

To : Clearing Operations - Cash & Derivatives Settlement
 Hong Kong Securities Clearing Co Ltd (“HKSCC”)
 30/F, One Exchange Square,
 8 Connaught Place, Central,
 Hong Kong
 (Enquiry Tel. No. 2979-7111 [SI Fee] / 2211-6282 [Stock Withdrawal Fee])

Date :

Application for Concessions on SI Fee and Stock Withdrawal Fee

I. Participant’s Particulars

Participant Name: _____ Participant ID: _____
 Contact Person: (1) _____ Tel No.: _____
 Contact Person: (2) _____ Tel No.: _____

II. Application

* Total SI fee on relevant portfolio transfers (a): \$ _____
 (i) 50% discount on Total SI fee paid; or (b): \$ _____
 (ii) the following maximum fee
 \$2,500 (applicable to no change of beneficial ownership; or
 \$5,000 (applicable to change of beneficial ownership)
 WHICHEVER IS LOWER
 Amount of refund applied for (a) – (b) = (c): \$ _____
 * Total stock withdrawal fee paid on relevant withdrawals (d): \$ _____
 Amount of refund applied for (e): \$ _____
 = (d) – (\$1 x No. of Board Lot)
 Total Amount of refund applied for (c) + (e) = (f): \$ _____

Note:
 * *Effected between Last Trade Acceptance Date + 1 and Last CCASS Access Date – 1*
For concession on SI fee, relevant SI Activity Report and Settlement Report should be attached. For concession on stock withdrawal fee, relevant Withdrawal Form and Entitlement Statement should be attached.

III. Remarks by terminated participant

- Please issue refund cheque made payable to the applicant.
- Please issue refund cheque payable to the specified recipient. A duly signed payment authorization with supporting document is attached.
- Please refund by update money ledger

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

Full Name of signatory(ies): _____

Position(s): _____

For Office Use		
Action	Reviewer	Remarks
Checked		
Approved		