

**Application for Withdrawal Fee Concession
(Scenario 2: Withdrawal for the purpose of enabling clients to exercise their rights as
shareholders) – Sample Application Letters**

{ Application Letter to be submitted BEFORE inputting of Withdrawal Order }

[Participant's Company Letter Head]

Date:

Hong Kong Securities Clearing Co Ltd
1/F One & Two Exchange Square
8 Connaught Place
Central
Hong Kong
Attn: Depository Services

Dear Sir/Madam,

Re: Application for concessionary withdrawal fee for physical withdrawal of
[number of shares] shares of [full name of stock] (Stock Code: _____)

As instructed by our client *[name of underlying client]*, we are going to withdraw *[number of shares]* shares of *[full name of stock]* (stock code: _____) from our stock account *[account number]* on *[date of withdrawal]*.

We shall be grateful if you will consider granting a concessionary withdrawal fee for the above stock withdrawal. Please inform us the concession amount so that we can inform our client accordingly.

We confirm that the shares so withdrawn are solely for the purpose of enabling *[name of underlying client]* to exercise his/her/their rights as a shareholder of *[full name of stock]*, where the exercise of such rights is not supported by HKSCC Nominees Limited as the nominee shareholder.

Should you require further information, please do not hesitate to contact our *[name of contact person]* at *[telephone number]*.

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

**Application for Withdrawal Fee Concession
(Scenario 2: Withdrawal for the purpose of enabling clients to exercise their rights as
shareholders) – Sample Application Letters**

{ Letter of Indemnity to be submitted AFTER inputting of Withdrawal Order }

[Participant's Company Letter Head]

Date:

Hong Kong Securities Clearing Co Ltd ("HKSCC")
1/F One & Two Exchange Square
8 Connaught Place
Central
Hong Kong
Attn: Depository Services

Dear Sir/Madam,

Re: Application for concessionary withdrawal fee in respect of physical withdrawal of [number of shares] shares in [full name of stock] (Stock Code: _____) under withdrawal order no. W[withdrawal order number] dated [date of withdrawal]

We refer to our withdrawal order dated [date of withdrawal] and our application for concessionary withdrawal fee regarding the captioned shares dated [date of application letter]. We would be grateful if you could consider granting a concessionary withdrawal fee on the above stock withdrawal.

For your information, we re-deposited [number of shares] shares in [full name of stock] in the form of jumbo certificates into our stock account [account number] with CCASS under Deposit Order No. H[deposit order number] on [date of deposit]. Certified true copies of the withdrawal receipt and the deposit receipt are attached herewith for your reference.

We hereby certify that such deposited shares were beneficially owned by our client, [name of underlying client], at the time of deposit and there has not been any change in the beneficial ownership between the time of withdrawal on [date of withdrawal] and the time of deposit on [date of deposit].

In consideration of HKSCC acceding to our application as set out in this letter, we hereby agree to indemnify HKSCC and/or any of its subsidiary associate companies or its holding company Hong Kong Exchanges and Clearing Limited and its affiliate companies ("HKEX group of companies") and hold each of them harmless against all actions, claims, proceedings, damages, costs and expenses (including legal costs) which may be brought against HKEX group of companies or suffered or incurred by HKEX group of companies as a result of or in connection with HKSCC acceding to the application as set out in this letter and all matters relating thereto provided that such actions, claims, proceedings, damages, costs and expenses are not due to any act not done or not omitted to be done in good faith by HKSCC.

Should you approve our application, please advise us the concession amount and we will inform our client accordingly. In the meantime, if you require any further information, please do not hesitate to contact our [name of contact person] at [telephone number].

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

**Application for Withdrawal Fee Concession
(Scenario 2: Withdrawal for the purpose of enabling clients to exercise their rights as
shareholders) – Sample Application Letters**

{ Letter of Declaration to be submitted AFTER inputting of Withdrawal Order }

[Underlying Client's Company Letter Head (if applicable)]

Date:

Hong Kong Securities Clearing Co Ltd
1/F One & Two Exchange Square
8 Connaught Place
Central
Hong Kong
Attn: Depository Services

Dear Sir/Madam,

Re: Application for concessionary withdrawal fee in respect of physical withdrawal of [number of shares] shares in [full name of stock] (Stock Code: _____) under Withdrawal Order No. W[withdrawal order number] dated [date of withdrawal]

I/we refer to the above shares withdrawn from the stock account [account number] of [name of participant] (Participant ID: _____) dated [date of withdrawal] and I/we confirm that such withdrawal was solely for the purpose of exercising my/our rights as a shareholder of [full name of stock], where the exercise of such rights is not supported by HKSCC Nominees Limited as the nominee shareholder.

For your information, I/we have re-deposited [number of shares] shares in [full name of stock] in the form of jumbo certificates into the stock account [account number] of [name of participant] (Participant ID: _____) under Deposit Order No. H[deposit order number] on [date of deposit].

I/we hereby certify that I/we was/were the beneficial owner of the deposited shares in [full name of stock] at the time of deposit and there has not been any change in the beneficial ownership of the said shares between the time of withdrawal on [date of withdrawal] and the time of deposit on [date of deposit].

Yours faithfully,

[Underlying client's signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)]

[Name of underlying client]