

Date: \_\_\_\_\_

Hong Kong Securities Clearing Company Limited  
1/F One & Two Exchange Square  
8 Connaught Place  
Central  
2/F Infinitus Plaza  
199 Des Voeux Road Central  
Hong Kong

**Stock Pledgee Declaration Form**

We declare that we entered into a stock pledgee transaction with CCASS Participant [ID/Name] \_\_\_\_\_ on [date] \_\_\_\_\_. The said CCASS Participant has failed to meet its obligation under the said transaction. We enclose herewith a Withdrawal Order Input Request Form duly completed and signed by us and request the physical withdrawal of the securities from our Stock Account. The withdrawal details are as follows: -

Participant ID : \_\_\_\_\_

Name (in Block Letter) : \_\_\_\_\_

CCASS Stock Account number : \_\_\_\_\_

Stock code : \_\_\_\_\_

Stock Name : \_\_\_\_\_

Number of Shares : \_\_\_\_\_

Reasons : With reference to SI Input No. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Authorized Signature of CCASS Participant  
(With Company Chop)

c.c. Default Stock Pledgor

Note to Participant : A completed and signed Withdrawal Order Input Request Form should be submitted together with this form to CCASS Depository.

**Beneficiary Details and Registration Authorization Form**  
**Beneficiary Details and Authorization**

To: Hong Kong Securities Clearing Company Limited (“HKSCC”)  
~~1/F One & Two Exchange Square, 8 Connaught Place, Central, 2/F, Infinitus Plaza, 199 Des Voeux Road Central,~~  
 Hong Kong

Re: Registration of \_\_\_\_\_ units (\_\_\_\_ / \_\_\_\_\_, currency / nominal amount)  
 in \_\_\_\_\_ (Name of Bond)

We refer to our withdrawal request (Login Withdrawal Order No. V \_\_\_\_\_) inputted into CCASS on \_\_\_\_\_ (date) for \_\_\_\_\_ units (\_\_\_\_ / \_\_\_\_\_, currency / nominal amount) in the above-named security and, hereby request HKSCC to arrange for the registration of the said security into the name of \_\_\_\_\_ (the beneficiary) in accordance with the attached Registration and Payment Instructions. We shall collect the bond certificate(s) on behalf of the registered bondholder at the CCASS Depository when they are available.

\_\_\_\_\_  
 Company Chop and Authorized Signature(s) of CCASS Participant

**REGISTRATION AUTHORIZATION**

To: \_\_\_\_\_ (Name of Issuer/Transfer Agent)

Re: Registration of \_\_\_\_\_ units (\_\_\_\_ / \_\_\_\_\_, currency / nominal amount)  
 in \_\_\_\_\_ (Name of Bond)

We enclose herewith \_\_\_\_ / \_\_\_\_\_ (currency / nominal amount) of the above-named security and hereby request you to arrange for the registration of \_\_\_\_ / \_\_\_\_\_ (currency / nominal amount) of the said security in accordance with the Registration and Payment Instructions as set out below, please let us have the balance in one Global Certificate amounting to \_\_\_\_ / \_\_\_\_\_ (currency / nominal amount).

HKSCC Nominees Limited

\_\_\_\_\_  
 Authorized Signature (s)

**Registration and Payment Instructions**

I/We hereby confirm that I/we have authorized HKSCC to request the Issuer/Transfer Agent of \_\_\_\_\_ (Name of Bond) to register a total of \_\_\_\_ / \_\_\_\_\_ (currency / nominal amount) in my/our name(s) in accordance with my/our instructions as set out below:

Denomination required: \_\_\_\_\_ x \_\_\_\_ / \_\_\_\_\_ (currency / nominal amount)

Name of bondholder: \_\_\_\_\_

Address of bondholder: \_\_\_\_\_

\_\_\_\_\_ Tel: \_\_\_\_\_

Please pay the redemption proceeds and/or interest payment to my/our Bank Account as follows:

Bank: \_\_\_\_\_ Bank A/C No.: \_\_\_\_\_

\_\_\_\_\_  
 Authorized Signature(s) of bondholder(s)

\_\_\_\_\_  
 Specimen Signature(s) of bondholder(s)

**STOCK SEGREGATED ACCOUNT MAINTENANCE FORM – WITHOUT STATEMENT**

To: ~~Customer Service Centre, Participant Administration & Services~~  
Hong Kong Securities Clearing Company Limited (“HKSCC”)  
27/F, Infinitus Plaza, 199 Des Voeux Road Central, Hong Kong  
Fax: (852) 2590-7000      CCASS Hotline: (852) 2979-7111

From: \_\_\_\_\_  
(Full Name of Participant)

CCASS  
Participant ID \_\_\_\_\_

<b>I.      <u>MAINTENANCE REQUEST</u></b>			
<input type="checkbox"/> A – Add		<input type="checkbox"/> C – Change	
<input type="checkbox"/> D – Delete			
<b>II.      <u>PARTICULARS</u></b>			
Effective Date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [ DD / MM / YY ]			
a)      For Add, Change (New) or Delete account, please specify:			
<u>STOCK A/C NO.</u>	<u>SHORTNAME</u>		
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b)      For Change of account, please specify old account details below:			
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_____ Authorized Signature(s) of CCASS Participant (with Company Chop)			
<b>FOR OFFICE USE ONLY</b>			
Signature verified and diary updated by:	Inputted by:	Checked by:	Report checked by:
Date:	Date:	Date:	Date:

Note : Each participant is allowed to open up to 14 Stock Segregated Accounts without statement services. Some possible names for Stock A/C No. 03 to No. 16 may include "Dealing A/C", "Investment A/C", "Client A/C"

**Creation of Units - Credit Authorization Form (Cash Application)**

To : Hong Kong Securities Clearing Company Limited (“HKSCC”)  
1/F One & Two Exchange Square  
8 Connaught Place  
Central  
~~2/F Infinitus Plaza~~  
~~199 Des Voeux Road Central~~  
 Hong Kong  
 Attn : Depository Services (Fax No. : 2543-7910)

Date : \_\_\_\_\_

Creation Order No.: \_\_\_\_\_

Dear Sirs,

With reference to our Unit Creation Order (by Cash Application) in respect of \_\_\_\_\_ units in the \_\_\_\_\_ dated \_\_\_\_\_ and the subsequent acceptance of that Order, we hereby authorize HKSCC to credit the above units to our CCASS stock account number \_\_\_\_\_ on \_\_\_\_\_.

We understand and acknowledge that our request and instructions will only be effected or accepted by HKSCC subject to the General Rules of CCASS and the CCASS Operational Procedures as are in force from time to time.

Participant ID : \_\_\_\_\_

Participant Name : \_\_\_\_\_  
 (in block letter)

Contact Person / Telephone Number : \_\_\_\_\_

\_\_\_\_\_  
**Authorized Signature of CCASS Participant  
 (with Company Chop)**

Fax Number : \_\_\_\_\_

<i>For Office Use Only</i>				
Signature Verified	Instruction Approved	Units Credited	Report Checked	Advice Issued

**Creation of Units - Debit and Credit Authorization Form**

To : Hong Kong Securities Clearing Company Limited (“HKSCC”) Date : \_\_\_\_\_  
1/F One & Two Exchange Square  
8 Connaught Place  
Central  
2/F Infinitus Plaza  
199 Des Voeux Road Central  
 Hong Kong Creation Order No.: \_\_\_\_\_  
 Attn : Depository Services (Fax No. : 2543-7910)

Dear Sirs,

With reference to our Unit Creation Order in respect of \_\_\_\_\_ units in the \_\_\_\_\_ dated \_\_\_\_\_ and the subsequent acceptance of that Order, we hereby authorize HKSCC to debit these units from our CCASS stock account number \_\_\_\_\_ on \_\_\_\_\_ and deliver them to the registrar of the Fund. Upon receipt of the above units, HKSCC is authorized to credit them to our CCASS stock account number \_\_\_\_\_.

Stock Code	Stock Short Name	Share Quantity	Stock Code	Stock Short Name	Share Quantity

We understand and acknowledge that our request and instructions will only be effected or accepted by HKSCC subject to the General Rules of CCASS and the CCASS Operational Procedures as are in force from time to time.

Participant ID : \_\_\_\_\_  
 Participant Name : \_\_\_\_\_  
 (in block letter)  
 Contact Person / Telephone Number : \_\_\_\_\_  
 Fax Number : \_\_\_\_\_

**Authorized Signature of CCASS Participant  
 (with Company Chop)**

For Office Use Only					
Signature Verified	Instruction Approved	Units Debited	Share Credited	Report Checked	Advice Issued

