

Date: _____

Hong Kong Securities Clearing Company Limited
1/F One & Two Exchange Square
8 Connaught Place
Central
~~2/F Infinitus Plaza~~
~~199 Des Voeux Road Central~~
Hong Kong

Stock Pledge Declaration Form

We declare that we entered into a stock pledgee transaction with CCASS Participant [ID/Name] _____ on [date] _____. The said CCASS Participant has failed to meet its obligation under the said transaction. We enclose herewith a Withdrawal Order Input Request Form duly completed and signed by us and request the physical withdrawal of the securities from our Stock Account. The withdrawal details are as follows: -

Participant ID : _____

Name (in Block Letter) : _____

CCASS Stock Account number : _____

Stock code : _____

Stock Name : _____

Number of Shares : _____

Reasons : With reference to SI Input No. _____

Authorized Signature of CCASS Participant
(With Company Chop)

c.c. Default Stock Pledgor

Note to Participant : A completed and signed Withdrawal Order Input Request Form should be submitted together with this form to CCASS Depository.

Beneficiary Details and Registration Authorization Form
Beneficiary Details and Authorization

To: Hong Kong Securities Clearing Company Limited (“HKSCC”)
~~1/F One & Two Exchange Square, 8 Connaught Place, Central, 2/F, Infinitus Plaza, 199 Des Voeux Road Central,~~
 Hong Kong

Re: Registration of _____ units (____ / _____, currency / nominal amount)
 in _____ (Name of Bond)

We refer to our withdrawal request (Login Withdrawal Order No. V _____) inputted into CCASS on _____ (date) for _____ units (____ / _____, currency / nominal amount) in the above-named security and, hereby request HKSCC to arrange for the registration of the said security into the name of _____ (the beneficiary) in accordance with the attached Registration and Payment Instructions. We shall collect the bond certificate(s) on behalf of the registered bondholder at the CCASS Depository when they are available.

 Company Chop and Authorized Signature(s) of CCASS Participant

REGISTRATION AUTHORIZATION

To: _____ (Name of Issuer/Transfer Agent)

Re: Registration of _____ units (____ / _____, currency / nominal amount)
 in _____ (Name of Bond)

We enclose herewith _____ / _____ (currency / nominal amount) of the above-named security and hereby request you to arrange for the registration of _____ / _____ (currency / nominal amount) of the said security in accordance with the Registration and Payment Instructions as set out below, please let us have the balance in one Global Certificate amounting to _____ / _____ (currency / nominal amount).

HKSCC Nominees Limited

 Authorized Signature (s)

Registration and Payment Instructions

I/We hereby confirm that I/we have authorized HKSCC to request the Issuer/Transfer Agent of _____ (Name of Bond) to register a total of _____ / _____ (currency / nominal amount) in my/our name(s) in accordance with my/our instructions as set out below:

Denomination required: _____ x _____ / _____ (currency / nominal amount)

Name of bondholder: _____

Address of bondholder: _____

Tel: _____

Please pay the redemption proceeds and/or interest payment to my/our Bank Account as follows:

Bank: _____ Bank A/C No.: _____

 Authorized Signature(s) of bondholder(s)

 Specimen Signature(s) of bondholder(s)

STOCK SEGREGATED ACCOUNT MAINTENANCE FORM – WITHOUT STATEMENT

To: ~~Customer Service Centre~~, Participant Administration & Services
 Hong Kong Securities Clearing Company Limited (“HKSCC”)
 27/F, Infinitus Plaza, 199 Des Voeux Road Central, Hong Kong
 Fax: (852) 2590-7000 CCASS Hotline: (852) 2979-7111

From: _____ CCASS
 (Full Name of Participant) Participant ID _____

<p>I. <u>MAINTENANCE REQUEST</u></p> <p>[] A – Add [] C – Change [] D – Delete</p>																													
<p>II. <u>PARTICULARS</u></p> <p>Effective Date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [DD / MM / YY]</p> <p>a) For Add, Change (New) or Delete account, please specify:</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; border-bottom: 1px solid black;"><u>STOCK A/C NO.</u></th> <th style="text-align: left; border-bottom: 1px solid black;"><u>SHORTNAME</u></th> </tr> </thead> <tbody> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> </tbody> </table> <p>b) For Change of account, please specify old account details below:</p> <table style="width: 100%; border-collapse: collapse;"> <tbody> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> <tr><td><input type="text"/></td><td><input type="text"/></td></tr> </tbody> </table> <p>_____ Authorized Signature(s) of CCASS Participant (with Company Chop)</p>				<u>STOCK A/C NO.</u>	<u>SHORTNAME</u>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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FOR OFFICE USE ONLY																													
Signature verified and diary updated by:	Inputted by:	Checked by:	Report checked by:																										
Date:	Date:	Date:	Date:																										

Note : Each participant is allowed to open up to 14 Stock Segregated Accounts without statement services. Some possible names for Stock A/C No. 03 to No. 16 may include "Dealing A/C", "Investment A/C", "Client A/C"

Creation of Units - Credit Authorization Form (Cash Application)

To : Hong Kong Securities Clearing Company Limited (“HKSCC”) Date : _____
1/F One & Two Exchange Square
8 Connaught Place
Central
~~2/F Infinitus Plaza~~
~~199 Des Voeux Road Central~~
 Hong Kong Creation Order No.: _____
 Attn : Depository Services (Fax No. : 2543-7910)

Dear Sirs,

With reference to our Unit Creation Order (by Cash Application) in respect of _____ units in the _____ dated _____ and the subsequent acceptance of that Order, we hereby authorize HKSCC to credit the above units to our CCASS stock account number _____ on _____.

We understand and acknowledge that our request and instructions will only be effected or accepted by HKSCC subject to the General Rules of CCASS and the CCASS Operational Procedures as are in force from time to time.

Participant ID : _____

Participant Name : _____
 (in block letter)

Contact Person / Telephone Number : _____

Authorized Signature of CCASS Participant
(with Company Chop)

Fax Number : _____

<i>For Office Use Only</i>				
Signature Verified	Instruction Approved	Units Credited	Report Checked	Advice Issued

Creation of Units - Debit and Credit Authorization Form

To : Hong Kong Securities Clearing Company Limited (“HKSCC”) Date : _____
1/F One & Two Exchange Square
8 Connaught Place
Central
2/F Infinitus Plaza
199 Des Voeux Road Central
 Hong Kong Creation Order No.: _____
 Attn : Depository Services (Fax No. : 2543-7910)

Dear Sirs,

With reference to our Unit Creation Order in respect of _____ units in the _____ dated _____ and the subsequent acceptance of that Order, we hereby authorize HKSCC to debit these units from our CCASS stock account number _____ on _____ and deliver them to the registrar of the Fund. Upon receipt of the above units, HKSCC is authorized to credit them to our CCASS stock account number _____.

Stock Code	Stock Short Name	Share Quantity	Stock Code	Stock Short Name	Share Quantity

We understand and acknowledge that our request and instructions will only be effected or accepted by HKSCC subject to the General Rules of CCASS and the CCASS Operational Procedures as are in force from time to time.

Participant ID : _____
 Participant Name (in block letter) : _____
 Contact Person / Telephone Number : _____
 Fax Number : _____

Authorized Signature of CCASS Participant (with Company Chop)

For Office Use Only					
Signature Verified	Instruction Approved	Units Debited	Share Credited	Report Checked	Advice Issued

Redemption of Units - Debit and Credit Authorization Form

To : Hong Kong Securities Clearing Company Limited (“HKSCC”)

Date : _____

1/F One & Two Exchange Square
8 Connaught Place
Central
2/F Infinitus Plaza
~~199 Des Voeux Road Central~~

Hong Kong
 Attn : Depository Services (Fax No. : 2543-7910)

Redemption Order No.: _____

Dear Sirs,

With reference to our Unit Redemption Order in respect of _____ units in the _____ dated _____ and the subsequent acceptance of that Order, we hereby authorize HKSCC to debit these units from our CCASS stock account number _____ on _____ and deliver them to the registrar of the Fund. Upon receipt of Eligible Securities in respect of the said redemption, HKSCC is authorized to credit them to our CCASS stock account number _____.

Stock Code	Stock Short Name	Share Quantity	Stock Code	Stock Short Name	Share Quantity

We understand and acknowledge that our request and instructions will only be effected or accepted by HKSCC subject to the General Rules of CCASS and the CCASS Operational Procedures as are in force from time to time

Participant ID : _____

Participant Name (in block letter) : _____

Contact Person / Telephone Number : _____

Authorized Signature of CCASS Participant
(with Company Chop)

Fax Number : _____

For Office Use Only					
Signature Verified	Instruction Approved	Units Debited	Share Credited	Report Checked	Advice Issued

