated after each validation processing. **Case 23:** For deposit order of non-participating securities via a batch upload file a. Stock: #1

			No. of share to be deposited: 10,000 b. Stock: #1 No. of share to be deposited: 20,000 c. Stock: #28 No. of share to be deposited: 30,000 ***Notes:*** For the case 23, CPs shall expect these orders end status will be "TO REGISTRAR". **Case 24:** For Demat with transfer order of participating securities via a batch upload file a. Stock: #293 No. of shares to be demat with transfer: 10,000 b. Stock #4 No. of shares to be demat with transfer: 10,000 For the case 24, CPs shall expect these orders end status will be "DEMAT IN PROGRESS".
	11:00	13:30	Batch USI Transfer Request via FUFV/U. USI Transfer Request Batch input control report CCVUM03 will be generated after each validation processing. **<u>Case 25:</u>** For USI transfer orders via a batch upload file a. Transfer into HKSCCN - Stock: #293 No. of shares to be transferred: 10,000 shares - Stock: #4 No. of shares to be transferred – 10,000 shares

			b. Transfer from HKSCCN - Stock: #293 No. of shares to be transferred: 2,000 - Stock: #4 No. of shares to be transferred: 2,000
	11:00	16:15	Maintain Stamp Duty Payment Request **<u>Case 26:</u>** Stamp Duty Payment for Buy & Sell trade executed in HK • Stock #388 • No. of shares: 300,000 • Transferor: CHAN TAI MAN • Transferee: LEUNG BO SING **<u>Case 27:</u>** Stamp Duty Payment for Buy trade executed outside HK • Stock: #388 • No. of shares: 300,000 • Transferor: LEE WAI MAN • Transferee: LI BO YIN **<u>Case 28:</u>** Stamp Duty Payment for Sell trade executed outside HK • Stock: #23 • No. of shares: 3,000,000 shares • Transferor: CHEUNG YAT MAN • Transferee: HO BO WING
	11:00	18:00	Enquire Stock List • Check the stock balance for stock #45615 and #45619
IPO	11:00	18:00	**<u>Case IPO 1:</u>** CP shall enquire about stock balance of #45615 and

			#45619 relating to IPO allotment
(ii) Retrieval of Reports:			
CPs should retrieve the following CCASS reports to facilitate the data verification:			
10 October 2026			
Logical Date (Report Date)	7 December 2026		
Business Areas	Reports / File Generation Time		Report Name
Corporate Actions	13:00 / 15:30 / 18:00		CCNAN05 - Corporate Announcement Master Data File for HKMK, MAMK and SZMK Markets CCNAN06 - Corporate Announcement Maintenance Activities Report for HKMK, MAMK and SZMK
	14:45 / 16:15		CCNVT08 – CRP Batch Input Control Report *Note:* This report is only applicable to CPs who have performed the "CRP File Transfer" Function and will only be generated after the **next validation run** following the upload of the CRP batch file.
Depository	11:45		CCVUM03 - USI Transfer Request Batch Input Control Report
	12:15		CCVUM03 - USI Transfer Request Batch Input Control Report
	12:45		CCVUM03 - USI Transfer Request Batch Input Control Report
	13:15		CCVUM03 - USI Transfer Request Batch Input Control Report
	14:15		CCVUM03 - USI Transfer Request Batch Input Control Report
	10:00		CCVUM13 - Deposit / Demat Order Batch Input Control Report
	11:00		CCVUM13 - Deposit / Demat Order Batch Input Control Report
	12:00		CCVUM13 - Deposit / Demat Order Batch Input Control Report
	13:15		CCVUM13 - Deposit / Demat Order Batch Input Control Report
11 October 2026			
Corporate Actions	09:00 **(Note: Reports as of logical date 7 December)**		CCNPT01 – Nominee Functions Input Activities

Depository	09:00 **(Note: Reports as of logical date 7 December)**	CCVUM01 - USI Transfer Request Activity Report
		CCVUM02 - USI Transfer Request Status Report
		CCVUM09 - Deposit / Demat Order Status Report
		CCVUM10 - Deposit / Demat Certificate(s) Detail Report
		CCVUM11 - Rejected Deposit / Demat Order Certificate(s) Detail Report
		CCVUM12 - Deposit / Demat Order Audit Trial Report
		CCVUM13 - Deposit/Demat Order Batch Input Control Report
		CSEUM01 - Stamp Duty Payment Request Activity Report
		CSEUM02 - Stamp Duty Payment Request Status Report
		CCVWD17 – Daily Stock Withdrawal Fee (for Physical Withdrawal) Collection Report
		CCVWD18 – Daily Stock Withdrawal Fee (for USI transfer) Collection Report
		CCVUM39 – ASR Fees Report
		CSEMS08 – Money Ledger Report
		CSESM01 – Statement of Stock Movement (By Stock) Report
		CSESM02 – Statement of Stock Movement (By Account) Report
	11:00 **(Note: Reports as of logical date 8 December)**	CCVUM09 - Deposit / Demat Order Status Report
		CCVUM10 - Deposit / Demat Certificate(s) Detail Report
		CCVUM11 - Rejected Deposit / Demat Order Certificate(s) Detail Report
		CCVUM12 - Deposit / Demat Order Audit Trial Report

Appendix E: Summary of Corporate Actions

Stock Codes	Securities Registrars	Corporate Actions	Announcement Summary	Key Actions for CPs
4	Vistra	Voting	AGM ON 10DEC26(IN HK)- 2 RESOLUTION(S) (APPOINTED AS: PROXY) HYBRID MEETING	Submit Proxy Instruction to HKSCC

		Bonus Issue	BONUS ISSUE-1 BONUS SH(S)FOR 1 SH(S) HELD	Confirm receipt of the scrip entitlement
293	Computershare	Voting	AGM ON 10DEC26(IN HK)- 2 RESOLUTION(S) (APPOINTED AS: PROXY) HYBRID MEETING	Submit Proxy Instruction to HKSCC
		Bonus Issue	BONUS ISSUE-1 BONUS SH(S)FOR 1 SH(S) HELD	Confirm receipt of the scrip entitlement

Appendix F: User Access Level Code

GENERAL CCASS FUNCTION	USER ACCESS LEVEL CODE																	
	A	C	D	E	F	G	H	I	J	K	L	M	N	O	AA	AB	AC	AD
MAINTAIN STAMP DUTY PAYMENT REQUEST																		
Add Stamp Duty Payment Request	✓																	
Delete Stamp Duty Payment Request	✓																	
Authorise Stamp Duty Payment Request			✓															
Enquire Stamp Duty Payment Request	✓		✓															
MAINTAIN USI TRANSFER REQUEST																		
Add USI Transfer Request	✓																	
Change USI Transfer Request	✓																	
Delete USI Transfer Request	✓																	
Authorise USI Transfer Request			✓															
Enquire USI Transfer Request	✓		✓															
MAINTAIN LOGIN DEPOSIT/DEMAT ORDER																		
Add Login Deposit/Demat Order	✓																	
Change Login Deposit/Demat Order	✓																	
Delete Login Deposit/Demat Order	✓																	
Authorise Login Deposit/Demat Order			✓															
Cancel Login Deposit/Demat Order			✓															
Enquire Login Deposit/Demat Order	✓		✓															

UPLOAD BATCH FILE FUNCTIONS	USER ACCESS LEVEL CODE																					
	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32
UPLOAD BATCH FILE																						
Authorise Login Deposit/Demat Order Batch File Upload																			✓			
Login Deposit/Demat Order Batch File Upload																				✓		
Authorise USI Transfer Request Batch File Upload																					✓	

UPLOAD BATCH FILE FUNCTIONS	USER ACCESS LEVEL CODE																				
	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32
Login USI Transfer Request Batch File Upload																						✓

Appendix G: USM Practice Session Confirmation Form

To: Hong Kong Exchanges and Clearing Limited Email: clearingps@hkex.com.hk

Date: _____

HKSCC Participant Information

_____

Name Participant ID

Participating User
(Name and Signature)

_____ **Tel:** _____

CCASS Authorised Signatory(ies)
Name and Signature
(with company chop, ONLY applicable if it forms part of your signing instruction)

S.V.

_____

CCASS Participants should complete this form and email to HKEX by 12:00 noon on 12 October 2026 (Monday) and 26 October 2026 (Monday) for PS and PS back-up (if applicable). The form should be completed by the individual(s) who took part in the testing and reviewed by a responsible officer.

Completion of USM Practice Session (please tick as appropriate below)	
☐	**We have participated in and successfully completed the Practice Session on *10-11 October / 24-25 October 2026 (back-up), which covered the downloading of reports and/or data files available and the normal business day operations.**
☐	**We encounter issues during the Practice Session on *10-11 October / 24-25 October 2026 (back-up) as follows:** _____

**** Please delete as appropriate***

Thank you for completing the Confirmation Form.

By returning this form, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in this form.

Privacy Policy Statement
Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "**Group**") (and each being "**HKEX**", "**we**", "**us**" or "**member of the Group**" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("**PDPO**"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.
If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel. Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

Purpose
From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:
1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

Direct marketing
Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Identity Card Number
We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.
Transfers of personal data for direct marketing purposes
Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.
Other transfers of your personal data
For one or more of the purposes specified above, your personal data may be:
1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

How we use cookies
If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:
Session Cookies: temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.
Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.
The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

Compliance with laws and regulations
HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

Corporate reorganisation
As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

Access and correction of personal data
Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link https://www.pcpd.org.hk/english/publications/files/Dforme.pdf

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

Termination or cancellation
Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

General
If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.
Contact us
By Post:
Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
8/F., Two Exchange Square
8 Connaught Place
Central
Hong Kong
By Email:
DataPrivacy@HKEX.COM.HK