1. **Annual Statement**

Refer to the proposed ASR Rules, the Annual Statement of uncertificated holding should include the following specified information:

|  |  |
| --- | --- |
| **Field Name** |  |
| ASR Name |  |
| ASR Address |  |
| USI Name |  |
| USI Address |  |
| USI Number |  |
| Statement Issue Date |  |
| Reporting Period to which the statement relates (Always 1 Jan – 31 Dec. If the dates are not from 1 Jan to 31 Dec, it needs indicate the specific "ON" or "OFF" dates for the period. |  |
| Issuer Name |  |
| Issuer Stock Code |  |
| Security Type |  |
| Number of uncertificated units held by the USI as at the beginning and as at the end of that period |  |

Example:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Annual Statement | | | | | | |
| ASR Name: Tricor Investor Services Limited  ASR Address: 17/F, Far East Finance Centre, 16 Harcourt Road, Hong Kong  Holder Name: Chan Tai Man  USI no.: ABCDEF0123456789  Corresponding Address: 123 CTM Road, Hong Kong  Statement period: 1 January 2023 – 31 December 2023  Statement Issue Date: 5 January 2024 | | | | | | |
|  | | | | | | |
| Stock Code | Company Name | Date of Opening | Date of Closing | Security Type | No. of Holding as at Date of Opening | No. of Holding as at Date of Closing |
| 00122 | ABB Limited | 1 January 2023 | 31 December 2023 | Ordinary Shares | 1,000 | 1,000 |
| 00123 | ABC Limited | 1 April 2023 | 31 December 2023 | Ordinary Shares | 1,000 | 1,000 |

1. **Holding Statement**

Issue of holding statement annually is the minimum requirement under the USM Rule. The system enables internal users to generate statements upon request, following the guidelines set by internal use or in response to special requests related to other corporate actions, e.g. Change of ASR. The statement should include the following specified information:

* ASR Name
* ASR Address
* USI Name
* USI address
* USI Number
* Folio Number of certificated holder
* Certificated Holder Name
* Certificated Holder Address (under ROM)
* Statement Issue Date
* Reporting Period (It needs indicate the specific "ON" or "OFF" dates for the period)
* Issuer Name
* Issuer Stock Code
* Security Type
* Number of certificated and uncertificated units held by the shareholder as at the specific date

|  |  |
| --- | --- |
| **Field Name** |  |
| ASR Name |  |
| ASR Address |  |
| USI Name |  |
| USI Address |  |
| USI Number |  |
| Folio Number of certificated holder |  |
| Certificated Holder Address (under ROM) |  |
| Statement Issue Date |  |
| Reporting Period (It needs indicate the specific "ON" or "OFF" dates for the period) |  |
| Issuer Name |  |
| Issuer Stock Code |  |
| Security Type |  |
| Number of certificated and uncertificated units held by the shareholder as at the specific date |  |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Holding Statement | | | | | | | | | |
| ASR Name: Tricor Investor Services Limited  ASR Address: 17/F, Far East Finance Centre, 16 Harcourt Road, Hong Kong  Holder Name: Chan Tai Man  Corresponding Address: 123 CTM Road, Hong Kong  Statement period: 1 January 2023 – 31 March 2023  Statement Issue Date: 5 March 2023 | | | | | | | | | |
|  | | | | | | | | | |
| Stock Code | USI Number | Folio Number | Company Name | Date of Opening | Date of Closing | Security Type | Corresponding Address (under ROM) | No. of Holding as at Date of Opening | No. of Holding as at Date of Closing |
| 00122 | ABCDEF0123  456789 | 000456 | ABB Limited | 1 January 2023 | 31 December 2023 | Ordinary Shares | 123 CTM Road, Hong Kong | 1,000 (cert + uncert holding) | 1,000 (cert + uncert holding) |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Name of Confirmation/ Notification/ Statement** | **Purpose/Content** | **Frequency** | **Format** | **Delivery method** |
| **1** | USI Profile Activation | To activate USI Profile, investor needs to set up Profile Logon ID and password | Upon submission of required information for USI Profile creation | Embedded with Text, Hyperlink and QR Code herein | By email/SMS |
| **2** | USI Profile Creation Confirmation | 1. Confirm the USI Profile has been successfully created. It includes the USI number and Login ID. 2. Welcome message including an overview of the platform's features and services, as well as the contact of customer support. | Once USI Profile has been activated (i.e. set up Logon ID and password) | Embedded with Text contents in the email/SMS | By email/SMS |
| **3** | Confirmation of Change of USI Profile Details | 1. Confirm the USI Profile Details has been updated 2. Ensure USI holder is aware of the modifications and contact us immediately if the details has not been updated by the USI holder | Once Profile Details has been updated | Embedded with Text contents in the email/SMS/notification | By email/SMS/notification |
| **4** | Confirmation of Change of Password | 1. Confirm the USI password has been changed 2. Ensure USI holder is aware of the password update and contact us immediately if the password has not been updated by the USI Holder | Once the password has been updated | 1. Embedded with Text contents in the email 2. SMS message to inform USI the change of password | 1. By email 2. SMS |
| **5** | Annual Consolidated Holding Statement | Minimum content requirement:   * + USI Number   + Shareholder Name   + Shareholder Address   + Stock Code   + Stock Name   + Balance of Stock Holding   + Statement Date | Annually (period from 1st of January to 31st December) | a pdf file as an attachment in the email  SMS/notification message to inform USI holder to access annual statement by logon his/her USI profile | 1. By email 2. SMS 3. Notification |
| **6** | Statement of securities movement | Include the opening balance, transaction date and types, changes (+/-) and the closing balance of the security involved | Where there is any security movement triggered / update of ROM (such as CAs, transfer) | 1. a pdf file as an attachment in the email 2. SMS/notification message to inform USI holder to access the statement of securities movement by logon his/her USI profile | 1. By email 2. SMS 3. notification |
| **7** | Updates/ Enhancements Notification | Notifications about updates, enhancements, or new features introduced to the USM Investor Online Portal | When there is any updates or enhancements in our portal | Embedded with Text contents in the email / SMS | By email/SMS/Notification |
| **8** | CA Instruction Accept/ Reject  (details refer to respective BRD) | * 1. Instruction is accepted or rejected (with reasons)   2. unique instruction number should be included | Upon submission of the instruction | Embedded with Text contents in the email /SMS | By email/SMS/Notification |
| **9** | CA Instruction Amendment Accept/Reject  (details refer to respective BRD) | 1. Amendment is accepted or rejected (with reasons) 2. Unique instruction number should be included | Upon submission of the instruction amendment | Embedded with Text contents in the email/SMS | By email/SMS/Notification |
| **10** | CA ROM update confirmation | Confirmation of allotment of shares due to CAs | Due to CAs | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify USI holder the ROM update | 1. By email 2. SMS 3. Notification |
| **11** | **Dematerialisation (details refer to relevant BRD)** |  |  |  |  |
| **a)** | Confirmation of submission | 1. acknowledge receipt of demat instruction 2. Include Demat unique reference number 3. Request shareholder to surrender physical certificates | When demat request is successfully submitted | Embedded with Text contents in the email | By email/SMS |
| **b)** | Acknowledge receipt of physical certificates | 1. Acknowledge receipt of physical certificates 2. Inform USI the demat instruction will be completed in 5 days if everything is in order | When we received the physical certificates | Embedded with Text contents in the email | By email/SMS |
| **c)** | Reminder of return of physical certificates | Reminder USI to surrender relevant physical certificates for processing of dematerialisation | After one week of receipt of demat instruction | Embedded with Text contents in the email/SMS/Notification | By email/SMS/Notification |
| **d)** | Completion of Dematerialisation | Inform USI the completion of dematerialisation process | Upon completion | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify USI holder the completion of dematerialisation | 1. By email 2. SMS 3. Notification |
| **e)** | Rejection of Dematerialisation | 1. Inform USI the demat request has been rejected with reasons 2. Relevant physical certificates will be returned to USI on their chosen option | When the demat request has been rejected | Embedded with Text contents in the email/SMS/Notification | By email/SMS/Notification |
| **12** | **Dematerialisation with Transfer** |  |  |  |  |
| a) | Confirmation of submission | Acknowledge receipt of the demat with transfer request | Once the instruction is input and submit by our Counter staff | Embedded with Text contents in the email/SMS | By email/SMS |
| b) | Completion of Demat with Transfer | Inform both transferor and transferee the completion of Demat with Transfer | Upon completion | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify USI holder the completion of Demat with Transfer | 1. By email 2. SMS 3. Notification |
| c) | ROM update confirmation | Confirmation of registration of transfer on ROM | When demat with transfer is registered in our system | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify USI holder the ROM update | 1. By email 2. SMS 3. Notification |
| **13** | **Transfer (details refer to relevant BRD)** |  |  |  |  |
| a) | Confirmation of submission of transfer instruction | 1. Acknowledge receipt of transfer instruction 2. Include unique transfer instruction number | When transfer instruction is successfully submitted | 1. Embedded with Text contents in the email/SMS | By email/SMS |
| b) | Request of Affirmation of Transfer, payment of transfer fee and stamp duty (if any) | 1. Inform transferee to affirm the transfer request and pay the relevant fees 2. State clearly that transfer will be lapsed after 5 days | When transfer instruction is successfully submitted | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify transferee to affirm the transfer request | 1. By email 2. SMS 3. Notification |
| c) | Due Reminder for Affirmation of Transfer, payment of transfer fee and stamp duty (if any) | 1. Remind transferee there is a transfer request pending for affirmation 2. Advise the date of lapse of transfer | The third day after the submission of transfer instruction | 1. Embedded with Text contents in the email 2. SMS message/Notification to remind transferee to affirm the transfer request | 1. By email 2. SMS 3. Notification |
| d) | Completion of Transfer | Inform both transferor and transferee the completion of Transfer | Upon completion | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify USI holder the completion of Transfer | 1. By email 2. SMS 3. Notification |
| e) | ROM update confirmation | Confirmation of registration of transfer on ROM | When transfer is registered in our system | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify USI holder the ROM update | 1. By email 2. SMS 3. Notification |
| f) | Lapse of Transfer | Notify both transferor and transferee the lapse of transfer | The sixth day after the transfer instruction is submitted | 1. Embedded with Text contents in the email 2. SMS message/Notification to notify both transferor and transferee the lapse of Transfer | 1. By email 2. SMS 3. Notification |
| g) | Rejection/Cancellation of Transfer | Inform transferor the transfer is rejected or cancelled with reasons | When the transfer instruction is rejected or cancelled | 1. Embedded with Text contents in the email 2. SMS message/Notification to inform transferor the rejection/cancellation of transfer | 1. By email 2. SMS 3. Notification |
| **13** | Acknowledge Receipt of Fees (refer to respective BRD) | Confirm receipt of fees from USI in respect of the instruction | When the payment is successful | Embedded with Text contents in the email/SMS/Notification | By email / SMS / Notification |
| **14** | Daily Transaction Report to USI | Include the daily transaction submitted by USI | Day end | Embedded with Text content and a pdf file as an attachment | By email / SMS / Notification |