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Tricor Services Limited

Member of BEA Group

NOTICE

Main Board Listing Rule 13.56 / GEM Listing Rule 17.60 – Corporate Communications to Non Registered Holders of Securities

New Arrangement on sending Corporate Communications by Issuers to Non Registered Holders of Securities held in the Central Clearing and Settlement System

Tricor listed clients in Hong Kong are advised to take note of the following and to take action where applicable.

New Arrangement on sending Corporate Communications^(Note) by Issuers to Non Registered Holders of Securities held in the Central Clearing and Settlement System ("CCASS")

Main Board Listing Rule 13.56 and GEM Listing Rule 17.60 require an issuer, as soon as practicable following a request to Hong Kong Securities Clearing Company Limited ("HKSCC") and at the expense of the issuer, to send copies of any corporate communications to any non registered holder whose listed securities are held in CCASS ("CCASS Investor") either directly as a beneficial shareholder or through a broker or custodian, and who has notified the issuer from time to time through HKSCC that he or it wishes to receive corporate communications.

The Hong Kong Stock Exchange has provided in FAQ No. 40A of its Frequently Asked Questions Series 8 (as updated on 31 December 2009) a new arrangement on sending corporate communications to CCASS Investors by issuers ("Notification Arrangement"). Under the Notification Arrangement, whenever an issuer publishes a corporate communication, it can send to all CCASS Investors (who have notified the issuer from time to time through HKSCC that they wish to receive corporate communications) a notification of the publication of such corporate communication on its website together with a request form. If a CCASS Investor wishes to receive a hard copy of the corporate communication, the CCASS Investor should complete and return the request form to the share registrar or other agent of the issuer (the postage for which will be borne by the issuer). The issuer will then send to the CCASS Investor a hard copy of the corporate communication free of charge.

If an issuer adopts the Notification Arrangement, the Hong Kong Stock Exchange will expect the issuer to have in place an arrangement to anticipate the preference of CCASS Investors that requested a hard copy in response to a previous notification. This arrangement should ensure, on a best efforts basis, that these CCASS Investors are in future sent hard copies of corporate communications without having to complete and return a request form for every corporate communication unless they have at one time ceased to have holdings in that particular issuer.

Issuers should note that if they do not adopt the Notification Arrangement, they are required to send copies of any corporate communications to their non registered holders of securities pursuant to Main Board Listing Rule 13.56 or GEM Listing Rule 17.60, as appropriate.

Note: "Corporate communication" refers to any document issued or to be issued by issuers for the information or action of holders of any of the issuers' securities as defined in Rule 1.01 of the Main Board Listing Rules and the GEM Listing Rules.

Please contact a Tricor executive or email info@hk.tricorglobal.com for assistance and enquiries.

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