

## Procedure and Notes for Trading Shanghai-listed A Shares and Shenzhen-listed A Shares

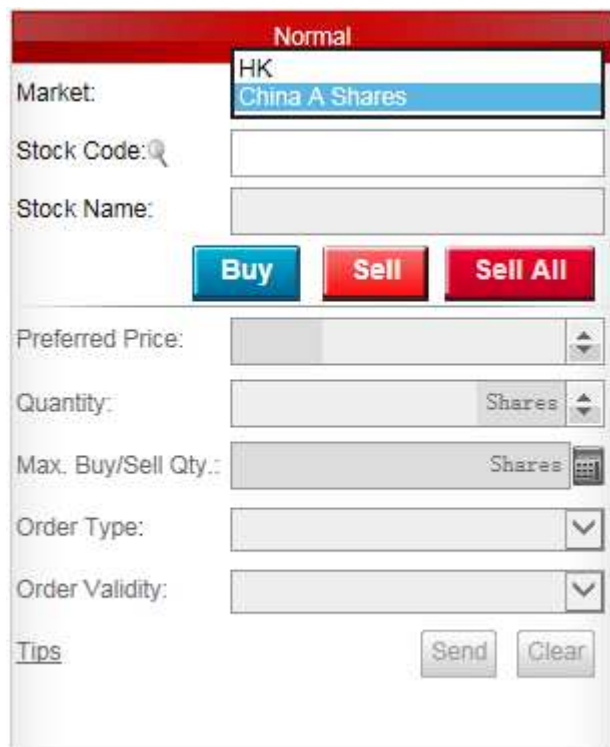
### A. Buy / Sell Order (Trading Shanghai / Shenzhen-listed A Shares through Wing Lung NET Securities Services)

Select “Normal” under “Securities Trading”. Then choose “China A Shares” under the “Market” drop-down menu.

Input “Stock Code”, “Action”, “Preferred Price”, “Quantity”, “Order Type”, and press “Send”.

Note:

When placing / amending / cancelling trading order of Shanghai / Shenzhen-listed A Shares, a market indicator will be shown in front of the “Stock Name”. “SH” represents Shanghai-listed A Shares; “SZ” represents Shenzhen-listed A Shares..



The screenshot shows the "Normal" trading interface. The "Market" dropdown is set to "HK" and "China A Shares" is selected. The "Stock Code" field is empty. The "Stock Name" field is empty. Below these are three buttons: "Buy" (blue), "Sell" (red), and "Sell All" (red). The "Preferred Price" field is empty. The "Quantity" field is empty with a "Shares" unit indicator. The "Max. Buy/Sell Qty." field is empty with a "Shares" unit indicator. The "Order Type" dropdown is set to "Limit". The "Order Validity" dropdown is set to "2017/10/06". At the bottom, there is a "Tips" link, a "Send" button, and a "Clear" button.



The screenshot shows the "Normal" trading interface. The "Market" dropdown is set to "China A Shares". The "Stock Code" field contains "000039". The "Stock Name" field contains "SZ CIMC". Below these are three buttons: "Buy" (blue), "Sell" (red), and "Sell All" (red). The "Preferred Price" field contains "CNY" and "14". The "Quantity" field contains "1000" with a "Shares" unit indicator. The "Max. Buy Qty." field is empty with a "Shares" unit indicator. The "Order Type" dropdown is set to "Limit". The "Order Validity" dropdown is set to "2017/10/06". At the bottom, there is a "Tips" link, a "Send" button, and a "Clear" button.



Check the information and press “Confirm”.

Wing Lung NET Banking

HK Time: 2017/10/06 14:20

[Tips](#)

Please Confirm Your Instruction

|                               |                      |
|-------------------------------|----------------------|
| Action:                       | Buy                  |
| Market:                       | China A Shares       |
| Stock Code:                   | 000039               |
| Stock Name:                   | <span>SZ</span> CIMC |
| Preferred Price:              | CNY 14.000           |
| Quantity:                     | 1,000 Shares         |
| Order Type:                   | Limit                |
| Estimated Transaction Amount: | CNY 14,201.52        |
| Order Validity:               | 2017/10/06           |

Back

Cancel

Confirm

Jot down Order Number for any further enquiry.

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HK Time: 2017/10/06 14:21

[Tips](#)

Trading - Acknowledgement

Securities trading instructions have been received (Order No.:63729428) and will be executed in **this trading session**.

|                               |                      |
|-------------------------------|----------------------|
| Action:                       | Buy                  |
| Market:                       | China A Shares       |
| Stock Code:                   | 000039               |
| Stock Name:                   | <span>SZ</span> CIMC |
| Preferred Price:              | CNY 14.000           |
| Quantity:                     | 1,000 Shares         |
| Order Type:                   | Limit                |
| Estimated Transaction Amount: | CNY 14,201.52        |
| Order Validity:               | 2017/10/06           |

**Order Status: automatic processing, please wait for a while**

Please note that your instructions may be rejected by the system of the Stock Exchange due to stock price fluctuation. You are highly recommended to check the latest order status from time to time during valid trading session. Instructions that cannot be executed on or before the order validity date will automatically be cancelled.

Cancel

Order Journal Detail

Trade Again

Customer can click the “Day Order Journal” under “Normal” to check the latest status of the placed order.

| Settlement A/C<br>Balance | Stock<br>Portfolio             | Day Order<br>Journal | Instruction<br>Enquiry | Balance Available For HK Shares Trading : HKD 3,749.14  |               |                           |          |        |                 |                                                                                     |
|---------------------------|--------------------------------|----------------------|------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|---------------|---------------------------|----------|--------|-----------------|-------------------------------------------------------------------------------------|
| Order<br>Create<br>Time   | Order No. /<br>Instruction No. | Action               | Market                 | Stock Code                                                                                                                                 | Stock Name    | Quantity/<br>Executed Qty | Currency | Price  | Order<br>Status |  |
| 2017/10/06<br>17:00:29    | 63729316                       | Buy                  | China A<br>Shares      | 000039                                                                                                                                     | CIMC          | 14000/<br>0               | CNY      | 5.000  | Q               |  |
| 2017/10/06<br>09:07:33    | 63729246                       | Buy                  | China A<br>Shares      | 000039                                                                                                                                     | CIMC          | 100/<br>0                 | CNY      | 13.700 | REJ             |                                                                                     |
| 2017/10/06<br>09:07:53    | 63729247                       | Buy                  | China A<br>Shares      | 600601                                                                                                                                     | CC E2E 600601 | 100/<br>0                 | CNY      | 10.500 | CAN             |                                                                                     |



## B. Order Cancellation (Only applicable to open orders)

Select “Day Order Journal” under “Normal”. Click “Cancel” in the row of the order to be cancelled.

| Settlement A/C<br>Balance | Stock<br>Portfolio             | Day Order<br>Journal | Instruction<br>Enquiry | Balance Available For HK Shares Trading : HKD 3,749.14 |               |                           |          |        |                 |                                                                                     |
|---------------------------|--------------------------------|----------------------|------------------------|--------------------------------------------------------|---------------|---------------------------|----------|--------|-----------------|-------------------------------------------------------------------------------------|
| Order<br>Create<br>Time   | Order No. /<br>Instruction No. | Action               | Market                 | Stock Code                                             | Stock Name    | Quantity/<br>Executed Qty | Currency | Price  | Order<br>Status |                                                                                     |
| 2017/10/06<br>17:00:29    | 63729316                       | Buy                  | China A<br>Shares      | 000039                                                 | CIMC          | 14000/<br>0               | CNY      | 5.000  | Q               |  |
| 2017/10/06<br>09:07:33    | 63729246                       | Buy                  | China A<br>Shares      | 000039                                                 | CIMC          | 100/<br>0                 | CNY      | 13.700 | REJ             |                                                                                     |
| 2017/10/06<br>09:07:53    | 63729247                       | Buy                  | China A<br>Shares      | 600601                                                 | CC E2E 600601 | 100/<br>0                 | CNY      | 10.500 | CAN             |                                                                                     |

Check the information and press “Confirm”.

Order Cancellation

Order Cancellation - Please Confirm

Order No.:

63729316

Action:

Buy

Market:

China A Shares

Stock Code:

000039

Stock Name:

 CIMC

Preferred Price:

CNY 14.000

Quantity:

100 Shares

Outstanding Quantity:

100 Shares

Quantity  
to be Cancelled

100 Shares

Order Validity:

2017/10/06

Confirm

Cancel

Press “Confirm” again.

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Note: Once confirmed, the order cancellation instruction will be processed.

Back

Confirm

The order will be cancelled.

**Wing Lung NET Banking**

HK Time: 2017/10/06 14:23  

**Order Cancellation - Acknowledgement**

|                           |                                                                                   |
|---------------------------|-----------------------------------------------------------------------------------|
| Order No.:                | 63729316                                                                          |
| Action:                   | Buy                                                                               |
| Market:                   | China A Shares                                                                    |
| Stock Code:               | 000039                                                                            |
| Stock Name:               | <span style="background-color: red; color: white; padding: 0 2px;">SZ</span> CIMC |
| Preferred Price:          | CNY 14.000                                                                        |
| Quantity:                 | 100 Shares                                                                        |
| Outstanding Quantity:     | 100 Shares                                                                        |
| Quantity to be Cancelled: | 100 Shares                                                                        |
| Order Validity:           | 2017/10/06                                                                        |

Order cancellation instructions have been received and will take effect after the Bank has confirmed that the previous instructions are still outstanding. Please check if the order cancellation instructions have been successfully executed later. Instructions that cannot be executed on or before order validity date will automatically be cancelled.

**Order Status:** automatic processing, please wait for a while

Order Journal Detail

Trade Again

### C. Notes on Trading Shanghai / Shenzhen-listed A Shares

1. Customer who would like to trade Shanghai / Shenzhen-listed A Shares should complete the "Application / Cancellation Form for Trading Securities in Overseas Markets" of Wing Lung Bank ("the Bank") and return the completed form to any branches of the Bank for further process. Since Shanghai / Shenzhen-listed A Shares are traded and settled in RMB, customer should open and maintain a RMB deposit account with the Bank for settlement and state it on the application form.
2. Regardless of cash or margin securities account, customer should ensure sufficient RMB funds in the RMB deposit account opened with the Bank before placing buy order for Shanghai / Shenzhen-listed A Shares,. The Bank will freeze the funds required in the RMB deposit account before placing order for customer.
3. No order amendment is allowed for Shanghai / Shenzhen-listed A Shares. Customer has to cancel existing order and place a new order for order amendment.
4. All Shanghai / Shenzhen-listed A Shares are subject to the same trading board lot size of 100 shares (buy orders must be in board lot). Odd lot trading is available for sell orders but board lot and odd lot orders are both matched on the same platform of Shanghai / Shenzhen-listed A Shares and subject to the same share price. The maximum order size is 1 million shares and the tick size is uniformly set at RMB0.01.
5. Day trading is not allowed for Mainland A shares market. Customer cannot sell the shares bought on the same day and could only do so on or after the second day of trading after settlement. That means the Shanghai / Shenzhen-listed A Shares bought on T day can only be sold on or after T+1 day. Also, customer can only withdraw fund on / after the next day after the Shanghai / Shenzhen-listed A Shares are sold. If the Shanghai / Shenzhen-listed A Shares are kept in account opened with another Exchange Participants (EP) or custodian, customer must first transfer the shares to the securities account of the Bank on T-1 day so that the Shanghai / Shenzhen-listed A Shares can be sold on T day.