

**FINI Bank's Nominee Bank Account Maintenance Form**

To: Client Portal Support Team  
Client Services  
Hong Kong Securities Clearing Company Limited  
6/F, Two Exchange Square,  
8 Connaught Place, Central,  
Hong Kong  
Email: [cs\\_cps\\_cc@hkex.com.hk](mailto:cs_cps_cc@hkex.com.hk)

From: \_\_\_\_\_  
(Name of FINI Bank)  
Bank Code: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Tel No.: \_\_\_\_\_  
Contact Person Email: \_\_\_\_\_

**Notes:**

- 1) This form should be used for addition, change and/or deletion of FINI Bank's Nominee Bank Account(s).
- 2) Please be reminded that you are required to, and can only provide, ONE Nominee Bank Account per applicable currency(ies) of HK\$, RMB and/or US\$.
- 3) Read carefully the Terms and Conditions of FINI on our FINI website (<https://www.hkex.com.hk/fini>) before completion.
- 4) The form may be typewritten or legibly handwritten. Upon completion, please sign and date the form.
- 5) Please attach supporting documentation (where applicable).
- 6) Please submit the completed form by email to [cs\\_cps\\_cc@hkex.com.hk](mailto:cs_cps_cc@hkex.com.hk) and return the original copy by post to Client Portal Support Team within one month.
- 7) Your request will normally be processed in about three weeks upon receipt of your completed form. HKSCC will confirm to you in writing the effective date of your addition, change and/or deletion of FINI Bank's Nominee Bank Account.
- 8) For enquiry, please contact HKSCC at [cs\\_cps\\_cc@hkex.com.hk](mailto:cs_cps_cc@hkex.com.hk).

**Continue to the next page**

## **Part 1 – Details of Request**

(Please tick “✓” in appropriate box(es))

**Request Type:**                     Add                     Change                     Delete

### **A. Add Request(s):**

- **Please provide the details specified below.**
- **Please select applicable bank account currency type. Note that you can only select ONE currency per table. See also note 2 on the front page.**

<b>Add Request for FINI Bank’s Nominee Bank Account #1</b>			
Currency Type: (Please tick “✓” in appropriate box)	<input type="checkbox"/> <b>HK\$</b>	<input type="checkbox"/> <b>RMB</b>	<input type="checkbox"/> <b>US\$</b>
Bank Name		Branch Name (optional)	
Account Number	Bank Code	Branch Code	Account No.
Effective Date (YYYY/MM/DD)		SWIFT BIC Code	
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			

<b>Add Request for FINI Bank’s Nominee Bank Account #2</b>			
Currency Type: (Please tick “✓” in appropriate box)	<input type="checkbox"/> <b>HK\$</b>	<input type="checkbox"/> <b>RMB</b>	<input type="checkbox"/> <b>US\$</b>
Bank Name		Branch Name (optional)	
Account Number	Bank Code	Branch Code	Account No.
Effective Date (YYYY/MM/DD)		SWIFT BIC Code	
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			

Add Request for FINI Bank's Nominee Bank Account #3			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> HK\$	<input type="checkbox"/> RMB	<input type="checkbox"/> US\$
Bank Name		Branch Name (optional)	
Account Number	Bank Code	Branch Code	Account No.
Effective Date (YYYY/MM/DD)		SWIFT BIC Code	
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			

**B. Change Request(s):**

- Please provide the details specified below.
- Please select applicable bank account currency type. Note that you can only select ONE currency per each table. See also note 2 on the front page.

Change Request for FINI Bank's Nominee Bank Account #1			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> HK\$	<input type="checkbox"/> RMB	<input type="checkbox"/> US\$
<b>Current</b> Account Number	Bank Code	Branch Code	Account No.
Bank Name			
Branch Name (optional)			
<b>New</b> Account Number	Bank Code	Branch Code	Account No.
SWIFT BIC Code			
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			
Effective Date (YYYY/MM/DD)			

### Change Request for FINI Bank's Nominee Bank Account #2

Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> <b>HK\$</b> <input type="checkbox"/> <b>RMB</b> <input type="checkbox"/> <b>US\$</b>		
<b>Current</b> Account Number	Bank Code	Branch Code	Account No.
Bank Name			
Branch Name (optional)			
<b>New</b> Account Number	Bank Code	Branch Code	Account No.
SWIFT BIC Code			
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			
Effective Date (YYYY/MM/DD)			

### Change Request for FINI Bank's Nominee Bank Account #3

Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> <b>HK\$</b> <input type="checkbox"/> <b>RMB</b> <input type="checkbox"/> <b>US\$</b>		
<b>Current</b> Account Number	Bank Code	Branch Code	Account No.
Bank Name			
Branch Name (optional)			
<b>New</b> Account Number	Bank Code	Branch Code	Account No.
SWIFT BIC Code			
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			
Effective Date (YYYY/MM/DD)			

**C. Delete Request(s)\*:**

- Please provide the details specified below.
- Please select applicable bank account currency type. Note that you can only select ONE currency per each table. See also note 2 on the front page.

Deletion Request for FINI Bank's Nominee Bank Account #1			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> HK\$	<input type="checkbox"/> RMB	<input type="checkbox"/> US\$
Bank Account Name			
Account Number	Bank No.	Branch No.	Account No.

Deletion Request for FINI Bank's Nominee Bank Account #2			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> HK\$	<input type="checkbox"/> RMB	<input type="checkbox"/> US\$
Bank Account Name			
Account Number	Bank No.	Branch No.	Account No.

Deletion Request for FINI Bank's Nominee Bank Account #3			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> HK\$	<input type="checkbox"/> RMB	<input type="checkbox"/> US\$
Bank Account Name			
Account Number	Bank No.	Branch No.	Account No.

**\*Remarks:**

1. To delete a Nominee Bank Account, please ensure that the Nominee Bank Account will no longer facilitate any HKSCC Participant's compliance with the applicable FINI pre-funding requirement and money settlement obligations.
2. Please do not use this form for any termination of Nominee Bank Account services or direct debit authorisations with respect to any HKSCC Participant. Please refer to section 2.3 of Part B: User Supplement (B4: Bank User Supplement) of the Terms and Conditions of FINI for relevant details.

**D. Prescribed Documents Submitted with this Form**

1. Completed and signed "Debit Authorisation for Fast Interface for New Issuance (FINI) CHATS Payment Instruction and Authorisation to Disclose Information Form".
2. Supporting document(s) of each Nominee Bank Account which may be screenshot of bank statements / account details displaying bank account information and all supported currencies (HK\$, RMB and/or US\$).

**Signed by FINI Bank:**

\_\_\_\_\_  
Authorised signature\*\*

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of authorised signatory of FINI Bank:

---

Authorised signature\*\*

Date

Name of authorised signatory of FINI Bank:

---

\*\* A company chop is required ONLY if the company is required to affix a company chop to execute a document under the laws of the jurisdiction of its incorporation, its articles of association or its company policy.

<b>For Office Use Only</b>				
Date Received:		Data Updated by:		Agreed Effective Date:
Signature Verified & Diary Updated by:	Reviewed by:	Maker:	Checker:	Form Scanned by: Form Verified by:
	Date:	Date:	Date:	Date:

**Debit Authorisation for Fast Interface for New Issuance (FINI) CHATS Payment Instruction and Authorisation to Disclose Information Form**

---

(Please complete and return this authorisation form to Client Portal Support Team for processing.)

1. We, the Accountholder, hereby authorise our below-named Bank (the “Bank”) to accept and effect transfers in accordance with FINI Clearing House Automated Transfer System (CHATS) Payment Instructions (“FINI CPIs” and “FINI CPI” shall be construed accordingly), being debit instructions to effect from our below-mentioned HK\$/RMB/US\$ account (the “Account”) from time to time transmitted electronically to the Bank by Hong Kong Securities Clearing Company Limited (“HKSCC”) via “FINI” (the online platform operated by HKSCC that is mandatory for admission to trading, and where applicable, the collection and processing of specified information on subscription in and settlement for all new issues), and in the case of mechanical breakdown, computer or system failures, or failures of communication media or any other force majeure reason, such other means as may be agreed between HKSCC and the Bank.
2. We hereby confirm that we have authorised HKSCC to generate FINI CPIs on our behalf for the purpose of settlement of money obligations in respect of EIPO applications by our HKSCC Participant clients to transfer funds from the Account to such beneficiaries as shall be specified in the FINI CPIs.
3. We agree that the Bank shall not be obliged to ascertain whether or not notice of any such FINI CPI has been given to us.
4. We accept full responsibility for any overdraft (or increase in existing overdraft) on the Account which may arise as a result of any transfer made pursuant to this authorisation.
5. We agree that should there be insufficient funds in the Account to meet any such transfer made pursuant to this authorisation, the Bank shall be entitled, at its discretion, not to effect such transfer in which event the Bank may make the usual charge, and that it may cancel this authorisation at any time upon giving three working days’ written notice to HKSCC and us.
6. We agree that the Bank shall not in any event be liable to us for failure to accept and effect transfers from the Account in accordance with FINI CPIs generated by HKSCC unless the Bank fails to act in good faith or there is wilful misconduct or fraud on the part of the Bank.
7. We hereby authorise the Bank to disclose to HKSCC any information obtained by the Bank relating to each such FINI CPI for which payment has not been or cannot be effected relating to the Account and any matters relating thereto in such format and through such means as shall from time to time be prescribed by HKSCC.
8. We agree that the Bank shall not in any event be liable to us for a failure to disclose any information to HKSCC requested from time to time by HKSCC unless the Bank fails to act in good faith or there is wilful misconduct or fraud on the part of the Bank.
9. We acknowledge that once instructions are sent to the Bank by HKSCC, we shall have no right to stop payment relating to those instructions.
10. We agree that any notice of cancellation or variation of these authorisations which we may give to the Bank and HKSCC shall be given at least seven working days prior to the date on which such cancellation/variation is to take effect.
11. This form is governed by the laws of the Hong Kong Special Administrative Region of the People’s Republic of China.

<b>Bank Account Details #1</b>			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> <b>HK\$</b>	<input type="checkbox"/> <b>RMB</b>	<input type="checkbox"/> <b>US\$</b>
Bank Name		Branch Name (optional)	
Account Number	Bank Code	Branch Code	Account No.
Effective Date (YYYY/MM/DD)		SWIFT BIC Code	
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			

<b>Bank Account Details #2</b>			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> <b>HK\$</b>	<input type="checkbox"/> <b>RMB</b>	<input type="checkbox"/> <b>US\$</b>
Bank Name		Branch Name (optional)	
Account Number	Bank Code	Branch Code	Account No.
Effective Date (YYYY/MM/DD)		SWIFT BIC Code	
Bank Account Name (must be acceptable SWIFT character)			
Bank Account Address (must be acceptable SWIFT character)			
Debtor's Reference (if applicable)			

<b>Bank Account Details #3</b>			
Currency Type: (Please tick "✓" in appropriate box)	<input type="checkbox"/> <b>HK\$</b>	<input type="checkbox"/> <b>RMB</b>	<input type="checkbox"/> <b>US\$</b>
Bank Name		Branch Name (optional)	
Account Number	Bank Code	Branch Code	Account No.
Effective Date (YYYY/MM/DD)		SWIFT BIC Code	
Bank Account Name (must be acceptable SWIFT character)			



Bank Account Address (must be acceptable SWIFT character)	
Debtor's Reference (if applicable)	

We, the Accountholder \_\_\_\_\_, hereby signify our authorisation and agreement to the above (see Note 1 below).

Note 1: If the authorised signatory(ies) of the Accountholder have been assigned with different signing amount limits, this form must be signed by the authorised signatory(ies) assigned with the maximum amount limit.

\_\_\_\_\_  
 Authorised signature\*\*

\_\_\_\_\_  
 Date

Name of authorised signatory of the Accountholder:  
 \_\_\_\_\_

\_\_\_\_\_  
 Authorised signature\*\*

\_\_\_\_\_  
 Date

Name of authorised signatory of the Accountholder:  
 \_\_\_\_\_

**Countersign by the Bank**

At the request of our customer, we, the undersigned bank, hereby confirm that:

1. the HK\$ /RMB/US\$ account details and signature(s) of our customer as shown above are in accordance with our records; and
2. we shall arrange and give effect to transfers from the above customer's Account for settlement of EIPO application monies purpose from time to time in respect of FINI CPIs presented to us by HKSCC; and
3. all necessary system set-ups have been arranged to effect the FINI CPIs mentioned above.

\_\_\_\_\_  
 Authorised signature\*\*

\_\_\_\_\_  
 Date

Name of authorised signatory of the Bank:  
 \_\_\_\_\_

\*\* A company chop is required ONLY if the company is required to affix a company chop to execute a document under the laws of the jurisdiction of its incorporation, its articles of association or its company policy.