

To 致：The Hongkong and Shanghai Banking Corporation Limited ("HSBC", which includes its successors and assigns) 香港上海滙豐銀行有限公司 (「滙豐」，包括其繼承人及受讓人)

Securities Operations Centre: GPO Box 64, Hong Kong

證券營運中心：香港郵政總局信箱 64 號

## 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 將下列證券接收到本人 (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列證券

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	

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.

\*有關所涉及的交易費用 (如有)，請參閱美股買賣服務產品資料概覽。

- The Customer represents, warrants, confirms and undertakes any securities delivered or pledged by the Customer or his transfer agent to HSBC will be free from any lien, charge, claim or other encumbrance or restriction other than a lien imposed on all securities by the applicable clearing house or depository. These restrictions may include (i) the volume limitations and manner of sale limitations set out in Rule 144 of the Securities Act of 1933 (as may be amended from time to time), (ii) any requirement to obtain consent from any person or entity for a sale, pledge, assignment or other transfer of such securities, (iii) any limitation on the type or status of any purchaser, pledgee, assignee or transferee of such securities, (iv) any requirement to deliver any opinion of counsel, notice or other documentation to the issuer, registrar or any other person prior to a sale, pledge, assignment or other transfer and (v) any registration or qualification requirement or prospectus delivery requirement 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滙豐的任何證券概無任何留置權、押記、申索或其他產權負擔或限制 (由適用的結算所或存管處對所有證券設定的留置權除外)。該等限制可包括 (i)《1933 年美國證券法》(可經不時修訂) 第 144A 條規則所載的交易量限制及出售方式限制，(ii) 有關該等證券的出售、質押、轉讓或其他形式的轉移須經任何人士或實體同意的任何要求，(iii) 有關該等證券購買人、承押人、承讓人或受讓人的類別或身分的任何限制，(iv) 有關須在出售、押記、轉讓或其他形式轉移前向發行商、過戶處或任何其他人士交付任何法律意見書、通知或其他文件的任何要求，及 (v) 按適用的證券法律的任何登記、資格或發行章程交付的要求。
- Please INFORM YOUR COUNTERPARTY OF THE DETAILS OF OUR CUSTODIAN which is appropriate for the above settlement. (HSBC DTC No.: 8396) 請將上述交收指示的滙豐保管資料通知閣下的對手以便進行交收。(滙豐 DTC 結算編號：8396)
- The Customer can only transfer to HSBC U.S. securities which can be traded through HSBC's U.S. Stock Trading Services. Please refer to the "Product Coverage" section in the U.S. Stock Trading Services Product Fact Sheet for eligible U.S. securities. 滙豐只可代客戶接收可經滙豐美股買賣服務買賣的美國證券。有關合資格的美國證券詳情，請參閱美股買賣服務產品資料概覽中「產品範圍」部份。
- The U.S. securities must be transferred to a same name account, i.e. no change of beneficial ownership. 美國證券必須轉移至相同姓名的戶口，即實質權益並無變動。
- Please note that your Investment Services Account Name and/or Number will be provided to the counterparty for settlement. 請注意，您在本行的投資服務戶口姓名及號碼將會交予對手以便執行交收指示。

## Declaration 聲明

1. **(Applicable to Receipt instruction 只適用於代收指示)**

I/We confirm that I/we am/are not person(s) who: 本人(等)確認本人(等)並非以下人士:

- is/are US citizen(s) or with US nationality (regardless of dual nationality or citizenship or residence);  
美國公民或擁有美國國籍(不論是否雙國籍或公民身分或居住地址);
- is/are US resident(s) (regardless of nationality or citizenship); 美國居民(不論國籍或公民身分);
- is/are US tax payer(s) (i.e. person(s) who has/have elected to be treated as US resident for US federal income tax purpose (regardless of nationality or citizenship) by attaching such election to his/her/their US federal income tax return);  
美國納稅人[即就美國聯邦所得稅而言,在美國聯邦所得稅申報表上選擇被視為美國居民(不論國籍或公民身分)];
- has/have a US address (e.g. primary mailing, residence or business address in the US). 有美國地址(例如在美國的主要通訊地址、居住地址或工作地址)。

## 2. I/We declare that the transfer of securities does not have change of beneficial ownership of such securities.

本人(等)聲明本證券的轉移並不會改變該等證券的實質權益。

## 3. I/We understand that the Bank has not provided any recommendation of, or advice on, this instruction (including in relation to tax). This instruction is made based on my/our own judgment. 本人(等)確認滙豐並無就此指示提供任何建議或意見(包括與稅務有關的建議或意見),此指示乃基於本人(等)的個人判斷作出。

## 4. I/We acknowledge that I/we am/are solely responsible for and am/are required to pay all costs and expenses (including taxes, duties and levies) payable in respect of the instruction, if any, and I/we authorise the Bank to debit any such costs and expenses from my/our account without further notice to me/us.

本人(等)確認本人(等)全權負責並且需要支付有關此指示的所有費用和開支(包括稅費、關稅和徵費)(如有);及本人(等)授權滙豐從本人(等)的戶口扣除任何此等費用和開支而無須另行通知本人(等)。

X

Signature of Principal/Sole Account Holder  
第一/獨立戶口持有人簽署

S.V.

X

Signature of Joint Account Holder  
聯名戶口持有人簽署

S.V.

## 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		
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		
Cold Shoulder Order Checked	K072 / S6124		
Checked by	Authorised Signature (with Signature No.) and Branch Chop	Branch Contact Person	
		Name: Sales Staff ID: RI Number: Tel Number: Fax Code: External Email Address (optional): @hsbc.com.hk	
		Investment Account Status (GHSS S6121) <b>Note:</b> Please Input Account Status 1-7. If the Account Status is 2 or 3, the following field must be inputted.	
		Submitted Form for Investment Account Reactivation (Y/N)	

## Action to be Completed by SEC

Date	Captured by
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## **Custodian Details for Counterparty Reference**

### **Bank Information:**

Securities Operations Centre: GPO Box 64, 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 9 filled on W-8BEN form:

(a) Please tick (✓) the Associated Sub Account: **006-606016-435** on the table below.

2. **With** Box 9 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 <i>(in S6125)</i>	DTC Number	HSBC Bank USA Account Number
	006-606016-431	8396	2000003018
	006-606016-432		2000003117
	006-606016-433		2000003216
	006-606016-434		2000003315
	006-606016-435		2000003414
	006-606016-436		2000003513