



**Declaration by the staff of Shanghai Commercial Bank Limited**

I declare that:

- ♦ the risk disclosure statements set out in Part 7 (Risk Disclosure Statements) of the Terms and Conditions of the Master Agreement have been provided to the Customer in English or Chinese (as the case may be), being the language of the Customer's choice; and
- ♦ I have invited the Customer to read the said risk disclosure statements, ask questions and take independent professional advice if the Customer so wishes.

\_\_\_\_\_  
 Name (in block letters):  
 HKMA Registration No.:  
 E/S Number:

Date:

**Schedule 1**  
**Other Instructions**

*(Please put '✓' in  where applicable)*

**1. Consent to Provide Deposit Information**

- I/We hereby consent that the Bank's staff in the designated investment or wealth management service areas can access and utilize my/our deposit information for providing investment and wealth management services to me/us. Such consent shall be applicable to all of my/our securities accounts held or to be held with the Bank.

Client Signature / Authorized Signature\*

Name:

Client Signature / Authorized Signature\*

Name:

- I/We DO NOT consent to the access and utilization of my/our deposit information by the Bank's staff in the designated investment or wealth management service areas. Such refusal shall be applicable to all of my/our securities accounts held or to be held with the Bank.

**2. Permanent Election for Receipt of Dividends**

Until further notice in writing, I/we hereby instruct the Bank to collect all dividends in respect of all shares held by the Bank for my/our account as follows:  in CASH  in SCRIP

**3. Application for Personal Identification Number for the Phone-in Trading Service and Login Password for the Internet Stock Trading Service**

For Phone-in Trading Service:

- I/We hereby request and instruct the Bank to issue me/us a Personal Identification Number (PIN) and acknowledge receipt of the PIN advice (Serial Number: \_\_\_\_\_) for Phone-in Stock Trading service.

For Internet Stock Trading Service:

- I/We hereby request and instruct the Bank to issue me/us a login password for using the Internet Stock Trading Service.

**4. Real Time Quote (Teletext) Service**

- I/We wish to subscribe for Real Time Quote (Teletext) Service provided by the Bank's agent with effect from \_\_\_\_\_. Please debit my/our Hong Kong Dollar Designated Account with the monthly subscription fee.

***(IMPORTANT: If customer wants to terminate Real Time Quote (Teletext) Service, he must notify the Bank before 21st of each month. Otherwise next month's subscription fee will be charged)***

- I/We DO NOT wish to subscribe for Real Time Quote (Teletext) Service.

**5. SMS Notification Service**

- I/We wish to subscribe for the SMS Notification Service and confirm that I/we have read and understood the enclosed terms and conditions of SMS Notification Service and agree to be bound by them. Please send the SMS to my/ our / authorized order placer's\* local mobile phone number (Note<sup>3</sup>): \_\_\_\_\_

Language selected:  Traditional Chinese  English

**6. Election for Receipt of Corporate Communications for Securities Held**

- I/We wish to receive Corporate Communications for Securities that the Bank is holding on my/our behalf in the CCASS Depository. The Bank is hereby authorized to disclose my/our name(s) and correspondence address to the Hong Kong Securities Clearing Co. Ltd. and/or relevant registrars of the listed securities. I/We undertake to advise the Bank immediately of any change of such particulars and acknowledge that the Bank's sole duty in this respect is to dispatch my/our name(s) and correspondence address to the aforesaid entities.

I/We hereby undertake to notify the Bank immediately regarding any document(s) under the circumstances that I/we receive the documents relevant to Annual General Meetings or corporate actions that require my/our response and I/we opt to make such response.

- I/We DO NOT wish to receive Corporate Communications for Securities.

<sup>1</sup> Master account must be either HK dollar Designated Account or Foreign Currency Designated Account.

<sup>2</sup> All Customers (including all joint Customers / all Partners) must sign. For corporate customers, this Securities Account Mandate must be signed by the authorized signatory(s).

<sup>3</sup> Please note that the registration of the local mobile phone number for the SMS Notification Service is limited to one valid local mobile phone number for each securities account (including joint account), which can be that of any one of the account holders or the authorized order placer(s).

<b>DOCUMENTS TO BE DELIVERED TO CUSTOMER</b>	<b>DELIVERED</b>
Photocopies of signed Securities Account Mandate	
Terms and Conditions for Securities Services	
Circular to Customers relating to the Personal Data (Privacy) Ordinance	
Service Charges for Securities Services	
Other(s) :	

Referee :		Relationship with the Applicant(s) :			
Additional Information (Please report any relevant information) :					
Prepared	Signature Verified by	Officer (HKMA Reg. No: _____ )	Manager (HKMA Reg. No: _____ )	Special Account	
				<input type="checkbox"/> Employee <input type="checkbox"/> Retired Employee <input type="checkbox"/> Relevant Individual	<input type="checkbox"/> Professional Investor <input type="checkbox"/> Discretionary