

CMB Wing Lung Automated Securities Services User Guide

CMB Wing Lung Automated Securities Services Trading Hotline : 2928 6868

Step 1 : Select Language

1 Cantonese **3** Putonghua

Step 2 : Log in

Enter **Securities a/c No. / Consolidated a/c No.** **Phone Banking Consolidated Pin**

Step 3 : Select Service

1 Securities Trading¹

Buy **1**>**Stock Code** **#**>**Quantity** **#**>**Price** **#**

Sell **2**>**Stock Code** **#**>**Quantity** **#**>**Price** **#**

2 Short Cut Trading²

Buy **1** **#** **Stock Code** **#** **Quantity** **#** **Price** **#** **#**

Sell **2** **#** **Stock Code** **#** **Quantity** **#** **Price** **#** **#**

3 Auction Session Trading³

Buy (At-auction order) **1** >**Stock Code** **#**>**Quantity** **#**>**1**

(At-auction limit order) **1** >**Stock Code** **#**>**Quantity** **#**>**2**>**Price** **#**

Sell (At-auction order) **2** >**Stock Code** **#**>**Quantity** **#**>**1**

(At-auction limit order) **2** >**Stock Code** **#**>**Quantity** **#**>**2**>**Price** **#**

4 Order Status Enquiry⁴

Order Number Enquiry **1**>**Stock Code** **#**>**Select Order Placement Date**

Order Details Enquiry **2**>**Order No.**

5 Order Amendment⁵

Order No.>**Quantity** **#**>**Price** **#**

6 Order Cancellation⁶

Order No.

7 Securities Account Margin Transfer (HKD only)⁷

8 Other Services

1 Change of Phone Banking Consolidated Pin

Contact Customer Service Representative

> Please wait for the system instructions before entering next function key.

CMB Wing Lung Automated Securities Services Enquiry Hotline : 2928 6828

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1 Stock Price Enquiry⁸ # # # #

2 Account Balance Enquiry

Securities a/c Balance Enquiry > > # # #
 (Specific Stock Balance)⁹ # # #

(Overall Stock Balance)¹⁰ >

Margin Balance Enquiry¹¹ >

Settlement a/c Balance Enquiry¹²

3 Securities Savings Scheme Enquiry¹³

8 Other Services Change of Phone Banking Consolidated PIN

Contact Customer Service Representative

> Please wait for the system instructions before entering next function key.

Service Hours

24 Hours (Securities Account transfer instructions can be conducted every day, with the cut-off time at 6:00p.m. from Monday to Saturday. Securities Account transfer instructions given after the cut-off time will be handled on the next working day.

Transaction Limit

Securities Trading

Maximum Limit per HK Stock Transaction : HKD equivalent 100,000,000

Daily Transaction Limit : HKD equivalent 500,000,000

Note: Daily Transaction limit is the summation of the considerations for all buy orders in all markets (executed and non-executed) plus the total amount of all sell orders in all markets (executed and non-executed) on the same day. If your transaction exceeds the above-mentioned limit, please place your order at Securities Service Center at head office and designated branches of the Bank or through Manned Securities Services Trading Hotline.

Margin Transfer

Maximum Limit per Transfer : HKD equivalent 999,999,999

Daily Cycle Limit : HKD equivalent 999,999,999(for all trading channels)

Note: CMB Wing Lung Automated Securities Services accept HKD transfer only.

Notes:

1.
 - Applicable to Enhanced Limit Orders (for trading shares in board lot or its multiple and selling special lots(share quantity consists of board lots and odds lot) and Market Orders (for selling Odd lots only)
 - Enter Stock Code, Quantity and Price in sequence as instructed and enter “ * ” for decimal point.
 - For selling odd lots, price input is not required
 - After confirmation, please jot down the “Order Number” for future enquiry.
 - CMB Wing Lung Automated Securities Services only accept trading and enquiry of securities listed in the Hong Kong Stock Exchange and settled in HKD and RMB and USD.
 - Trading of SSE /SZSE securities can be conducted through Securities Service Center at head office and designated branches of the Bank by filling in securities trading order form, calling Manned Securities Services Trading Hotline, CMB Wing Lung NET Securities Services or CMB Wing Lung Bank Mobile Application for order placement.
 - Trading of United States and Singapore Securities can be conducted through Securities Service Center at head office and designated branches of the Bank by filling in securities trading order form, calling Manned Securities Services Trading Hotline or CMB Wing Lung NET Securities Services for order placement.
 - Trading of other global securities can be conducted through other trading channels (i.e. visit Securities Service Center at head office and designated branches of the Bank or calling Manned Securities Services Trading Hotline)
2.
 - Example: If you want to buy 500 shares of China Merchants Bank (03968) at \$14.98, you should enter 1#3968#500#14*98##
 - Applicable to Enhanced Limit Orders only
 - For trading shares in board lot or its multiple only
 - Enter “ * ” for decimal point
 - After confirmation, please jot down the “Order Number” for future enquiry.
3.
 - Applicable to At-Auction Orders and At-Auction Limit Orders only
 - For trading shares in board lot or its multiple only
 - Enter “ * ” for decimal point
 - After confirmation, please jot down the “Order Number” for future enquiry.
4.
 - Order number of the past 5 calendar days are available
 - Order details of the past 60 calendar days are available
5.
 - Only quantity and price can be amended

- For Market Orders, only quantity can be amended
 - Amendment to quantity is not allowed if the intended amendment is (a) smaller than the number of shares already executed or (b) greater than the number of shares placed in the latest instructions
 - Example: If the latest instruction is to buy 5,000 shares of China Merchants Bank (03968) at \$14.98 and 3,000 shares have been executed, the quantity entered should be between 3,000 to 5,000 inclusive.
 - Case 1 : amended quantity = 2,000 shares → Invalid quantity because amended quantity 2,000 shares < executed quantity 3,000 shares
 - Case 2 : amended quantity = 3,000 shares → Invalid quantity because amended quantity 3,000 shares = executed quantity 3,000 shares
 - Case 3 : amended quantity = 4,000 shares and amended price = \$14.76; → latest Order Status: already executed 3,000 shares at \$14.98 and therefore your instruction is actually to buy outstanding 1,000 shares at \$14.76
6. Open orders (neither fully executed nor rejected orders) only
 7.
 - Applicable to Margin securities account
 - For HKD transfer only. If you would like to perform transfer instruction of other currency, please use other trading channels (visit Securities Service Center at head office and designated branches of the Bank, calling Manned Securities Services Trading Hotline, CMB Wing Lung NET Securities Services or CMB Wing Lung Bank Mobile Application).
 8. A maximum of 3 stock prices are allowed for enquiry on each call. Press “ # ” after each stock code entry and then press “ # ” again at the end.
 9. A maximum of 5 stocks are allowed for enquiry on each call. Press “ # ” after each stock code entry and then press “ # ” again at the end.
 10. Balance is given in ascending order by stock code in a group of 5 stocks at a time. Follow the system instructions to continue or end the enquiry. Balance of non-listed in the Hong Kong Stock Exchange securities position can be enquired through Securities Service Center at head office and designated branches of the Bank, calling Manned Securities Services Trading Hotline, CMB Wing Lung NET Securities Services or CMB Wing Lung Bank Mobile Application for enquiry.
 11.
 - Applicable to margin securities account
 - Enquiry of available margin for trading in HKD and available margin for withdrawal in HKD
 12. Enquiry of available balance for trading (including receivables from executed sell orders)
 13. Enquiry of latest subscription details (excluding details on today’s subscription)

Important Notice

1. The Phone Banking Consolidated PIN issued by CMB Wing Lung Bank (“ the Bank”) is for first time log on. Customers must change the Phone Banking Consolidated PIN to activate CMB Wing Lung Automated Securities Services securities trading and enquiry functions.
2. If incorrect Phone Banking Consolidated PIN is input more than 4 times, CMB Wing Lung Automated

Securities Services (“system”) will be suspended and the customer will have to come to any branches of the Bank in person to re-activate the service.

3. All orders placed via CMB Wing Lung Automated Securities Services are day orders. Day orders which have not been executed will be cancelled by the close of the trading day. Orders placed outside trading hours will be treated as day orders for execution in the next trading session. If an order is placed after market close, the Bank will freeze the estimated amount or quantity of stock required for the transaction before the market opens on the next trading day. If our system is unable to freeze the amount or quantity of stock required, the order may not be accepted by the Bank.
4. Validity of amendment / cancellation instructions is subject to system acceptance.
5. Customers are advised to check the status of their orders placed via CMB Wing Lung Automated Securities Services themselves. No confirmation call will be made to individual customer by the Bank.
6. The stock price quotation service in CMB Wing Lung Automated Securities Trading Hotline and Enquiry Hotline is provided by the ET Net Limited. The Stock Exchange of Hong Kong Limited, ET Net Limited and CMB Wing Lung Bank Limited endeavour to ensure the accuracy and reliability of information provided but do not guarantee its accuracy or reliability and accept no liability (whether in tort or contract or otherwise) for any loss or damage arising from any inaccuracies or omissions.
7. The Bank reserves the right to change any functions and services of CMB Wing Lung Automated Securities Services without any notice.
8. If there is any discrepancy between the English and Chinese versions, the Chinese version shall prevail.

Risk Disclosure

Investment involves risks and the price of securities may fluctuate or even become worthless. Losses may be incurred rather than making a profit as a result of dealing in securities. You should carefully and independently consider whether the securities are suitable for you in light of your investment experience, objectives, financial position and risk profile. This advertisement has not been authorized by the Securities and Futures Commission. Independent professional advice should be obtained if necessary. Please read the relevant terms and conditions together with the risk disclosure statements in the General Conditions for Accounts and Services before making any investment decisions.

For enquiry, please call the Bank’s Customer Services Hotline at (852) 230 95555.