

To: Customer Service Centre
Hong Kong Securities Clearing Company Limited (“HKSCC”)
1/F, One Exchange Square,
8 Connaught Place, Central, Hong Kong
Email Address: HKSCC_SA@HKEX.COM.HK

Date : _____

I. **Investor Participant’s Details**

Participant ID: _____ Participant Name: _____

Contact Person: _____ Tel No.: _____

II. **HKSCC Participant’s Details** (see Note 1)

Counterparty ID: _____ Counterparty Name: _____

III. **Concession IPO Application** (see Note 2)

Stock Code: _____ Stock Name: _____

Application Quantity: _____ Allotted Quantity: _____

- (i) Total Number of ISI Stock Settlement Instructions _____ (see Notes 3 and 4)
(ii) Total ISI Stock Settlement Fee Concession Amount HK\$ _____ (see Notes 3 and 4)

Note:

- (1) Please fill in details of the HKSCC Participant who input the EIPO subscriptions on behalf of the Investor Participant via FINI and/or the counterparty of the delivering ISI.
- (2) Please attach the relevant IPO application and allotment result evidence showing the IPO shares subscribed and acquired by the Investor Participant via HKSCC Participant or Share Registrar (as the case may be) indicating clearly the applicant’s name, which should be the same as the IP account holder’s name.
- (3) Please complete the table in Appendix I setting out the ISI details in relation to all ISI stock settlement fee concession claims covered in this form.
- (4) Please attach the relevant Investor Participant Activity Statement(s) (CIPDS01- Appendix II) & Investor Participant Monthly Statement(s) (CIPMS01) including all ISI stock settlement fee concession claims covered in this form.

I/We hereby confirm that that all information provided in this form (including appendices) and all supporting documents are true and accurate. I/We acknowledge that the ISI stock settlement fee concession claims covered in this form are subject to HKSCC’s approval.

Authorized Signature(s)
(with company chop, ONLY applicable if it forms part of your signing instruction)

Full Name of Signatory(ies): _____

Full list of ISI for Stock Settlement Fee Concession Claim

Sample

	Stock Code	Settlement Date	Eligible ISI from CP to IP for ISI stock settlement fee concession claim			
			ISI Settlement Ref No.	Counterparty Part. ID	Settlement Quantity	ISI Fee Charged(\$)
1	99990	05-Sep-2023	P02316665	B01234	2,384,759	14.07
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						

Investor Participant Activity Statement (CIPDS01)

HKSCC - CCASS INVESTOR PARTICIPANT ACTIVITY STATEMENT
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ACCOUNT NO. : 162228
STATEMENT DATE : 05SEP23
PAGE NO. : 2

-----ISI & NOMINEES ACTIVITIES-----

ISI

Sample

REF NO	PARTICULARS USER/CHANNEL/INPUT DATE&TIME	STOCK / CCY	QUANTITY MONEY OBLIGATION
1692654 P02316575	SETTLED ISI COUNTERPARTY : BROKER A SETTLEMENT DATE : 05SEP23 SYS 05SEP23 12:00	3333 EVERGRANDE HKD SETTLEMENT FEE : PAYMENT INSTRUCTION : DVP	2,384,759 CR \$681,277.75- \$14.07
1762914 P02316665	SETTLED ISI COUNTERPARTY : BROKER B SETTLEMENT DATE : 05SEP23 SYS 05SEP23 14:55	99990 IPO STOCK NAME HKD SETTLEMENT FEE : PAYMENT INSTRUCTION : FOP	2,384,759 CR \$0.00 \$14.07
1437450 P02316577	SETTLED ISI COUNTERPARTY : BROKER C SETTLEMENT DATE : 05SEP23 SYS 05SEP23 11:19	3908 CICC HKD SETTLEMENT FEE : PAYMENT INSTRUCTION : DVP	4,400 CR \$69,156.85- \$2.00

*** END OF STATEMENT ***

PLEASE NOTE THAT ALL DOLLAR FIGURES IN THIS STATEMENT ARE EXPRESSED IN HONG KONG DOLLARS UNLESS OTHERWISE STATED.

PLEASE REFER TO OUR 'OPERATING GUIDE FOR INVESTOR PARTICIPANTS' AT THIS LINK [HTTP://WWW.HKEX.COM.HK/ENG/PROD/CLR/SEC CLRSETT/IPACCTSVC/IP GUIDE.HTM](http://www.hkex.com.hk/eng/prod/CLR/SEC CLRSETT/IPACCTSVC/IP GUIDE.HTM) FOR THE OPERATING PROCEDURES OR CALL OUR CCASS PHONE OPERATIONS HOTLINE ON 2979 7888 TO ENQUIRE DETAILS.