

Instruction Form for Securities Services 證券服務指示申請表

- Your request will normally be processed within 3 business days (excluding Saturday, Sunday and public holiday) upon receipt of your form 在一般情況下，閣下之指示將在本行收到申請表後三個營業日內（不包括星期六、日及公眾假期）處理
- Please "✓" where appropriate and "delete whichever inapplicable" 請在適當的方格加上“✓”及 *刪去不適用者

Date 日期: _____

Customer Details 客戶資料									
Name of Customer 客戶名字		Identity Document No. 身份證明文件							
Contact Tel No. 聯絡電話號碼									
Customer CIF No. 客戶號碼		Securities Account No. 證券戶口號碼							
<div style="border: 1px solid black; padding: 2px;"> <div style="display: flex; justify-content: space-between;"> 0 7 - </div> </div>		<div style="border: 1px solid black; padding: 2px;"> <div style="display: flex; justify-content: space-between;"> 0 7 - </div> </div>							
Type of Instruction 指示類別									
Daily Trading Limit¹ 按日買賣限額¹ <input type="checkbox"/> I/We would like to change the Daily Trading Limit to the amount indicated by a ✓ below: 本人／吾等欲更改按日買賣限額至下面方格加上“✓”號之銀碼： <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td><input type="checkbox"/> HK\$3,000,000</td> <td><input type="checkbox"/> HK\$8,000,000</td> <td><input type="checkbox"/> HK\$15,000,000</td> <td><input type="checkbox"/> HK\$30,000,000</td> <td><input type="checkbox"/> HK\$50,000,000</td> <td><input type="checkbox"/> Unlimited Amount 無限額</td> </tr> </table>				<input type="checkbox"/> HK\$3,000,000	<input type="checkbox"/> HK\$8,000,000	<input type="checkbox"/> HK\$15,000,000	<input type="checkbox"/> HK\$30,000,000	<input type="checkbox"/> HK\$50,000,000	<input type="checkbox"/> Unlimited Amount 無限額
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Registered Information² 登記資料² <input type="checkbox"/> I/We would like to make the following change(s) to the Registered Information: 本人／吾等欲對登記資料作出下列修改： <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <th style="width: 20%;">Language 語言</th> <th style="width: 40%;">Mobile Phone No. 手提電話號碼</th> <th style="width: 40%;">Email Address 電郵地址 (Please write in print neatly 請用印刷體書寫)</th> </tr> <tr> <td> <input type="checkbox"/> English 英文 <input type="checkbox"/> Chinese 中文 </td> <td> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Add 新增 <input type="checkbox"/> change 更改 </div> <div style="border-bottom: 1px solid black; width: 100%;"></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Country Code 國家編碼 Area Code 地區編碼 Number 號碼 </div> </td> <td> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Add 新增 <input type="checkbox"/> change 更改 </div> <div style="border-bottom: 1px solid black; width: 100%;"></div> </div> </td> </tr> </table>				Language 語言	Mobile Phone No. 手提電話號碼	Email Address 電郵地址 (Please write in print neatly 請用印刷體書寫)	<input type="checkbox"/> English 英文 <input type="checkbox"/> Chinese 中文	<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Add 新增 <input type="checkbox"/> change 更改 </div> <div style="border-bottom: 1px solid black; width: 100%;"></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Country Code 國家編碼 Area Code 地區編碼 Number 號碼 </div>	<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Add 新增 <input type="checkbox"/> change 更改 </div> <div style="border-bottom: 1px solid black; width: 100%;"></div> </div>
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Electronic Securities Trading Service³ 電子證券交易服務³ <input type="checkbox"/> I/We would like to apply for Electronic Securities Trading Service. I/We understand that the Bank may send notification to me/us for security purpose via my/our mobile phone number and email address. I/We acknowledge that if I/we fail to provide such information to the Bank, I/we will not be able to use the Electronic Trading Securities Service. I/We also acknowledge that if the information provided to you is/are inaccurate, I/we will not be able to receive security notification and I/we will bear any risk or loss which may arise. 本人／吾等欲申請電子證券交易服務。本人／吾等了解貴銀行可能透過本人／吾等的手提電話號碼和電郵地址向本人／吾等發送保安通知。本人／吾等亦確認，倘本人／吾等未能向貴銀行提供該等資料，本人／吾等將不能使用電子交易證券服務。本人／吾等亦確認，倘提供給貴銀行的該等資料不準確，本人／吾等將無法收到保安通知，而本人／吾等將承擔任何可能產生的風險或損失。 <input type="checkbox"/> I/We hereby request for re-issuance of Login Password for Electronic Securities Trading Service. I/We acknowledge that Electronic Securities Trading Service, if previously terminated, will be re-activated upon Login Password re-issuance. 本人／吾等欲補發電子證券交易服務登入密碼。本人／吾等明白，電子證券交易服務如已被停止，登入密碼補發後，將恢復運作。 <input type="checkbox"/> I/We hereby request for reset of Login ID for Electronic Securities Trading Service. Please delete my/our existing Login ID to cater for my/our creation of a new Login ID using my/our Securities Account No. and last Login Password. 本人／吾等欲重新設定電子證券交易服務之登入編號。請刪除本人／吾等現行之登入編號以便本人／吾等可用證券戶口號碼及最後之登入密碼重新設定登入編號。 <input type="checkbox"/> I/We hereby request for [activation/de-activation]* of my/our Mobile Securities Trading Service which Registration Number(s) is/are as follows: 本人／吾等欲 [啟動／取消]* 本人／吾等之流動證券交易服務，登記編號如下： 1) _____ 2) _____ 3) _____ 4) _____									
Suspension/Termination Request 暫停／終止指示 <input type="checkbox"/> I/We refer to the above Securities Account and hereby request for the following: 本人／吾等欲就上述證券戶口作出以下指示： <div style="margin-top: 5px;"> <input type="checkbox"/> Temporary suspension of all trading channels⁴ 暫停所有買賣途徑⁴ (Period 期限: from 由 _____ to 至 _____) <input type="checkbox"/> Termination of Electronic Securities Trading Service⁴ 終止電子證券交易服務⁴ <input type="checkbox"/> Termination of Securities Account⁵ 終止證券戶口⁵ </div>									
Signature(s) 簽署		For Office Use Only 銀行專用							
<div style="border: 1px solid black; border-radius: 50%; width: 60px; height: 60px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">S.V.</div> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 10px;"></div> Authorized Signature(s) 授權簽署		Handling Branch/Dept (Please sign with name, HKMA# and date) Shares Operations Dept ("SOD") (Please sign with name and date)							
		<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Handled By <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div> </div> <div style="width: 45%;"> Approved By <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div> </div> </div>							
		<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Input By <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div> </div> <div style="width: 45%;"> Checked By <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div> </div> </div>							
		Date Rec'd <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div>							
		Please staple PIN Acknowledgement here							

Notes for Bank Staff

- ¹ The selected preset amount will be the Daily Trading Limit. The daily turnover (being the aggregate of order consideration and charges for all buy & sell orders placed via all trading channels that have been accepted by the Bank for sending or waiting to be sent to the Stock Exchange of Hong Kong on the same day) of the Securities Account will be bound by the Daily Trading Limit.
- ² Upon new application of Electronic Securities Trading Service, customer must be requested to furnish the Registered Information.
- ³ Security protections are compulsory for Electronic Securities Trading Service with no opt-out allowed. Security notifications will be delivered to customer's mobile phone number, email address and in English by default or the language selected by customer (if applicable). Such information obtained via Account Mandate (for new account opening) and/or the Instruction Form for Securities Services (for subsequent application of ESTS and/or subsequent changes) will be classified as Registered Information and will be maintained in the trading system by SOD for use on such purpose. Customer should note that Short Message Service via mobile phone ("SMS") will not be forwarded even if "SMS Forwarding" service has been subscribed by customer with its telecommunication service provider (applicable to mobile phone numbers issued by telecommunication service providers in Hong Kong which starts with specified digits). The Bank cannot provide Electronic Securities Trading Service to customer who does not provide a mobile phone number and an email address. Please provide Terms & Conditions for Securities Services and Security Tips for Securities Services to customer. After successful application of Electronic Securities Trading Service, customer is required to activate the Internet Channel and register the mobile device for the Mobile Channel in order to conduct transactions via these two channels.
- ⁴ These instructions may require urgent attention, handling staff should call Shares Trading Centre to effect the suspension/termination immediately (if necessary).
- ⁵ Handling staff should check with SOD if there is stockholding remaining in the securities account and request customer to give disposal instruction using the Bank's specified forms (if applicable).