

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

Date 日期	day 日 / month 月 / year 年
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Dept 部門

Time 時間:

**SECURITIES SALE ORDER (For Non-Personal Customer) 證券沽出委託單 (非個人客戶)**

Note 注意: Customer initial 客戶簡簽

- Please tick where applicable. 請在適當的地方加上剔號。
- You understand that any order instruction form received during non-trading hours will only be processed on the next trading day/session and your order instruction may not be carried out at such time due to circumstances beyond our reasonable control.  
您明白在非交易時段接受的交易指示只會在下一個交易日/時段處理，而我們如因當時處於合理控制範圍以外的處境，此交易指示可不能被執行。
- To help you better manage risk, the Bank will submit your market order (not applicable to RMB stock) to the market with one try only by matching it up to 10 best price queues at Hong Kong Exchanges and Clearing Limited (i.e. the prevailing best queue and up to the 10th queue at 9 spreads away at the time when the market order is processed) and up to a maximum of 20 spreads from the prevailing nominal price at the time your order is processed. Any unfilled quantity of your market order as a result of the above mechanism will automatically be cancelled right away. You are advised to check the order status to see if the market order has been fully executed or cancelled. If your order is not fully executed, you may wish to place another order.  
為讓閣下更有效處理風險，本行為客戶每單「市價盤」（不適用於人民幣證券）送出市場進行自動交易配對一次，並按本行處理有關指示時的市場現價最多 20 個價位與最多 10 條輪候隊伍（即當本行處理有關市價盤時的當時市場最佳價格隊伍至距離 9 個價位的第 10 條輪候隊伍）進行配對。要是有關市價盤不能按以上安排而即時全數完成，該市價盤未能成交的餘下股數便會被即時自動取消。客戶於設定市價盤指示後必須查詢交易處理狀況，以了解該指示是否已全數成交或已被取消。如有關指示未能全數成交，客戶可按需要自行再設定新的買賣盤指示。
- #If the number of shares is not a multiple of the board lot size, you will need to place two separate orders, one order for the board lot portion and another for the odd lot portion. Fees and charges apply to each separate transaction. For odd lot trading, we only accept Market Order and due to manual processing of odd lot orders, such orders may take longer to process.  
#若證券股數不是該股票每手股數的倍數，您需要發出兩個獨立指示以進行交易，一個作為處理正股部分，另一個作為處理碎股部分。所有服務收費是按每一項交易收取。請注意，我們只接受以市價盤設定的碎股指示，而由於所有含有碎股的指示需要人手處理，有關指示所需的處理時間會較長。
- If you have Renminbi listed securities but no longer have an eligible Renminbi deposit account, any sales proceeds and dividend will be paid in Hong Kong Dollar converted from Renminbi at the prevailing (sell) exchange rate determined by the Bank at the time of the payment. Loss may be incurred due to foreign exchange risk.  
如您持有交易所上市的人民幣證券而沒有有效的人民幣存款戶口，有關出售收益和股息將會由本行決定以當時的人民幣（賣出）兌換率以港元支付。外匯風險可能會引致損失。

Customer Name 客戶名稱	Investment Services/Securities Account Number (Please specify account suffix number) 投資服務/證券戶口號碼 (請註明戶口字尾號碼)
Address (complete only if it is different from that in the account record) 地址 (只供與戶口記錄不符者填寫)	Contact Telephone Number 聯絡電話號碼

Please sell on my/our behalf 茲委託貴行代本人(等)沽出

Stock Code 證券代號	Name of Stock 證券名稱	# No. of Shares #證券股數	Order Type 指示類別 (At Market / Limit / At-Auction Limit 市價/限價/競價限價)	Price 股價 (Not Applicable to At Market Order 不適用於市價盤)	Valid Till 有效期至	For Bank Use Only 銀行專用		
						No. of Shares Executed	Price Executed	Order Reference Number
								S -
								S -
								S -

Credit my/our 款項存入本人(等)的

Business Integrated Account (please specify Savings/Current Account) 商業綜合戶口 (請說明儲蓄/往來戶口) }  HKD Current Account 港幣往來戶口

Others (please specify): 其他 (請說明) }  HKD Savings Account 港幣儲蓄戶口

FCY Savings Account 外幣儲蓄戶口

Account Number 戶口號碼

Remarks 備註

**Declaration 聲明**

1. The Bank is authorised to debit my/our specified Investment Services/Securities Account (or, if not specified or relevant scrip balance is insufficient, any of my/our Investment Services/Securities Account, where more than one) 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）授權貴行在交收日或以前的任何時間（由銀行全權決定）從本人（等）註明的投資服務／證券戶口（或，如沒有註明或有關的股票沒有足夠的結餘，可在多於任何一個的投資服務／證券戶口）內扣除交易中有關的股票，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，（該等股票為銀行以信託形式存放）直至該等股票從戶口中扣除，或貴行通知此交易因任何理由而不能執行為止。
2. I/We have read and understood the Notes and the Terms and Conditions to which this order and the transaction to be effected hereunder is subject. 本人（等）經已閱讀並明白此委託單所載的注意事項及條款與所述的交易須依據該條款而執行。
3. I/We confirm that I/we have not received any investment advice, suggestions or other guidance from HSBC relating to the investment. I/We further confirm that any transaction I/we have decided to make is being made at my/our own volition and at my/our own risk having read and understood all relevant product literature. I/We acknowledge and understand that the arrangement of any transaction by HSBC on my/our behalf is not in anyway a confirmation or an endorsement from HSBC that it is suitable for me/us. 本人（等）確認本人（等）並沒有接收過任何投資建議、意見，或其他由滙豐發出有關投資的指引。本人（等）於細閱及明白所有相關產品資料後，確認此交易乃本人（等）的意願，並願意承擔所有風險。本人（等）知悉及明白滙豐代表本人（等）就此交易所作的安排並不表示滙豐確認或贊成此交易適合本人（等）。

**X**

Customer Signature(s) 客戶簽署

Name of Attorney (if applicable) 授權人姓名 (如適用) :

S.V.

**For Bank Use Only 銀行專用**

Sales Staff ID	Captured by	Cross Order Reference Number (for Switching Order only)
RI Number		
Initial	Approved by	Authorised Signature and Branch Chop
Order Captured Date/Time		

SEC423R5 (181214) W (SEC068R27 W)

# The Hongkong and Shanghai Banking Corporation Limited

## SECURITIES - SALE ORDER TERMS AND CONDITIONS

1. I/We hereby authorise you to accept from any stockbroker(s) or underwriter(s) engaged in the transaction to be effected under this order any rebate or allowance of any brokerage or commission payable in respect thereof.
2. I/We understand that orders (or the remaining part thereof) will lapse by the end of the trading date if non-executed or partially executed, unless otherwise specified.
3. I/We understand that orders will take a minimum of 3 trading days for settlement.
4. I/We understand that you will act on this order as soon as reasonably possible but shall not be liable for any loss, damage or expense or consequential loss, damage or expense suffered by me/us by reason of any delay in acting on this order or any partial completion of or failure or inability to act on this order (including without limitation any loss, damage or expense suffered or incurred as a result of any change in the price of any stock between the time of giving or receipt of this order to or by you and the time at which such order is acted upon).
5. I/We understand that on receipt of this order you will acting in good faith forthwith calculate the sums required to meet the transaction plus an estimate of the sums required to meet any tax, duty or other expenses in connection with such transaction. Following such calculation, the following provisions shall apply:
  - (a) You shall be entitled to set-off an amount equivalent to such sum held to the credit of my/our account stated in this order or any other account maintained by me/us with you against all actual or contingent liabilities incurred by you as a consequence of the transaction including any liability to pay any purchase monies and other expenses to any third party.
  - (b) Until completion of the transaction, I/we shall not be entitled to withdraw all or any part of the said amount and the said amount shall not constitute a debt owed by you to me/us.
  - (c) I/We hereby charge the said amount in your favour as security for your actual or contingent liabilities in respect of the said purchase monies and anticipated purchase expenses.
6. I/We acknowledge that the price of any stock quoted by you in response to any enquiry by me/us is for reference only and shall not be binding on you. You shall be entitled to act on this order for the sale or purchase of stock as stated in this order even if the price of such stock has altered to the disadvantage of me/us between the time of receipt of this order and the time at which you or your agent completes any such sale or purchase.
7. I/We acknowledge that you shall not be obliged to act on any instruction for cancellation, variation or amendment of this order nor be responsible or liable to me/us for any loss or expense suffered or incurred by me/us if this order has already been completed or in your opinion you have insufficient time or are unable to act on such instruction to cancel, vary or amend this order.
8. I/We acknowledge that, without prejudice to the foregoing, the Integrated Account Terms and Conditions / Business Integrated Account General Terms and Conditions / Business Investment Account Terms and Conditions / Securities Account Terms and Conditions (which have been supplied to me/us upon opening of an Investment Services Account) shall also apply to this order and any transaction effected pursuant to this order.

## 香港上海滙豐銀行有限公司

### 證券一沽出委託單章則條款

- 一、本人（等）茲授權貴行可接受任何經紀商或包銷商因執行此委託單的交易而獲得的經紀費或佣金中的任何回佣或回扣。
- 二、本人（等）明白委託單如未能於即日成盤或只部分成盤，除非有其他特別註明，此委託單或其餘數作取消論。
- 三、本人（等）明白委託單最少需時三個交易日交收。
- 四、本人（等）明白貴行會在合理情況下盡速執行此委託單，但如本人（等）因貴行延遲執行，部分完成、未能或無法執行此委託單而蒙受任何損失、損害或支出或間接損失、損害或支出，貴行毋須承擔責任（包括但不限於向貴行作出委託或貴行接獲委託與執行此項委託之間的一段時間內證券價格出現變動而蒙受或招致的任何損失、損害或支出）。
- 五、本人（等）明白在接獲此委託單後，貴行將以誠信，立即計算所列交易所需款項，並估計有關的任何稅項或其他支出的款項。經計算後，以下為適用的規定：
  - (甲) 貴行有權從本人（等）於此委託單所列的戶口或本人（等）在貴行任何其他戶口中存有的相等於上述款項的金額，以抵銷貴行由於此項交易而招致的一切實際或或有負債，包括支付購買款項及向任何第三者支付的費用。
  - (乙) 在完成交易之前，本人（等）無權提取上述金額的全部或其中任何部分，同時上述金額不應構成貴行對本人（等）的欠款。
  - (丙) 本人（等）在此將上述金額抵押予貴行，作為貴行就上述購買款項及預期交易費用的實際或或有負債的抵押品。
- 六、本人（等）確認貴行於回覆本人（等）的查詢而提供的任何證券報價，只作參考用途，對貴行並無約束力。貴行有權執行此委託單所列的證券買賣委託，即使在接獲該項委託與貴行或貴行的代理人完成該宗買賣之間的一段時間內，價格已經出現對本人（等）不利的變動。
- 七、本人（等）確認貴行並無責任執行任何指示取消、更改或修訂此委託單，倘此委託已經完成或貴行認為並無足夠時間或不能按指示取消、更改或修訂原來的委託，則貴行毋須為本人（等）所蒙受或招致的任何損失或費用承擔責任。
- 八、本人（等）確認在不影響上述情況下，綜合理財戶口條款及細則／商業綜合戶口一般條款／商業投資戶口條款／證券戶口條款（已於本人（等）開設投資服務戶口時給予）亦適用於此委託單或因此委託單而進行的任何交易。

**Note 注意：** In case of discrepancies between the English and Chinese versions, the English version shall apply and prevail. 中英文本如有歧異，須以英文本為準。