

Internet Stock Trading Customer Operation Guide

This Operation Guide provides the instructions of how to use our Internet Stock Trading service. Please visit our web site at <http://www.shacomsecurities.com.hk> to access its various functions.

1. System Requirements

- PC with Internet Connection
- Windows XP (Service Pack 3) or above (recommended)
- Mac OS 10.6 or above
- Microsoft Internet Explorer 7.0 or above (recommended)
- Safari 5.1 or above
- Firefox 20.0 (for Windows) / Firefox 3.0 (for Mac) or above
- JRE 1.6 or above (Applicable for using Real-time Teletext Stock Quote Service)

Please view with 1024 x 768 screen resolution and medium font size for the best performance.

2. Service Hours

The service hours for performing the following operations are:

Order placement, modification and cancellation (for local securities)	24 hours
Order placement and cancellation (for eligible A shares under Shanghai-Hong Kong Stock Connect)	8 am – 3 pm
Order enquiry, market information and portfolio enquiry	24 hours

Remarks:

(I) Local securities

2.1 At Auction Limit Order (Applicable to Pre-opening Auction Session and Closing Auction Session):

2.1.1 New Order Placement:

Pre-opening Auction Session

New At Auction Limit Order will be sent to SEHK's Automatic Order Matching and Execution System (AMS) on a valid trading day (Monday to Friday excluding public holidays) during the order input period of "Pre-opening Auction Session" from 9:00 am to 9:15 am.

Closing Auction Session (CAS)

New At Auction Limit Order will be sent to SEHK's Automatic Order Matching and Execution System (AMS) on a valid trading day (Monday to Friday excluding public holidays) during CAS (4:01 pm to 4:10 pm; during Random Closing Period, the market closes randomly within 2 minutes starting from 16:08 and the actual closing time is determined randomly by the system).

Besides, a two-stage limit will be applied to control the price of limit orders which are newly input during CAS. For Stage 1 (4:01 pm to 4:06 pm), the price limit is set at 5% from the reference price. For Stage 2 (4:06 pm to 4:10 pm), price limit must be between the lowest ask price and the highest bid price carried forward from Stage 1.

2.1.2 Order Modification:

Any modification of At Auction Limit Order will be sent to the AMS on a valid trading day (Monday to Friday excluding public holidays) during the order input period of "Pre-opening Auction Session" (9:00 am to 9:15 am), "Continuous Trading Session" (9:30 am to 12:00 noon; 1:00 pm to 4:00 pm) and "Closing Auction Session" (4:01 pm to 4:06 pm).

2.1.3 Order Cancellation:

Any cancellation of At Auction Limit Order will be sent to the AMS on a valid trading day (Monday to Friday excluding public holidays) during the order input period of "Pre-opening Auction Session" (9:00 am to 9:15 am), "Continuous Trading Session" (9:30 am to 12:00 noon; 12:30 pm to 4:00 pm) and "Closing Auction Session" (4:01 pm to 4:06 pm).

2.2 Enhanced Limit Order:

2.2.1 New Order Placement:

Any placement of Enhanced Limit Order will be sent to the AMS on a valid trading day (Monday to Friday excluding public holidays) during "Continuous Trading Session" (9:30 am to 12:00 noon; 1:00 pm to 4:00 pm).

2.2.2 Order Modification:

Any modification of Enhanced Limit Order will be sent to the AMS on a valid trading day (Monday to Friday excluding public holidays) during "Continuous Trading Session" (9:30 am to 12:00 noon; 1:00 pm to 4:00 pm).

2.2.3 Order Cancellation:

Any cancellation of Enhanced Limit Order will be sent to the AMS on a valid trading day (Monday to Friday excluding public holidays) during “Continuous Trading Session” (9:30 am to 12:00 noon; 12:30 pm to 4:00 pm) and “Closing Auction Session” (4:01 pm to 4:06 pm).

2.3 Volatility Control Mechanism (VCM) trading mechanism:

2.3.1 VCM is applicable to “Continuous Trading Session”, excluding: the first 15 minutes of the morning and afternoon trading session, and the last 15 minutes of the afternoon trading session. In other words, the applicable period is 9:45am to 12:00noon and 1:15pm to 3:45pm.

2.3.2 If a stock is $\pm 10\%$ away from the last traded price 5 minutes ago, a 5-minute cooling-off period will be triggered. Trading is allowed within $\pm 10\%$ of the reference price during the cooling-off period. Normal trading will be resumed after the cooling-off period. Maximum of one trigger in the morning trading session and one in the afternoon trading session for each applicable stock to minimize market interruption.

2.4 All new placement or modification after trading hours will be treated as an order instruction of the following trading day.

2.5 After market closed, only “Auction Limit Order” can be used for new order input until around 7:00am of next trading day.

2.6 If the designated order expiry date is a non-trading day (Saturday, Sunday, Public Holiday, or deemed as a non-trading day due to Typhoon-Attack, Black-Rainstorm or other issues), the order expiry date shall not be postponed and the order shall be cancelled automatically on that particular day.

(II) Eligible A shares under Shanghai-Hong Kong Stock Connect

2.7 Limit Order:

2.7.1 New Order Placement:

New Limit Order will be sent to SEHK on a valid trading day during the “Opening Call Auction Session” (9:10 am to 9:25 am), “Continuous Auction Session” (9:30 am to 11:30 am; 1:00 pm to 3:00 pm).


Limit order can be executed at the specified price or a better price. Orders that are not executed during “Opening Call Auction Session” will automatically enter “Continuous Auction Session”. Besides, SEHK will put in place a dynamic price checking for buy orders, buy orders with input


prices lower than the current best bid (or last traded price in the absence of current best bid, or previous closing price in the absence of both current best bid and last traded price) 3% during initial phase of Shanghai-Hong Kong Stock Connect.

2.7.2 Order Cancellation

Order cancellation will be sent to SEHK on a valid trading day during the “Opening Call Auction Session” (9:15 am to 9:20 am), “Continuous Auction Session” (9:30 am to 11:30 am; 1:00 pm to 3:00 pm). SEHK will not accept order cancellation during 9:20am to 9:25 am.

3. Securities Account Number and Password

3.1 Use the Securities Account Number and Password provided by our Bank to login your Internet Stock Trading service. If you fail 3 times for login, your internet stock trading service will be blocked. After login successfully, you can change password at any time by clicking the  button located at the top right-hand corner of the page.

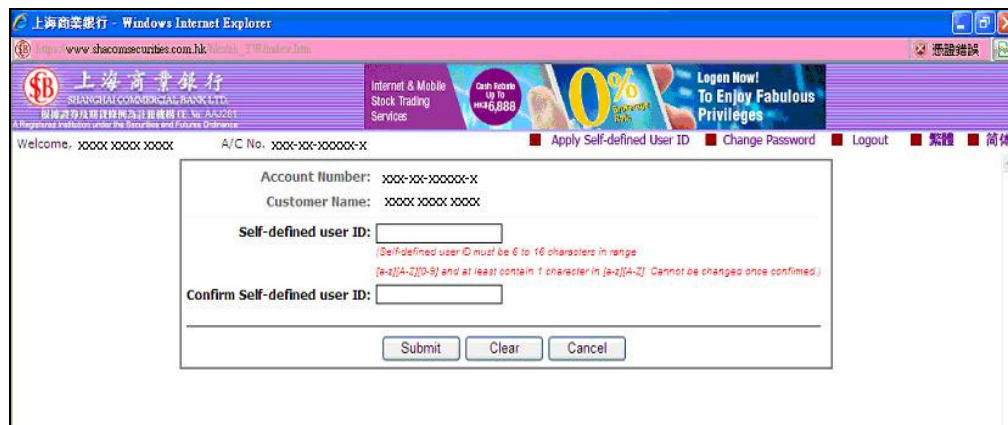
You may also change login ID by clicking .

Self-Defined User ID

Self-defined User ID must consist of 6-16 alphanumeric characters and must contain at least 1 alphabet. Once your Self-defined User ID has been created, it cannot be changed in the future.

Password

Password consist of 8-16 characters [A to Z, a to z] and/or numbers [0-9] exclude space / special characters.



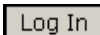
3.2 You should regularly check your account balances and statements to identify any unusual

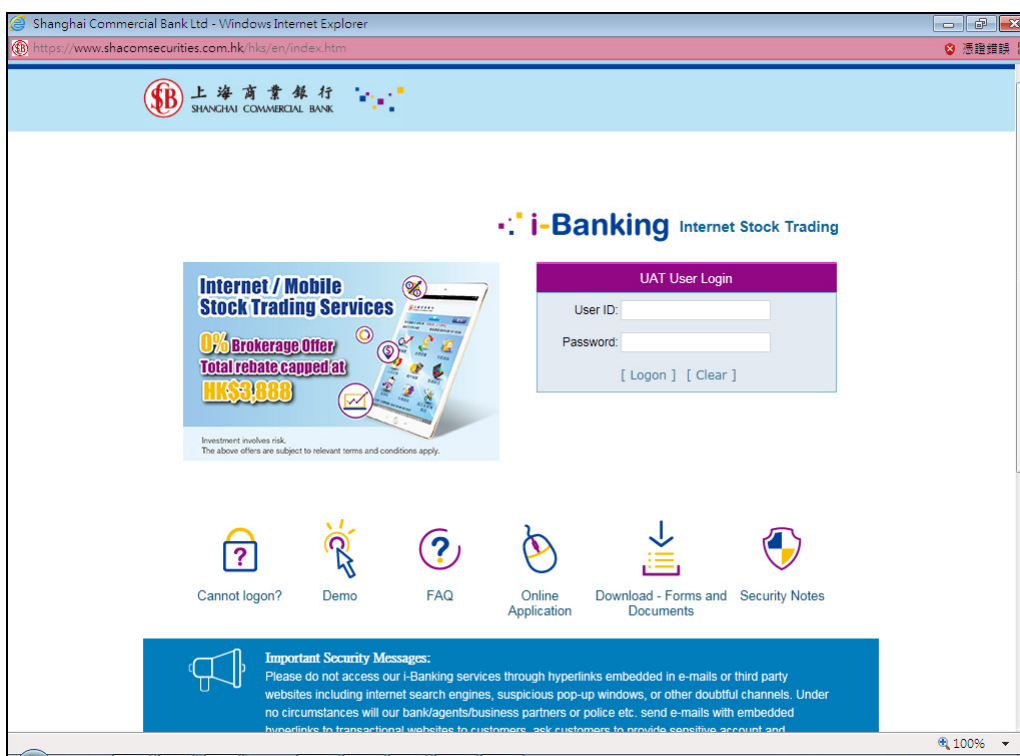
transactions.

4. Login

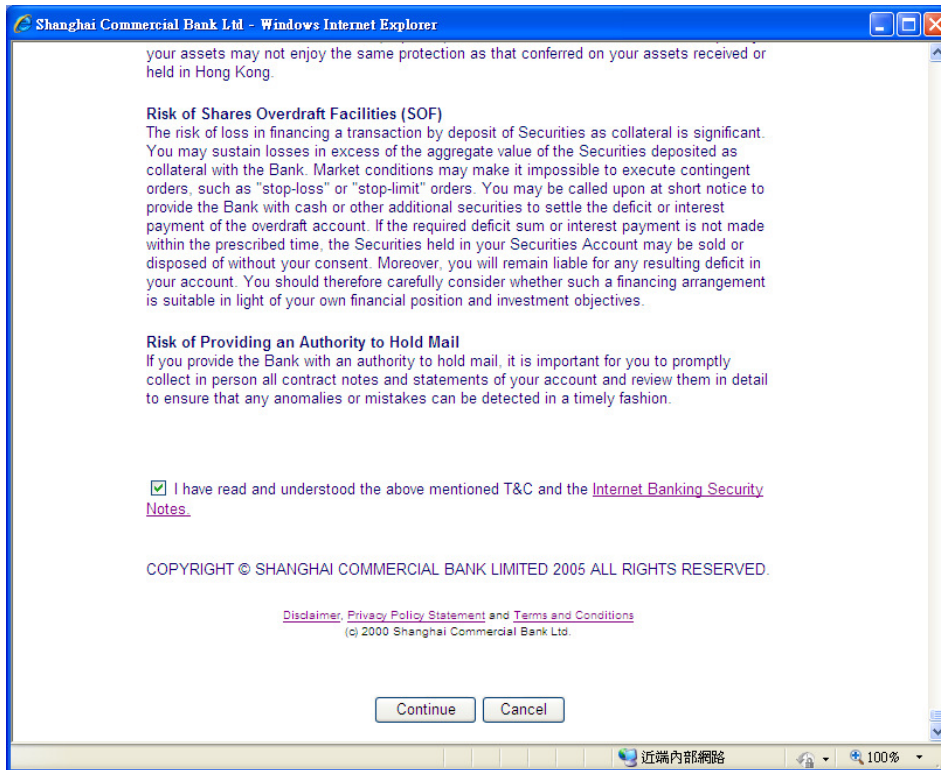
4.1 Click the “Stock Trading Login” icon.



4.2 Enter your Securities Account Number/ self-defined User ID and Password and click the  button.



4.3 For first time login, ‘Terms and Conditions for Securities Services’ for using Internet Stock Trading service will be shown. Please tick the box to confirm that you have read and understood the T&C and Internet Banking Security Notes, then click ‘Continue’ to proceed.



- 4.4 You are requested to change your Password for first time login. Remember to use the new Password for your subsequent login.

Account Number: 32888123456
Customer Name: CHAN TAI MAN

Please change your password, because this is your first time login.

Old Password:

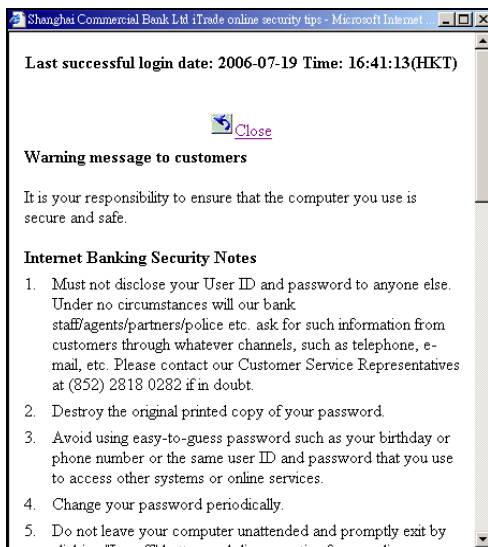
New Password:

(New password must be 8-16 characters (A-Z, a-z) and/or numbers (0-9) exclude space/special characters. Password is case sensitive.)

Retype New Password:

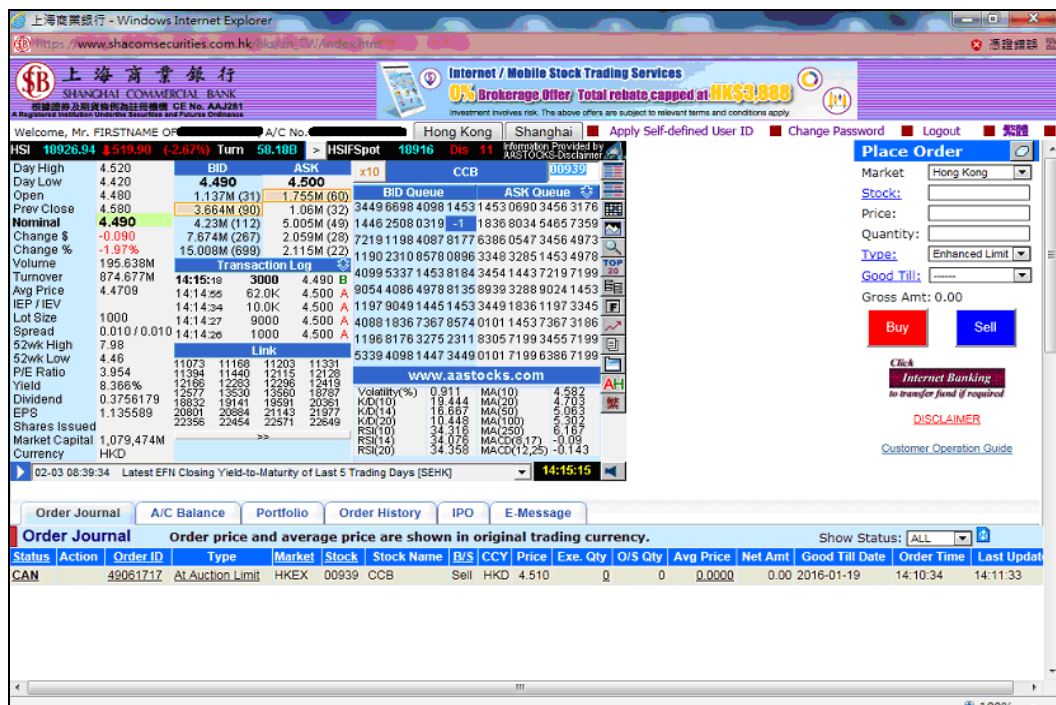
Submit Clear Cancel

- 4.5 For every successful login, a page of last logon date and status will be shown.



5. Trading Floor

- 5.1 Trading Floor is a consolidated page for you to conveniently view the real time stock quote, place order and monitor order status.
- 5.2 A list of functions is located under the real time stock quote. You can choose any button to access the corresponding functional web page.
- 5.3 For users with real time stock quote service, 'Real Time Stock Quote' will be displayed on the left-hand side of the page.
- 5.4 Trading Floor Page with Real Time Teletext Stock quote (Applicable to local securities):



上海商業銀行 - Windows Internet Explorer

https://www.shacomsecurities.com.hk/ks/shcn/index.html

Internet / Mobile Stock Trading Services
0% Brokerage Offer / Total rebate capped at HK\$3,888

Welcome, Mr. FIRSTNAME OF A/C No. Hong Kong Shanghai Apply Self-defined User ID Change Password Logout

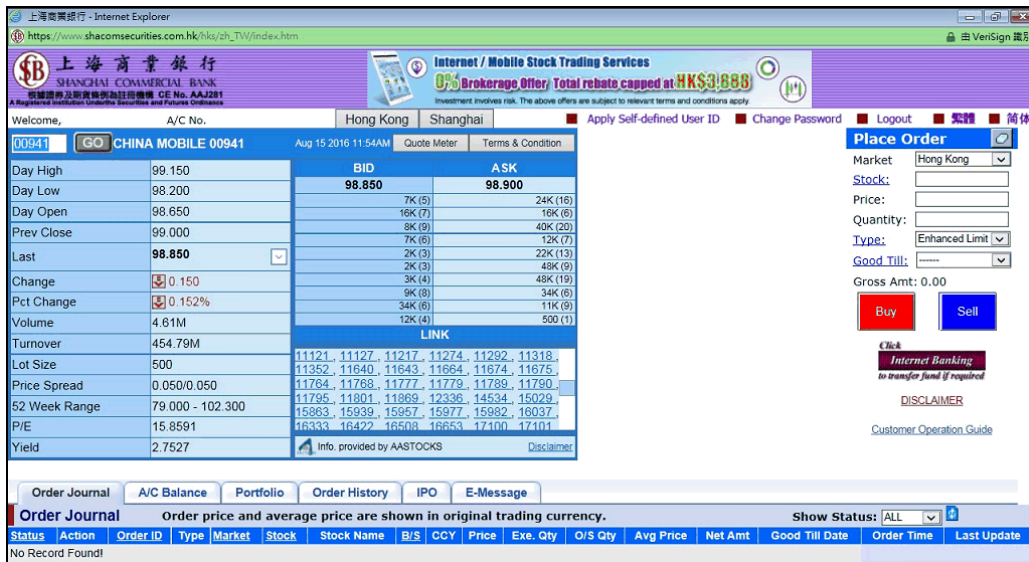
HSI	18926.94	4519.80	(-2.67%)	Turn	50.18B	HSIFSpot	18916	Dis	11	CCB	00939
Day High	4.520	BID	4.490	ASK	4.500	BID Queue	1.137M (31)	ASK Queue	1.755M (60)		
Day Low	4.420	Open	4.480	Prev Close	4.580	Normal	4.490	Change \$	-0.090	Change %	-1.97%
Volume	195.638M	Turnover	874.677M	Avg Price	4.4709	Transaction Log	14:15:18	3000	4.490	B	
IEP / IEV	1000	Lot Size	1000	Spread	0.010 / 0.010	52wk High	7.98	52wk Low	4.46	P/E Ratio	3.954
Yield	8.366%	Dividend	0.3756179	EPS	1.135589	Shares Issued	1,079,474M	Market Capital	1,079,474M	Currency	HKD

Order Journal A/C Balance Portfolio Order History IPO E-Message

Order Journal Order price and average price are shown in original trading currency. Show Status: ALL

Status	Action	Order ID	Type	Market	Stock	Stock Name	B/S	CCY	Price	Exe. Qty	O/S Qty	Avg Price	Net Amt	Good Till Date	Order Time	Last Update
CAN		49051717	At Auction Limit	HKEX	00939	CCB	Sell	HKD	4.510	0	0	0.0000	0.00	2016-01-19	14:10:34	14:11:33

- 5.5 Trading Floor Page with Real Time Snap Shot Stock Quote (Local Securities)



Internet / Mobile Stock Trading Services
0% Brokerage Offer / Total rebate capped at HK\$3,888

Quote Meter: CHINA MOBILE 00941

Day High	99.150	BID	98.850	ASK	98.900
Day Low	98.200	7K (5)		24K (16)	
Day Open	98.650	16K (7)		16K (6)	
Prev Close	99.000	8K (9)		40K (20)	
Last	98.850	7K (6)		12K (7)	
Change	0.150	2K (3)		22K (13)	
Pct Change	0.152%	2K (3)		48K (6)	
Volume	4.61M	3K (4)		48K (19)	
Turnover	454.79M	9K (8)		34K (6)	
Lot Size	500	34K (6)		11K (9)	
Price Spread	0.050/0.050	12K (4)		500 (1)	
52 Week Range	79.000 - 102.300	LINK			
P/E	15.8591	11121, 11127, 11217, 11274, 11292, 11318,			
Yield	2.7527	11352, 11640, 11643, 11664, 11674, 11675,			

Place Order Panel: Market: Hong Kong, Stock: [], Price: [], Quantity: [], Type: Enhanced Limit, Good Till: [], Gross Amt: 0.00

Trading Floor Page with Real Time Snap Shot Stock Quote (Eligible A shares under Shanghai-Hong Kong Stock Connect)



SPD BANK -- Real time 2016-02-03 14:36:47

Last Price (CNY)	16.520	Price Change	0.240	Bid	16.520	Day High	16.640	Open	16.600
PCT Change	1.432%	Ask	16.540	Day Low	16.450	Prev. Close	16.760		

Volume: 23.81M, Turnover: 393.52M, 52 Week Range: 20.120 - 11.910, Lot Size: 100, P/E: 6.5530, Market Capital: 308.16B, Limit Up: 18.440, Limit Down: 15.080

Transaction Log:

Buy	16.520 (16.800K)	Sell	16.540 (35.300K)	14.36	24.3K	16.52
	16.510 (111.300K)		16.550 (59.500K)	14.36	2.4K	16.54
	16.500 (122.800K)		16.560 (58.700K)	14.36	800	16.54
	16.490 (36.800K)		16.570 (93.700K)	14.36	300	16.51
	16.480 (58.500K)		16.580 (85.500K)	14.36	9.7K	16.54

Order Journal:

Status	Action	Order ID	Type	Market	Stock	Stock Name	B/S	CCY	Price	Exe. Qty	O/S Qty	Avg Price	Net Amt	Good Till Date	Order Time	Last Update
CAN		49061726	At Auction Limit	HKEX	00656	FOSUN INTL	Sell	HKD	9.960	0	0	0.0000	0.00	2016-01-19	14:35:33	14:35:45
CAN		49061723	At Auction Limit	HKEX	00656	FOSUN INTL	Sell	HKD	9.960	0	0	0.0000	0.00	2016-01-19	14:28:57	14:30:00
CAN		49061717	At Auction Limit	HKEX	00939	COB	Sell	HKD	4.510	0	0	0.0000	0.00	2016-01-19	14:10:34	14:11:33

5.6 New Order Placement

The Place Order Panel is on the right-hand side of the Trading Floor.



Place Order

Market:

Stock:

Price:

Quantity:

Type:

Good Till:

Gross Amt: 0.00

Click
Internet Banking
to transfer fund if required

DISCLAIMER

[Customer Operation Guide](#)

- (1) Enter the
 - (i) Stock code
 - (ii) Price: (No "\$" is required)
 - (iii) Quantity: (No "," is required)
 - (iv) Order Type:
 - a) Enhanced Limit Order or At Auction Limit Order (Local Securities)
 - b) Limit Order (Eligible A Shares under Shanghai-Hong Kong Stock Connect)
 - (v) Good Till: Select validity of order for up to 10 working days (Local Securities)

- (2) Order types are classified into At Auction Limit Order, Enhanced Limit Order and Limit Order:

Local Securities

- (i) At Auction Limit Order:

The order input period for At Auction Limit Orders is "Opening Call Auction Session" (9:00 am to 9:15 am) and "Closing Auction Session" (4:01 pm to 4:10 pm). All unexecuted At Auction Limit orders after "Pre-opening Session" will be converted to limit orders at the input limit price and carried forward to "Continuous Trading Session".

- (ii) Enhanced Limit Order:

The Enhanced Limit Order will be processed at "Continuous Trading Session". It will allow matching of up to maximum of ten successive price queues at a time, where the price of the trade generated is at or better than the limit price. Any unfilled quantity after matching will be stored in the system as a normal limit order at the input order price.

Eligible A Shares under Shanghai-Hong Kong Stock Connect

- (iii) Limit Order:
Limit order can be executed at the specified price or a better price. Unexecuted quantities will automatically queue at trading system.
- (3) For BUY order, click the 'Buy' button in the panel.
- (4) For SELL order, click the 'Sell' button in the panel.
- (5) An Order Confirmation Panel will appear.

Place Order-Buy	
Market:	Hong Kong
Stock:	00005
Name:	HSBC HOLDINGS
Price:	HKD 116.000
Quantity:	400
Type:	Enhanced Limit
Good Till:	-
Gross Amt:	HKD 46,400.00
<input type="button" value="Confirm"/> <input type="button" value="Back"/>	

- (6) After confirming the order details, you can click the 'Confirm' button to send.
- (7) The box of "Order Placed - Buy" or "Order Placed – Sell" showing an Order ID will be shown. You should check and confirm the order status of Stock Exchange submission via Order Journal. You are advised to remember the order ID for prompt enquiry and modification of your order.

Order Placed-Buy

Order ID: 48638082
 Market ID: Hong Kong
 Stock: 00005
 Name: HSBC HOLDINGS
 Price: HKD 116.000
 Quantity: 400
 Type: Enhanced Limit
 Good Till:
 Net Amt: HKD 46,566.57
 Remarks:

Note: Order price exceeds 90 spreads from Nominal Price or Previous Closing

[Back to Input Screen](#)

6. Account Balance

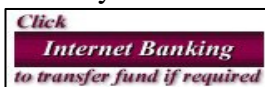
Order Journal	A/C Balance	Portfolio	Order History	IPO	E-Message
A/C Balance		Settlement A/C No: [REDACTED] CNY	Market: Shanghai		
Available Balance for Trading:	8,000,000.00	<p>1. Important Notice The mentioned data is for your reference only.</p> <p>2. Available Balance for Trading Includes available balance of designated bank account and all share overdraft facility.</p>			
Pending Settlement:	0.00				
Today Confirmed Buy:	0.00				
Today Confirmed Sell:	0.00				
Outstanding Buy Order:	0.00				
Market Value of Physical Stock Sales:	0.00				
Total Purchasing Power:	8,000,000.00				

By clicking the 'A/C Balance' button, you can enquire

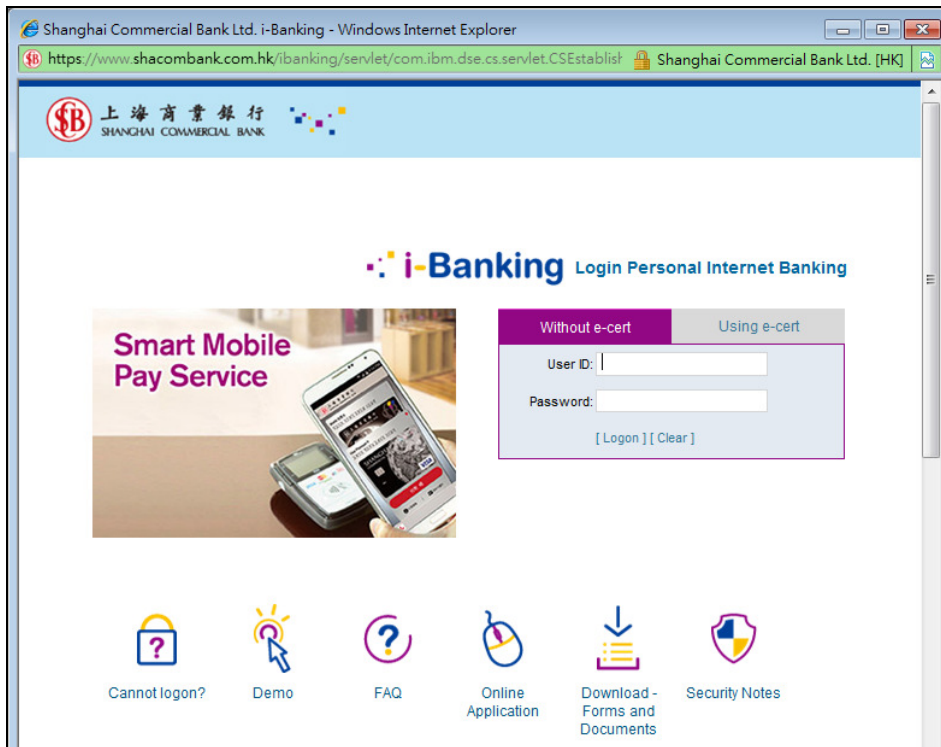
- (i) Available Balance for Trading (in Multi Currency)
- (ii) Pending Settlement
- (iii) Today Confirmed Buy
- (iv) Today Confirmed Sell
- (v) Outstanding Buy Order
- (vi) Market Value of Physical Stock Sales
- (vii) Total Purchasing Power

7. Fund Transfer

- (1) When you want to do fund transfer in our Bank, simply click the 'Internet Banking' button located below the "Place Order" panel.



- (2) A new page linked with our Internet Banking Website will be shown.
- (3) Key-in your i-Banking User ID and Password to access our Internet Banking Service.



8. Order Journal

At the bottom of the Trading Floor, you can find Order Journal as below.

Status	Action	Order ID	Type	Market	Stock	Stock Name	B/S	CCY	Price	Exe. Qty	O/S Qty	Avg Price	Net Amt	Good Till Date	Order Time	Last Update
Q	M	48803224	At Auction Limit	HKEX	01988	MINSHENG BANK	Sell	HKD	8.270	0	3,500	0.0000	28,813.77	2015-11-16	08:59:31	08:59:59

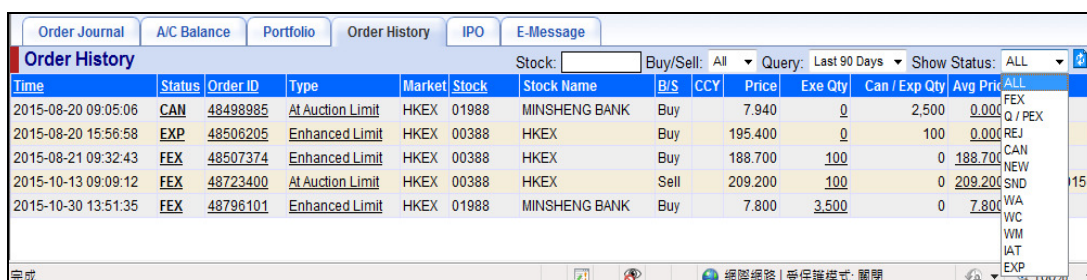
(1) Order Journal is a real time monitor of order status along with some order information. Any update on the order status will be broadcasted to the Order Journal.

(2) Different order statuses are listed below.



<u>Status</u>	<u>Meaning</u>
FEX	Fully executed
PEX	Partially filled
Q	Queued to SEHK's AMS
REJ	Order has been rejected
CAN	Order has been cancelled
NEW	New order waiting for SEHK's AMS queuing
SND	Sending to SEHK's AMS

WA	Waiting for approval (For manned channel order)
WC	Waiting Cancel
WM	Waiting Modify
IAT	Inactive order
EXP	Expired order
PXP	Partially filled, the rest quantities will be cancelled

(3) You can simply click “Show Status” to monitor a particular order status in the Order Journal.



Time	Status	Order ID	Type	Market	Stock	Stock Name	B/S	CCY	Price	Exe Qty	Can / Exp Qty	Avg Price
2015-08-20 09:05:06	CAN	48498985	At Auction Limit	HKEX	01988	MINSHENG BANK	Buy		7.940	0	2,500	0.000
2015-08-20 15:56:58	EXP	48506205	Enhanced Limit	HKEX	00388	HKEX	Buy		195.400	0	100	0.000
2015-08-21 09:32:43	FEX	48507374	Enhanced Limit	HKEX	00388	HKEX	Buy		188.700	100	0	188.700
2015-10-13 09:09:12	FEX	48723400	At Auction Limit	HKEX	00388	HKEX	Sell		209.200	100	0	209.200
2015-10-30 13:51:35	FEX	48796101	Enhanced Limit	HKEX	01988	MINSHENG BANK	Buy		7.800	3,500	0	7.800

(4) In the Order Journal, you can directly click  for modification and  for cancellation.

9. Order Modification (Applicable to Local Securities only)

(1) The following order particulars can be modified:

- (a) Price: Increase or Decrease
- (b) Quantity: Increase or Decrease, but the new quantity must not be greater than the original quantity if the price does not change.

(2) You need to enter new stock price and quantity (new quantity must include executed quantity, if any) in the Modify Order Panel. If you have confirmed that the order details are correct, you can submit the change by clicking the ‘Confirm’ Button.

Modify Order-Buy

Order ID: 48638948
Market: Hong Kong
Stock: 00005
Name: HSBC HOLDINGS
Price: HKD 70.000
New Price:
Quantity: 400
New Qty:
(New Qty should include Exe.Qty)
Type: Enhanced Limit
Good Till: 2016-01-15
Gross Amt: HKD 28,400.00

- (3) If the request is accepted by the system, the “Modify Placed - Buy” or “Modify Placed – Sell” confirmation box will be shown. You should check the Stock Exchange acceptance and final order status in Order Journal.

Modify Placed-Buy

Order ID: 48638948
Market: Hong Kong
Stock: 00005
Name: HSBC HOLDINGS
Price: HKD 71.000
Quantity: 400
Type: Enhanced Limit
Good Till: 2016-01-15

10. Order Cancellation

- (1) This function can only be used to cancel a fully or partially un-executed order.
- (2) The Cancel Order Panel will be shown. You can submit the cancel request by clicking the ‘Confirm’ Button.

Cancel Order-Buy

Order ID: 48638923
 Market: Hong Kong
 Stock: 00005
 Name: HSBC HOLDINGS
 Price: HKD 70.000
 Exe. QTY: 0
 O/S QTY: 400
 Type: At Auction Limit
 Good Till: 2016-01-15

- (3) If the request is accepted by the system, the “Cancel Placed - Buy” or “Cancel Placed – Sell” confirmation box will be shown. You should check the Stock Exchange acceptance and final order status in Order Journal.

Cancel Placed-Buy

Order ID: 48638923
 Market: Hong Kong
 Stock: 00005
 Name: HSBC HOLDINGS
 Price: HKD 70.000
 Exe. QTY: 0
 O/S QTY: 400
 Type: At Auction Limit
 Good Till: 2016-01-15

11. Portfolio


- (1) In the Portfolio page, you can check your stock portfolio and place a new order of your stocks. Click to enter into Portfolio page.

Portfolio Summary												
*The value of "Pending Buy" order(s) is included in "Total Portfolio Value" (for reference only). *The value is calculated by Previous Closing Price.										Total Portfolio Value*: 2,116,432.90		<input type="button" value="Print"/>
Market	CCY	Stock	Stock Name	Ledger Bal.	Today Exe. Buy	Today Exe. Sell	Pending Buy	Outstanding Sell	Tradable	Hold	Market Value*	Action
HKEX	HKD	00005	HSBC HOLDINGS	2,400	0	0	0	0	2,400	0	321,120.00	NEW
HKEX	HKD	00008	PCCW	4,000	0	0	0	0	4,000	0	34,000.00	NEW
HKEX	HKD	00939	CCB	3,000	0	0	0	0	3,000	0	540,000.00	NEW
HKEX	CNY	87001	HUI XIAN REIT22	101,183	0	0	0	0	101,183	0	1,011,830.00	NEW
MAMK	CNY	600601	CC E2E 600601	208	0	0	0	0	208	0	1,707.68	NEW


- (2) To create a new order, you can click the “NEW” Button at the “Action” column. This

will direct you to the New Order Panel and the selected stock code will be entered automatically. Then you can enter stock price, quantity and click the “Buy” / “Sell” button to place a new order.

12. Order History

- Click ‘Order History’  to check all of your trading records in the previous 90 calendar days.

Time	Status	Order ID	Type	Market	Stock	Stock Name	B/S	CCY	Price	Exe Qty	Can / Exp Qty	Avg Price
2015-08-20 09:05:06	CAN	48498985	At Auction Limit	HKEX	01988	MINSHENG BANK	Buy		7.940	0	2,500	0.000
2015-08-20 15:56:58	EXP	48506205	Enhanced Limit	HKEX	00388	HKEX	Buy		195.400	0	100	0.000
2015-08-21 09:32:43	FEX	48507374	Enhanced Limit	HKEX	00388	HKEX	Buy		188.700	100	0	188.700
2015-10-13 09:09:12	FEX	48723400	At Auction Limit	HKEX	00388	HKEX	Sell		209.200	100	0	209.200
2015-10-30 13:51:35	FEX	48796101	Enhanced Limit	HKEX	01988	MINSHENG BANK	Buy		7.800	3,500	0	7.800

- You can also search your order history by entering corresponding parameters, such as stock code, Buy/Sell, trading period or order status in the Order History page. Then click ‘refresh’  Button to get all transactions and trading records for your checking.


13. IPO

- Click  to check out the Hottest IPOs 、Alloted IPOs and IPO Application History.

Listing Date	Closing Date for Online IPO Application	Stock Code	Stock Name	CCY	
26/11/2015	18/11/2015	06865	FLAT GLASS	HKD	Apply Now
25/11/2015	17/11/2015	01538	ZHONG AO HOME	HKD	Apply Now
20/11/2015	12/11/2015	02120	KN HOSPITAL	HKD	Closed
20/11/2015	12/11/2015	03799	DALI FOODS	HKD	Closed

Listing Date	IPO Closing Date	Stock Code	Stock Name	CCY	Listing Price
11/11/2015	04/11/2015	01556	CHINNEY KW	HKD	0.590
12/11/2015	04/11/2015	01452	DENOX ENV	HKD	2.100
09/11/2015	30/10/2015	03908	CICC	HKD	10.280

Stock Code	Stock Name	Applied Quantity	CCY	Offering Price	Total Amount of Payment	Application Date	Ref. No.	Status	Allotment Status
06886	HTSC	2,000	HKD	20.680 - 24.800	50,199.82	20/05/2015	10041810	Completed	Enquiry
01776	GF SEC	800	HKD	15.650 - 18.850	15,331.96	26/03/2015	10038105	Completed	Enquiry

- Click  to subscribe your interested IPO.
- After reading the profile of the IPO, click “Next” to read the terms for eIPO subscription service. If you understand and agree with it, click on “I Agree”.

welcome, ID: 33000140299, A/C No: 33000140299.

e. any action by the Bank taken in good faith to comply with any law, regulatory requirement, or order or direction of any court or tribunal relating to the instructions.

17. The Bank and/or the Nominee are entitled to receive or retain for their benefit any commission, rebate, fee, brokerage, costs, expenses or otherwise in connection with the application for securities through the Service without account to the Customer, as if they are received or retained by them under the authorization of the Customer. The Customer agrees that the Bank and/or the Nominee shall not be required to disclose to the Customer any fee arrangements between the Bank and/or the Nominee and the issuer or any other parties involved in the relevant Public Offer as may be required under applicable laws and regulations.

18. Notwithstanding anything contained herein, the Bank reserve the right not to make available the Service to any Public Offer and not to submit any application on behalf of the Customer without giving any reasons. The Bank may amend these terms and conditions (including any fees charged by the Bank) for the Service from time to time. Such amendments shall be binding on the Customer if he/she continues to use the Service on or after the effective date of such amendments.

19. In the event of any discrepancy between the English and Chinese versions of these terms and conditions, the English version shall prevail.

20. These terms and conditions shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region.

- (4) Check the boxes if you confirm with the specified items. Click “Continue” to go to the next step.

Prior to your application, you hereby confirm the following:

You have been provided with sufficient opportunity to access the [prospectus](#) and the information disclosed in the prospectus prior to making an investment decision and should make the investment decision based on the prospectus rather than on information, particularly promotional or marketing materials and media coverage that may accompany the offering.

You have read and agree to the terms and conditions contained in the prospectus of the company.

You have read and agree to be bound by the Terms and Conditions for Securities Services and the above-mentioned terms and conditions.

You confirm that you are eligible to apply for the securities.

- (5) Choose the number of shares for application from the pull-down menu.

IPO Application - IPO Application Details	
Stock Code:	56789
Stock Name:	ABC CO LTD
Offer Price (per Share):	1.000 - 2.000
Remarks:	
<input checked="" type="radio"/> Input of Default Shares number	
No. of Shares Applied For:	<input type="text" value="10,000"/>
Amount for Application: HK\$20,201.80	
<input type="button" value="Submit"/> <input type="button" value="Clear"/> <input type="button" value="Cancel"/>	


- (6) An Order Confirmation Panel will appear.

- (7) After confirming the order details are correct, you can click the “submit” button to send

the order.

- (8) Click  to check your IPO allotment result.

14. E-Messages

- (1) When your placed order has been fully executed, rejected, cancelled or expired, there will be either an email sent to your provided email address or a SMS order confirmation sent to your pre-registered local mobile phone number.
- (2) You can also click 'E- Messages'  to check out the same messages.

Order Journal		A/C Balance		Portfolio		Order History		IPO		E-Message	
E-Message Print											
Time	Message										
2015-11-13 16:04:45	證券戶口號碼 [REDACTED] 日期: 2015/11/13 16:04:45 香港時間閣下以單價HKD8.270沽出民生銀行 (股票代號: 01988) 的到期前有效交易指示 (交易編號 48803224) 未能全部或部分成交, 該指示將於下一個交易日被處理。Securities Account No. [REDACTED] Date: 2015/11/13 16:04:45 HK Time Your Good Till Date Order instruction (Order No. 48803224) to SELL MINSHENG BANK (Stock Code: 01988) at PRICE: HKD8.270 is not fully or partially executed, your instruction will be processed on the next trading day.										
2015-11-12 16:02:56	證券戶口號碼 [REDACTED] 日期: 2015/11/12 16:02:56 香港時間閣下以單價HKD8.270沽出民生銀行 (股票代號: 01988) 的到期前有效交易指示 (交易編號 48803224) 未能全部或部分成交, 該指示將於下一個交易日被處理。Securities Account No. [REDACTED] Date: 2015/11/12 16:02:56 HK Time Your Good Till Date Order instruction (Order No. 48803224) to SELL MINSHENG BANK (Stock Code: 01988) at PRICE: HKD8.270 is not fully or partially executed, your instruction will be processed on the next trading day.										
2015-11-11 16:02:29	證券戶口號碼 [REDACTED] 日期: 2015/11/11 16:02:29 香港時間閣下以單價HKD8.270沽出民生銀行 (股票代號: 01988) 的到期前有效交易指示 (交易編號 48803224) 未能全部或部分成交, 該指示將於下一個交易日被處理。Securities Account No. [REDACTED] Date: 2015/11/11 16:02:29 HK Time Your Good Till Date Order instruction (Order No. 48803224) to SELL MINSHENG BANK (Stock Code: 01988) at PRICE: HKD8.270 is not fully or partially executed, your instruction will be processed on the next trading day.										

15. Other Functions

15.1 Related Stock Search:

Clicking the Stock in the Place Order Panel, then input Stock Code or Stock Name, you can search related Stock.

Place Order 

Market:

Stock:

Price:

Quantity:

Type:

Good Till:

Gross Amt: 0.00

Click Internet Banking to transfer fund if required

DISCLAIMER

[Customer Operation Guide](#)

Stock	Stock Name
00001	CHEUNG KONG
00088	TAI CHEUNG HOLD
00112	CHI CHEUNG
00199	CHEUNG TAI HONG

15.2 Description on Order Type:

Clicking Order Type in the Place Order Panel to access the description of Enhanced Limit Order and At Auction Limit Order.

(Local Securities)

Enhanced limit order:

Enhanced limit order will allow matching of up to ten price queues at a time. The ask order price of Enhanced limit order can be inputted at nine spreads lower than the current bid or the bid order price can be inputted at nine spreads higher than current ask price. Any unfilled quantity of Enhanced limit order after matching will be stored in the System as a normal limit order at the input order price.

At-auction Limit Order:

An at-auction limit order is an order with a specified price. An at-auction limit order with a specified price at or more competitive than the final IEP (in case of buying, the specified price is equal to or higher than the final IEP, or in case of selling, the specified price is equal to or lower than the final IEP) may be matched at the final IEP subject to availability of eligible matching order on the opposite side. An at-auction limit order will be matched in price and time priority at the final IEP. No at-auction limit order will be matched at a price worse than the final IEP. If an IEP cannot be determined during the Closing Auction Session, the Reference Price will serve as the price for matching. The matching of applicable at-auction orders and at-auction limit orders will occur at the Reference Price instead and the matching mechanism will be same as matching at the IEP.

Any outstanding at-auction limit orders at the end of the Pre-opening Session will be carried forward to the Continuous Trading Session and treated as limit orders provided that the specified price of that at-auction limit order does not deviate 9 times or more from the nominal price. Such orders will be put in the price queue of the input price.

For Pre-opening Auction Session, the order input period is 9:00 a.m. to 9:15 a.m.

For Closing Auction Session, the order input period is 4:01 p.m. to market close of Random Closing Period (during 4:08 p.m. to 4:10 p.m.)

(Eligible A-Shares under Shanghai-Hong Kong Stock Connect)

Limit order:

Limit order can be executed at the specified price or a better price. Orders that are not executed during “Opening Call Auction Session” will automatically enter “Continuous

Auction Session”.

16 Order Journal:

Order Journal																
Order price and average price are shown in original trading currency.																
Status	Action	Order ID	Type	Market	Stock	Stock Name	B/S	CCY	Price	Exe. Qty	O/S Qty	Avg Price	Net Amt	Good Till Date	Order Time	Last Update
Q		<u>48803224</u>	<u>At Auction Limit</u>	HKEX	01988	MINSHENG BANK	Sell	HKD	8.270	0	3,500	0.0000	28,813.77	2015-11-16	08:59:31	08:59:59

16.1 Order Sorting:

For the underlined title, including Status, Order ID, Stock Code and Buy/Sell, you can click the underlined wordings, the system will sort the orders accordingly.

16.2 Order Status Description:

When you click the underlined wordings in the Order Journal, like NEW, Q, PEX, there will be a popup box showing the meaning of different status for your reference.

Status:	Description
NEW	-- New order waiting for SEHK's AMS queuing
CAN	-- Order has been cancelled
REJ	-- Order has been rejected
WA	-- Waiting for approval (Not applicable)
FEX	-- Fully executed
PEX	-- Partially Filled
Q	-- Queued to SEHK's AMS
WC	-- Waiting Cancel
WM	-- Waiting Modify
IAT	-- Inactive
SND	-- Sending
EXP	-- Expired

17 Order History

Order History													
Stock: <input type="text"/> Buy/Sell: All Query: Last 90 Days Show Status: ALL													
Time	Status	Order ID	Type	Market	Stock	Stock Name	B/S	CCY	Price	Exe Qty	Can / Exp Qty	Avg Price	ALL
2015-08-20 09:05:06	CAN	48498985	<u>At Auction Limit</u>	HKEX	01988	MINSHENG BANK	Buy		7.940	0	2,500	0.000	FEX Q / PEX
2015-08-20 15:56:58	EXP	48506205	<u>Enhanced Limit</u>	HKEX	00388	HKEX	Buy		195.400	0	100	0.000	REJ
2015-08-21 09:32:43	FEX	48507374	<u>Enhanced Limit</u>	HKEX	00388	HKEX	Buy		188.700	100	0	188.700	CAN NEW
2015-10-13 09:09:12	FEX	48723400	<u>At Auction Limit</u>	HKEX	00388	HKEX	Sell		209.200	100	0	209.200	SND
2015-10-30 13:51:35	FEX	48796101	<u>Enhanced Limit</u>	HKEX	01988	MINSHENG BANK	Buy		7.800	3,500	0	7.800	WA WC WM IAT EXP

17.1 Order Sorting:

For the underlined title, including Time, Status, Order ID, Stock and B/S, you can click the underlined wordings and the system will sort the orders accordingly.


17.2 Order Execution Enquiry:

Under each transaction, you can enquire execution details by clicking the underlined Executed number of shares and Average Price.

17.3 Order Log Enquiry:

Click the underlined Order ID, you can enquire the order details.

18. Logout

To close the current trading session, click 'Logout' button  located at the top right-hand corner of the page. For security reason, you are advised to logout promptly when you have finished using our Internet Stock Trading service.

19. Frequently Asked Questions 'FAQs'

For more information, please read the FAQs in our website or call our customer service hotline on 2818 0282.