

Special Segregated Account and Designated Executing Broker Maintenance Form

To: Clearing Participant Admin. & Services
 Hong Kong Securities Clearing Company Limited ("HKSCC")
 30/F, One Exchange Square, 8 Connaught Place, Central,
 Hong Kong

Email: CDCO_CAS@hkex.com.hk
 Fax: 2590 7000
 China Connect Hotline: (852) 2979-7123

FOR OFFICE USE ONLY
Confirmed Effective Date:

From: _____
 (Full Name of Custodian Participant or non-EP GCP)

CCASS
 Participant ID: | C | | | | | | | |

Notes:

- Under Section 2.3.15 of the CCASS Operational Procedures, a Custodian Participant, or a General Clearing Participant which is not an Exchange Participant ("non-EP GCP") of The Stock Exchange of Hong Kong Limited ("SEHK") shall, upon the request of a client, open a Special Segregated Account ("SPSA") in CCASS for the client via the CCASS Terminal to facilitate the pre-trade checking of China Connect Securities that may be sold by such client. An Investor ID of six digits will be assigned by CCASS once the SPSA is successfully created. This Investor ID will be used for identifying a sale order of the client through a designated executing broker in the China Stock Connect system.
- To register the designation or change in designation of any SPSA opened for a client or any executing broker of the client, please complete and submit this **Special Segregated Account and Designated Executing Broker Maintenance Form** not less than 5 business days before the proposed effective date specified in the form.
- The Custodian Participant or non-EP GCP and the designated executing brokers will receive prior notice via email from HKSCC or SEHK of the confirmed effective date. Unless otherwise advised by HKSCC or SEHK, the request will take effect from the confirmed effective date.

I. SPECIAL SEGREGATED ACCOUNT DETAILS

For one SPSA only

Details of the SPSA are as follows:

Stock Segregated Account No.	Investor ID
8 0 0	

For more than one SPSAs

Details of _____ (please specify the number) SPSAs with the executing broker specified in Section III below are set out in Appendix A to this form.

II. MAINTENANCE REQUEST

Add designated executing broker Delete designated executing broker

Proposed Effective Date: | | | | / | | | | / | | | | [DD / MM / YY]

III. DESIGNATED EXECUTING BROKER DETAILS

The following China Connect Exchange Participant is designated by our client for execution of China Connect Securities orders on its behalf:

Exchange Participant ID

Full Name of Exchange Participant

|0|_|_|_|_|_|

Confirmed by the Exchange Participant:

Signature of Responsible Officer
with Company Chop
(Name of Responsible Officer: _____)

Date Signed

Contact Person: _____ Email Address: _____

Contact Phone No.: _____

IV. CONFIRMATION BY THE CUSTODIAN PARTICIPANT OR NON-EP GCP

We confirm that we have provided the relevant client information to the designated executing broker as specified in Section III of this form for client identification purpose.

Authorized Signature(s) of Custodian Participant or non-EP GCP
(with company chop, ONLY applicable if it forms part of your signing instruction)
(Name of signatory(ies): _____)

Date Signed

Contact Person: _____ Email Address: _____

Contact Phone No.: _____

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Signature verified and checked by:	Notify CT-PS by:	Notify CP by:	Notify EP by CT-PS:	System input by CT-PS:
Reviewed by:	Date:	Date:	Date:	Checked by CT-PS:
Date:				Date:

List of designated Special Segregated Accounts with assigned Investor IDs

<u>MAINTENANCE REQUEST</u>	
<input type="checkbox"/> Add designated executing broker <input type="checkbox"/> Delete designated executing broker	
Proposed Effective Date: _ _ / _ _ / _ _ [DD / MM / YY]	
CCASS Participant ID	Full Name of Custodian Participant or non-EP GCP
C_ _ _ _ _ _ _ _	
Exchange Participant ID	Full Name of Exchange Participant
0_ _ _ _ _ _ _ _	

No.	Stock Segregated Account No.	Investor ID
<u>1</u>		
<u>2</u>		
<u>3</u>		
<u>4</u>		
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