

Please fill in this form, sign and fax to (852) 3525 8455 or email to fundwithdraw.group@swhyhk.com

FUND WITHDRAWAL / TRANSFER / FOREIGN EXCHANGE INSTRUCTION

To: Shenwan Hongyuan Securities (H.K) Ltd (Securities A/C) Shenwan Hongyuan Futures (H.K) Ltd (Futures A/C)
 Shenwan Hongyuan Securities (H.K.) Ltd (Stock Options A/C) Others: _____
 (Collectively "the Company")

Account Name:	Account Number:
Account Executive Name:	Effective Date:

Please debit my / our account with your company and make payment with details as follows:

Withdrawal Balance (Currency: _____)

Fund Withdrawal / Transfer (Currency: _____) Amount: _____

Payment Method (Please choose one below)

Transfer to Securities A/C, A/C Number: _____

Transfer to Securities Stock Options A/C, A/C Number: _____

Transfer to Futures A/C, A/C Number: _____

Deposit to client's designated bank account registered with the Company and choose to deposit the funds through the following mean. (Please select one of the following and ✓ the appropriate box)

By Local Transfer (For HKD / USD / CNY only)

By Telegraphic Transfer/Express Transfer (CHATS) *

Deposit to other receiving bank # and choose to deposit the funds through the following mean. (Please select one of the following and ✓ the appropriate box)

By Local Transfer (For HKD / USD / CNY only)

By Telegraphic Transfer/Express Transfer (CHATS) *

Bank Name : _____ (Must fill in)

Bank Account Number : _____ (Must fill in)

Bank Details and Address (if applicable) : _____

Update above receiving bank to be the designated bank account. Please provide supporting documents for the designated registered bank account, such as bank statements. #

If the change of information involves (i) change/addition of jurisdiction which is inconsistent with declared tax residence or (ii) location of bank (exclude Hong Kong) is different from client's nationality, address or place of operation, please complete "Remark" for reason of inconsistency and "Updating Tax Residency Information"/ Form W8 / Form W9 (if applicable).

* TT/Express Transfer (CHATS) Charges is required # Please provide supporting documents such as bank statements.

Please exchange the foreign currency as follows:

From Currency : _____ Amount : _____ Exchange to

Account Number : _____ Currency : _____ Amount : _____

I / We confirm that, in consideration of the Company agreeing to accept my / our instructions to issue cheque(s) / make payment / exchange foreign currency, I / We hereby confirm, agree and undertake to indemnify and keep the Company indemnified against all claims, losses and expenses which shall arise either directly or indirectly out of or in connection with the Company accepting my / our instruction and acting thereon. I / We hereby confirm and agree that the Company does not obtain any receipt from any party and the Company I exonerated from all liability for not doing so. Also, I / We acknowledged that I / we have read, understand and agree to abide by the Important Notes printed overleaf.

Signature of client(s) (with company chop where appropriate)		Remark(if):
Credit Approval (For Internal Use Only)		Fund Withdrawal / Designated Bank Approval (For Internal Use only)
When account turns into debit balance after the above withdrawal, AE must sign on this form.		Approval for high ML/TF risk client adding designated bank:
Request by AE: _____ Name: _____		RO Approval: _____ Name: _____
RO Approval: _____ Name: _____		Head of Compliance Approval: _____ Name: _____
Cheque Number:	Authorized by:	Withdrawal Amount (Equivalent of HKD) : Over 8M
		Requested by: _____ Name: _____
		Approver: _____ Name: _____
		Approver: _____ Name: _____
Documentation Control Team Checking (For Internal Use Only)		
1. Inconsistency is noted from location of bank (exclude Hong Kong) and client's nationality, address, place of operation or declared tax residence:		<input type="checkbox"/> No <input type="checkbox"/> Yes, check if "Remark" and/or relevant forms are completed
2. Total no. of registered bank is within limit:		<input type="checkbox"/> Yes <input type="checkbox"/> No, Business Unit to follow up
S.V.	Input by	Approved by

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2. The cut-off time of current day fund withdrawal instruction is 12:00 noon, Hong Kong Time on each business day (Not include JPY, AUD, NZD and SGD). Instruction received after the cut-off time will be processed on the next business day. Instruction received on Saturday, Sunday and Hong Kong Public Holidays will be processed on the next business day.
3. For fund withdrawal instruction of JPY, AUD, NZD and SGD, client must submit the instruction to the Company at least one business day before the instruction's effective date. Client must submit the instruction to the Company during the business hour (Monday to Friday, 9:00 a.m. to 4:00 p.m.) if the instruction is to be processed on an effective day. Otherwise, the instruction will be processed on the next business day of the effective date.
4. Upon receipt of your instructions for the foreign currency exchange, the Company confirms the instructions with the client and exchange rate (at the fair exchange rate applicable on the date of the currency exchange) before the instruction to be processed.
5. The cut-off time of current day foreign currency exchange is 2:00 p.m., Hong Kong Time on each business day (For currency exchange between HKD/USD, USD/CNY, HKD/CNY). The cut-off time of current day foreign currency exchange for other currencies is 10:00 a.m. Instruction received after the cut-off time will be processed on the next business day. Foreign currency exchange withdrawal instruction received on Saturday, Sunday and Hong Kong Public Holidays will be processed on the next business day.
6. In case the currency cannot be processed on the effective date due to some other reasons, the fund withdrawal / foreign currency exchange instruction will be processed on the next business day.
7. The Company shall not be liable for:
 - (a) any loss or damage due to delay in payment, in giving advice of payment, or,
 - (b) the actions or non-action of the remitting bank or correspondent bank,
 - (c) declared or undeclared war, censorship, insurrection, civil commotion, or any law, decree, regulation, control restriction or other act of a domestic or of the foreign government or other persons or groups exercising governmental powers, whether de jure or de facto, or,
 - (d) any act or event beyond the Company's control,
8. Payment of the transferred funds is subject to the rules and regulations of the country where the payment is to be made. In view of the prevalence of exchange restrictions in some countries and regions, the liability of the Company with respect to the payment of the transferred funds shall not exceed in any case the extent to which payment is allowed in the currency in which the transferred funds are to be sent under any government or other restrictions existing in the place of payment or principal financial centre of the relevant currency, at the time the payment instructions are received or are to be carried out. Neither the Company nor the remitting Bank / correspondent bank shall be liable for any delay or loss caused by or as a result at any Act or Order or any Government or Government Agency or the failure of any clearing, settlement or payment system or any other causes whatsoever.
9. The Company may provide the client's personal particulars in its record to the beneficiary's bank. The client shall ensure that its/his/her personal particulars in the record of the Company is up to date and shall immediately advise the Company in writing of any change of personal particulars. The client accepts the sole responsibility for all the consequences of failing to ensure the Company holds its/his/her up to date personal particulars.
10. All payment instructions should be checked carefully by the client in each case. Once submitted, they are final and binding and cannot be varied or withdrawn. Any request for amendment or cancellation must be made by contact its/his/her Account Executive or the Company's Customer Service Hotline (+852) 2250 8298. The Company cannot guarantee the request for amendment or cancellation can be processed.
11. The Company is entitled to reimbursement from the clients for all expenses and liabilities of the Company, the remitting Bank and the correspondent bank.
12. The Company does not guarantee that any remittance processed by telegraphic transfer can be successfully remitted to the beneficiary's bank account and do not need to explain to the clients the reasons for the failure or delay of the remittance. All related risks are to be borne by the clients.
13. The relevant terms and conditions applicable to the client's account(s) with the Company should also apply to this application form.