

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

**EQUITY LINKED INVESTMENTS (ELI) /
STRUCTURED NOTES (SN) SELL ORDER FORM
(For Non-Personal Customer)**
股票掛鉤投資 / 結構投資票據賣出委託單 (非個人客戶)

For Bank Use Only 銀行專用															
Sales Staff ID No.	Product Code	Application Date	GSOPS Deal No.												
	ELI	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td> </tr> </table>							D	D	M	M	Y	Y	
D	D	M	M	Y	Y										

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

Customer Details 客戶資料	
Customer Name 客戶名稱	
Investment Services/Securities Account Number 投資服務 / 證券戶口號碼	Contact Telephone Number 聯絡電話號碼

Type and Details of Arrangement 安排事項種類及資料	
ELI/SN Code 股票掛鉤投資 / 結構投資票據編號	
Name of Underlying Stock 掛鉤股票名稱	
No. of ELI/SN 股票掛鉤投資 / 結構投資票據張數	Investment Amount (for Daily Cash Dividend Single Share Callable ELI / Daily Cash Dividend Callable Basket ELI / Potential Performance Return (Single PPR Investments) / Potential Performance Return (Basket PPR Investments)) 投資額 (每日現金紅利單一股票可贖回股票掛鉤投資 / 每日現金紅利可贖回籃子股票掛鉤投資 / 潛在表現回報 (單一潛在表現回報投資) / 潛在表現回報 (籃子潛在表現回報投資))
Types of Redemption 贖回種類	
<input type="checkbox"/> Sell Back before Expiry/Maturity 於屆滿前提早出售 <input type="checkbox"/> Sell Back during Post-Sale Cooling-off Period 於售後冷靜期提早出售	
<p>Note 注意： ♦ For ELI/SN (excluding Bull Equity Linked Investments), the sell back order will be executed on the next scheduled market making day for sell back before expiry/maturity. For details, please refer to branch staff. 除看漲式股票掛鉤投資外，股票掛鉤投資 / 結構投資票據提早出售的指示將於下一個為屆滿前提早贖回的莊家活動既定日子執行。詳情請向各分行職員查詢。 Customer can sell back Bull Equity Linked Investments at any time up to third Hong Kong business day before the expiry date. For details, please refer to branch staff. 客戶可於直至屆滿日期前第三個香港營業日止任何時間提早出售看漲式股票掛鉤投資。詳情請向各分行職員查詢。</p> <p>⌘ Applicable to Public Offer Equity Linked Investments (ELI) or Structured Notes (SN) with a scheduled tenor of more than one year and the post-sale cooling-off sell back order is submitted within 5 Hong Kong business days from subscription order placement. 適用於產品年期一年以上公開發售的股票掛鉤投資或結構投資票據，且售後冷靜期提早出售的指示須於有關產品認購後五個香港營業日內遞交。</p>	
Credit my/our 款項存入本人(等)的	
<input type="checkbox"/> Business Integrated Account (please specify Savings/Current Account): <input type="checkbox"/> HKD Current Account <input type="checkbox"/> HKD Savings Account <input type="checkbox"/> FCY Savings Account 商業綜合理財戶口 (請說明儲蓄 / 往來戶口): 港幣往來戶口 港幣儲蓄戶口 外幣儲蓄戶口	
<input type="checkbox"/> Others 其他 (please specify 請說明):	
Account Number 戶口號碼	
Remarks 備註	

Investment Services/Securities Account Number 投資服務 / 證券戶口號碼

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Declaration 聲明

- The Bank is authorised to debit my/our Investment Services/Securities Account with the relevant scrip on or (at the Bank's sole discretion) at any time before the settlement date for effecting the above transaction. I/We acknowledge that I/we shall not be entitled to withdraw or in any way deal with all or any part of the relevant scrip (which shall be held on trust for the Bank) until they are so debited or upon being notified that this Order cannot be carried out for whatever reason. 本人(等)授權滙豐銀行在交收日或以前的任何時間(由銀行全權決定)從本人(等)的投資服務/證券戶口內扣除交易中有關的股票掛鈎投資/結構投資票據,本人(等)知悉本人(等)將不能提取或從任何途徑運用全部或部分有關的股票掛鈎投資/結構投資票據,(該等股票掛鈎投資/結構投資票據為銀行以信託形式存放),直至該等股票掛鈎投資/結構投資票據從戶口中扣除,或銀行通知此交易因任何理由而不能執行為止。
- I/We understand that this Order and the transaction(s) to be effected pursuant to this Order are subject to the Business Integrated Account General Terms and Conditions/Business Investment Account Terms and Conditions/Securities Account Terms and Conditions. 本人(等)明白此指令及由此指令而產生的交易乃依據商業綜合戶口一般條款/商業投資戶口條款/證券戶口條款。
- I/We fully understand the risk and returns associated with Equity Linked Investments / Structured Notes and confirm that I/we wish to proceed with my/our sell order. 本人(等)完全明白投資於股票掛鈎投資/結構投資票據的風險及回報。本人(等)確認願意進行此提早贖回。
- I/We understand that the Bank acts as principal in the transaction. I/We also understand that the Bank is not an independent intermediary as for products issued by HSBC, the Bank (being a distributor of the products) and the product issuer are members of the HSBC Group. 本人(等)明白貴行以主事人身分行事。本人(等)明白貴行並非獨立中介,若有關的產品由滙豐所發行,貴行(作為產品分銷商)及其產品發行人均屬滙豐集團旗下的成員。
- I/We understand that any order request received on a non-Business Day (Saturdays, Sundays and public holidays) will only be processed on the next Business Day and my/our order request at such time may not be carried out due to circumstances beyond the Bank's reasonable control. 本人(等)明白在非營業日(週六、週日及公眾假期)接受的委託單只會在下一個營業日處理,此委託單可因當時的處境不在貴行的合理控制範圍以內而不能執行。
- I/We understand that the remuneration for sales staff is determined based on the staff's overall performance with reference to a wide range of factors, and is subject to review from time to time, for the purpose of encouraging the building of deep, long-lasting and mutually valuable relationships with customers. It is not determined solely on financial performance. 本人(等)明白為鼓勵銷售人員與客戶建立深厚、持久及互利的關係,其薪酬會參照多種因素及因應其整體表現不時檢討,並不單純按其財務表現來釐定。
- I/We confirm that this form is completed by me/us physically in Hong Kong. 本人(等)確認本人(等)是身處在香港完成此表格。

S.V.

X

Customer Signature(s) 客戶簽署

Date 日期:

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For cooling-off orders - Called Corporate Sales of GBM at 2822-3868 (CMB staff) [Mandatory] - Checked eligibility (valid buy order within 5 HK business days, same quantity as buy order, Public Offer ELI/SN with tenor > 1 year)	Initial	Sales Staff Name: _____ RI Number: _____ Telephone: _____	
ELI Held / Nominal Value of SN Held		Captured by	Approved by
Execution Result Checked	Initial	Branch Chop and Authorised Signature	
ELI Price / Trade Price			
Customer Notified	Time	Initial	