

To 致： **The Hongkong and Shanghai Banking Corporation Limited 香港上海滙豐銀行有限公司**

Securities Operations Centre: 2/F, Skyway House, 3 Sham Mong Road, Kowloon, Hong Kong

證券營運中心：香港九龍深旺道 3 號嘉運大廈 2 樓

U.S. SECURITIES RECEIPT/DELIVERY FREE OF PAYMENT FORM

美國證券代收／代交毋須付款表格

Date 日期	day 日 / month 月 / year 年

Note 注意： Please tick where applicable. 請在適當的地方加上剔號。

Customer Name(s) (Surname first) 客戶姓名 (先寫姓氏)	
Investment Services Account Number 投資服務戶口號碼	Contact Telephone Number 聯絡電話號碼

Please 請 receive the following securities for my/our securities account 將下項證券接收到本人 (等) 上述證券戶口

deliver the following securities from my/our securities account 由本人 (等) 上述證券戶口交付下項證券

Name of Securities 證券名稱	Symbol/ISIN Code 股票代號/ISIN Code (if available 如有)	Quantity of Securities 證券股數
Name of Counterparty 對手名稱		Counterparty Securities Account No. 對手證券戶口號碼
Counterparty's DTC No. 對手 DTC 結算編號	Settlement Date 交收日期	Change of Beneficial Ownership 實質權益的變動 <input type="radio"/> Yes 是 <input type="radio"/> No 否

Any *charges, please debit my/our settlement account. 任何有關*費用，請從本人 (等) 的交收戶口內扣除。

Note 注意： 1. *Please refer to the U.S. Stock Trading Services Product Fact Sheet for the transaction charges involved, if any.
*有關上述交收的手續費 (如有)，請參閱美股買賣服務收費表。

2. The Customer represents, warrants, confirms and undertakes any securities delivered or pledged by the Customer or his transfer agent to the Bank will be free from any lien, charge, claim or other encumbrance (other than a lien imposed on all securities by the applicable clearing house or depository) and free from any other restrictions, including, but not limited to, (i) the volume limitations and manner of sale limitations set forth under Rule 144 of the Securities Act of 1933, as amended, (ii) any requirement that any sale, assignments or other transfer of such securities be consented to by any person or entity, (iii) any limitations on the type or status of any purchaser, pledgee, assignee or transferee of such securities, (iv) any requirement of the delivery of any opinion of counsel, notice or other documentation to the issuer, registrar or any other person prior to the sale, pledge, assignment or other transfer and (v) any registration or qualification requirement or prospectus delivery requirement for such securities pursuant to applicable securities laws. 客戶陳述、保證、確認和承諾客戶或其過戶代理人已交付或抵押給本行的任何證券概無任何留置權、押記、申索或其他產權負擔 (由適用的結算所或存管處對所有證券設定的留置權除外)，亦不附帶任何其他限制，包括但不限於 (i) 《1933 年美國證券法》(經修訂) 第 144A 條規則所載明的交易量限制及出售方式限制；(ii) 任何關於前述證券的出售、轉讓或其他形式的轉移須經任何人士或實體同意的要求；(iii) 任何關於前述證券購買人、承押人、承讓人或受讓人的類別或身份的限制；(iv) 任何關於須在出售、押記、轉讓或其他形式轉移之前向發行人、過戶處或任何其他人士交付法律意見書、通知或其他文件的要求，以及 (v) 適用的證券法律所規定的關於前述證券的登記、資格或發行章程交付的要求。

3. Please INFORM YOUR COUNTERPARTY OUR CUSTODIANS' DETAILS of which appropriate for the above settlement. (HSBC DTC No.: 010) 請將上述交收指示的滙豐保管資料通知您的對手以便進行交收。(滙豐 DTC 結算編號：010)

4. Customer can only transfer U.S. securities which can be traded through HSBC's U.S. Stock Trading Services to HSBC. Please refer to the "Product Coverage" section in the U.S. Stock Trading Services Product Fact Sheet for eligible U.S. securities.
本行只可代客戶接收可經本行買賣的美國證券，有關認可的美國證券詳情請參閱美股買賣服務的服務單張。

<p>X</p> <p style="text-align: center;"><input type="radio"/> S.V.</p> <p>Signature of Principal/Sole Account Holder 第一／獨立戶口持有人簽署</p>	<p>X</p> <p style="text-align: center;"><input type="radio"/> S.V.</p> <p>Signature of Joint Account Holder 聯名戶口持有人簽署</p>
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Investment Services Account Number 投資服務戶口號碼

For Bank Use Only 銀行專用

Action to be Completed by Receiving Branch

Tasks for Receipt Instruction	Enquiry Screen/Form	Principal Account Holder (Initial)	Joint Account Holder (Initial)
Permanent HKID/Passport	A071		
Investment Account Status	S6121		
W-8BEN status checked / new form completed	S6115 / W-8BEN form completed with application		
NYSE Market Data Agreement (Exhibit B) status checked / new form completed	S6115 / NYSE Market Data Agreement form completed with application		
Checked by	Authorised Signature (with Signature No.) and Branch Chop	Branch Contact Person	
		Name:	Sales Staff ID:
		RI Number:	Tel No.:

Action to be Completed by SEC

Date	Captured by
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Custodian Details for Counterparty Reference

Bank Information:

Securities Operations Centre: 2/F, Skyway House, 3 Sham Mong Road, Kowloon, Hong Kong
Any questions regarding this form should be directed to: HSBC SEC email: secoppset@hsbc.com.hk

Action to be Completed by Receiving Branch

For Customer with W-8BEN Form submitting with application

1. **Without** Box 9a filled on W-8BEN form:
 - (a) Please tick (✓) the Associated Sub Account: **006-606016-435** on the table below.
2. **With** Box 9a filled on W-8BEN form:
 - (a) Please find out the corresponding Associated Sub Account by following the checking guidelines on Procedure Manual.
 - (b) Please tick (✓) the corresponding Associated Sub Account on the table below.

For Existing Customers with W-8BEN Form maintained

1. Please check the corresponding Associated Sub Account in **GHSS S6125**.
2. Please tick (✓) the corresponding Associated Sub Account on the table below.

(✓)	Associated Sub Account (in S6125)	DTC Number	BBH NY Account Number
	006-606016-431	010	4962478
	006-606016-432		4962486
	006-606016-433		4962494
	006-606016-434		4962502
	006-606016-435		4962510
	006-606016-436		4962528

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