

Balance Enquiry & Fund Transfer Demonstration for Securities Margin Account

BALANCE ENQUIRY

Step 1: Login to Personal Internet Banking, Click “Investment”, choose “HK Stock”, then click “Buy/Sell Stock”

Buy/Sell Stock(HK Stock) Add to My Menu Transaction Tips

To enhance the security of online trading, two-factor authentication is mandatory for Securities/Funds/Bonds/Precious Metal transactions or enquiry on Internet Banking by 26 April 2018 (please visit our website for the latest updates). If you have previously selected Password Token as your Securities Transaction Authentication method, this method will be used subsequently for executing the above transactions. If you have not selected any investment authentication method previously, SMS one-time password will be set automatically as the authentication method. You may change your investment authentication setting anytime on Mobile Banking or Personal Internet Banking. In order to receive transaction notification, please ensure that your mobile phone number and email address recorded in our Bank is up-to-date.

There is a transitional period from 25 March 2018 to 25 April 2018 (please visit our website for the latest updates). During the transitional period, if you have not previously selected an investment authentication method, you can choose to use SMS one-time password or to continue the transaction without any investment authentication method by selecting "Continue" button.

1 Buy/Sell Stock 2 Details Confirmation 3 Acknowledgment

- From September 29, 2016, if you do not have an email address and mobile phone number on record, you are not allowed to perform securities trading. Please add your email address and/or mobile phone number at Personal Information Enquiry/Modification. If you do not have a password token, please visit one of our branches to add your email address and/or mobile phone number.
- From September 29, 2016, we will allow customers to choose whether they would like to use two-factor authentication for securities trading at "Securities Two-Factor Authorization Setting".
- To protect your privacy information, your mobile phone number and E-mail address are masked with "****". If you do not modify the above information, the trade notification will be sent out according to your original record.
- Click here to browse a list of eligible stocks (for Securities Margin Account only). If you would like to apply for a Securities Margin Account, please visit any branch for application.
- Click here to browse the bank replace the Hong Kong stock snap shot service provider for our internet banking and mobile banking since 1 December 2019.

Step 2: Choose “Margin Ac Enquiry” in Related Services after going into the “Buy/Sell Stock” Page

SHHK/SZHK Stock Connect
US Stock
Funds
Currency-linked Product
Currency Trading
Precious Metal
Bonds
CD
FX Plus/Margin FX & Precious Metal Trading
Update Investment
Customer Risk Profile
Apply Investment Account
Lucky Draw
Bill Payment
Insurance
Loan
Card
Electronic Services

Order Price:

Expiry Date:

Trade Status Notification: E-mail SMS

E-mail Address:

Mobile Phone No.:

* The language of Trade Status Notification is according to Internet Banking's language setting while issuing order.

* If you need to add or change the e-mail address/mobile phone No., please [click here](#)(with token authentication).

Related Services:

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Step 3: Margin information will display on the screen.

- Net Balance: (Positive balance) balance in the Margin Account; (Negative balance) amount used in the Margin Account
- Available Amount: Available Margin value and balance in the Margin Account

The screenshot displays the Securities Margin Account interface. On the left is a navigation menu with categories like Monthly Saving Plan Summary, Market Information, Streaming Quote (AASTOCKS), Corporate Action, IPO, e-Tools, Securities Firms, SHHK/SZHK Stock Connect, US Stock, Funds, Currency-linked Product, Currency Trading, Precious Metal, Bonds, CD, FX Plus/Margin FX & Precious Metal Trading, Update Investment, Customer Risk Profile, Apply Investment Account, and Lucky Draw. The main area contains order entry fields: Account No. (Securities), Order Type (At-auction Limit Order), Buy/Sell (Buy, Sell, Odd-Lot), Stock Code, Order Qty, Order Price, Expiry Date, and Trade Status Notification (E-mail, SMS). A 'Margin Detail' box on the right shows: Settlement Account: Savings -HKD Passbook, Total Margin Value: 0.000, Loan Limit: 500,000.000, Margin Loan Ratio: 0.000, Account Balance: 500.000, Interest Received: 0.000, Interest Payable: 0.000, Net Balance: 500.000, and Available Amount: 500.000. A disclaimer at the bottom of the box states: 'The margin loan ratio is for reference only, the margin loan ratio is included the hold fund of securities transactions. If you have any further queries, please call our securities trading hotline (852) 3471 8711 (Monday to Friday, 9:00am to 6:00pm, except public holiday).' Buttons for 'Proceed' and 'Clear' are at the bottom.

FUND TRANSFER DEMONSTRATION

Step 1: Login to Personal Internet Banking, click “Investment”, select “Securities Margin A/C Service” in the menu, the “Margin Account Transfer” shown on the screen.

The screenshot shows the 'Securities Margin A/C Service' interface. The left navigation menu has 'Investments' and 'HK Stock' highlighted. The main content area is titled 'Margin Account Transfer' and 'Increasing Margin Loan Limit'. It features a progress bar with three steps: 1. Margin Account Transfer, 2. Details Confirmation, and 3. Acknowledgment. The first step is active. Below the progress bar are fields for 'Securities Margin A/C' and 'HKD Settlement A/C', both with 'please select' dropdown menus and 'Available Balance' labels. A 'Transfer to:' section has two radio button options: 'from Settlement A/C to Securities Margin A/C' and 'from Securities Margin A/C to Settlement A/C'. A 'Transfer Amount: HKD' input field is also present. 'Proceed' and 'Clear' buttons are at the bottom.

Balance Enquiry & Fund Transfer Demonstration for Securities Margin Account

- Step 2:
- (1) Select Securities Margin A/C and the HKD Settlement Account
 - (2) Securities Margin A/C available balance (include Margin) and available balance of HKD settlement Account will show on.
 - (3) Choose the “Transfer to” and input the amount you want to transfer, then click “Proceed”

The screenshot shows the 'Securities Margin A/C Service' interface. The main content area is titled 'Margin Account Transfer' and 'Increasing Margin Loan Limit'. A progress bar indicates three steps: 1. Margin Account Transfer (active), 2. Details Confirmation, and 3. Acknowledgment. The form contains two dropdown menus for selecting the 'Securities Margin A/C' and 'HKD Settlement A/C', both highlighted with a yellow box. Below these are radio buttons for 'Transfer to', with the first option 'from Settlement A/C to Securities Margin A/C' selected. A 'Transfer Amount' field contains '1,000.00' and is also highlighted. At the bottom are 'Proceed' and 'Clear' buttons, with 'Proceed' highlighted.

- Step 3: Check the details, click “confirm” if the information is correct.

The screenshot shows the 'Securities Margin A/C Service' interface. The main content area is titled 'Margin Account Transfer' and 'Increasing Margin Loan Limit'. A progress bar indicates three steps: 1. Margin Account Transfer, 2. Details Confirmation (active), and 3. Acknowledgment. The form displays the details of the transfer: 'Securities Margin A/C', 'HKD Settlement A/C', 'Transfer to: from Settlement A/C to Securities Margin A/C', and 'Transfer Amount: HKD 1,000.00'. At the bottom are 'confirm' and 'Cancel' buttons, with 'confirm' highlighted.

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Risk Disclosure :

Investment involves risk and the prices of securities products fluctuate. The prices of securities may move up or down, sometimes dramatically, and may become valueless. It is as likely that loss will be incurred rather than profit made as result of buying and selling investment. The risk of loss in financing a transaction by deposit of collateral is significant. You may sustain losses in excess of your cash and any other assets deposited as collateral with the licensed or registered person. You may be called upon at short notice to make additional margin or interest payments. If the required margin or interest payments are not made within the prescribed time, your collateral may be liquidated without your consent. Moreover, you will remain liable for any resulting deficit in your account and interest charged on your account.

The price of the warrants and Callable Bull/Bear Contracts ("CBBC") may move up or down rapidly and investors may sustain a total loss of their investment. Past performance of the underlying asset is not an indicator of future performance. You should ensure that you understand the nature of the warrants and CBBC and carefully study the risk factors set out in the relevant listing documents of the warrants and CBBC and where necessary, seek independent professional advice. Warrants that are not exercised will have no value upon expiry. CBBC has a mandatory call feature and may be terminated early, in such case, (i) in the case of Category N CBBCs, an investor will not receive any residual value and (ii) in the case of Category R CBBCs, the residual value may be zero.

Investors should bear in mind the key risks of ETFs which include but not limited to political, economic, currency, and other risks of a specific sector or market related to the underlying index; liquid secondary market may not exist for ETFs; changes in the net asset value of the ETFs may deviate from the performance of the tracking index, ETFs may invest in single country and sector; ETFs with tracking index relating to emerging markets may be subject to a greater risk of loss than investments in developed markets; and like all investments, an ETF is subject to the risk of change in policy of the reference market.

Leveraged and inverse products (L&I Products) are derivative products structured as funds. L&I Products are different from conventional ETFs. They do not share the same characteristics and risks. L&I Products are not designed for holding longer than one day, it is for short-term trading or hedging purposes. When L&I Products are held after a period of time, their return may deviate from and may be uncorrelated to the multiple (in the case of leveraged products) or the opposite (in the case of inverse products) of the return of the underlying index. Investors may suffer significant or even total losses. Trading L&I Products involves investment risk and are not intended for all investors. There is no guarantee of repaying the principal amount. Investors should read the relevant offering documents of Leveraged and inverse products and ensure they understand the key product features and related risks before making an investment.

Important Notice

The above risk disclosure statements cannot disclose all the risks involved. If you would like to get a full risk disclosure statements, please visit any branch of the Bank for enquiries .

Before making investment decision, you should thoroughly study the offering documents; the financial reports and relevant risk disclosure statements issued by the issuer of the investment product(s). Further you should consider your own circumstances and financial position to ensure the investment are suitable for your particular investment needs. You should seek independent financial and professional advice before trading or investment. This document does not constitute and offer for the purchase or sales of any investment products.

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To borrow or not to borrow? Borrow only if you can repay!

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