



輝立証券集團
Phillip Securities Group

**FOREIGN STOCK
MANUAL**

POEMS

**GLOBAL TRADING PLATFORM
&
BROKERAGE SERVICES**

(Website Public Version 2.1)

Last update on October 2016

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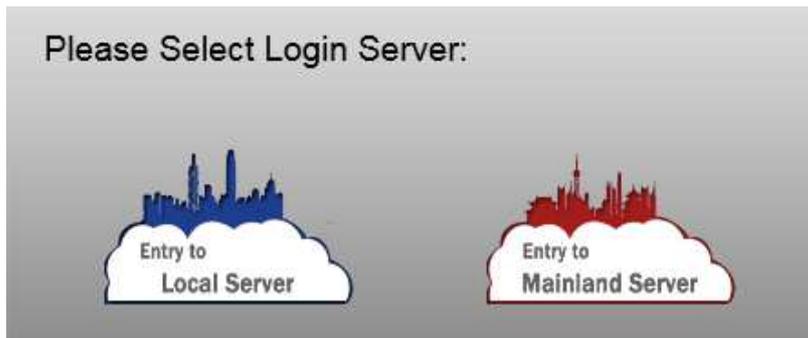
Platform Guide

(1) Login

1. Go to Phillip Securities Group website :<http://www.poems.com.hk/en-us>
Microsoft Internet Explorer 8.0 or above or Google Chrome browser are recommended.
2. Click on **POEMS Login**

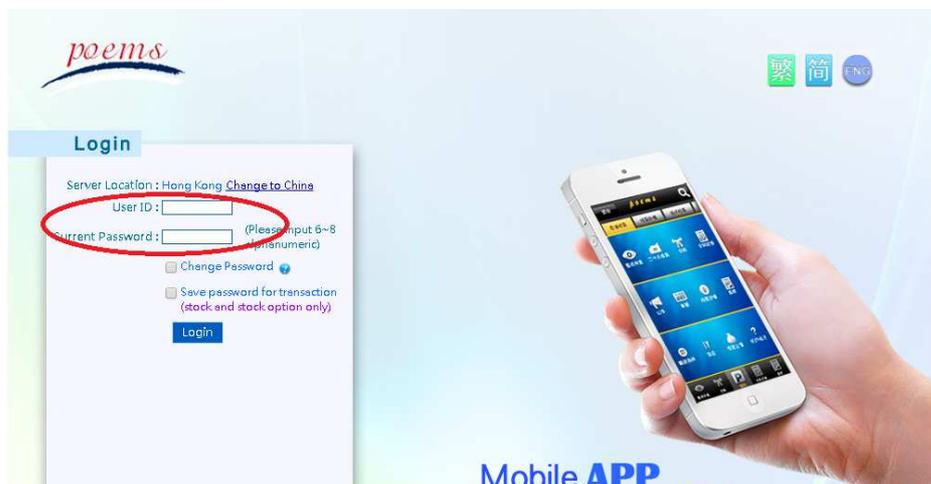


3. Select Login Server: Local Server for users situated in Hong Kong or non-PRC places, whereas Mainland Server for users in PRC.

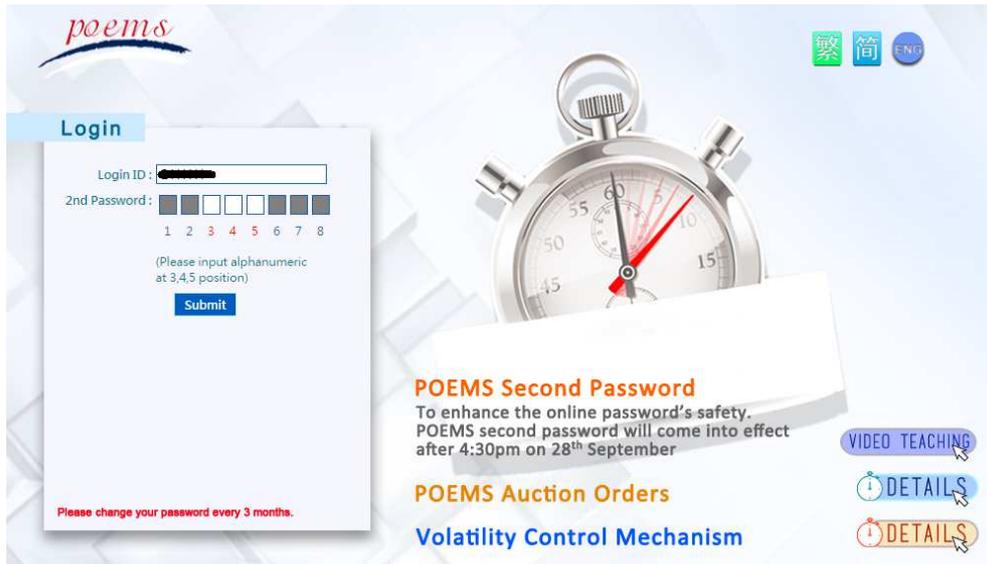


4. Click  at the top right hand corner

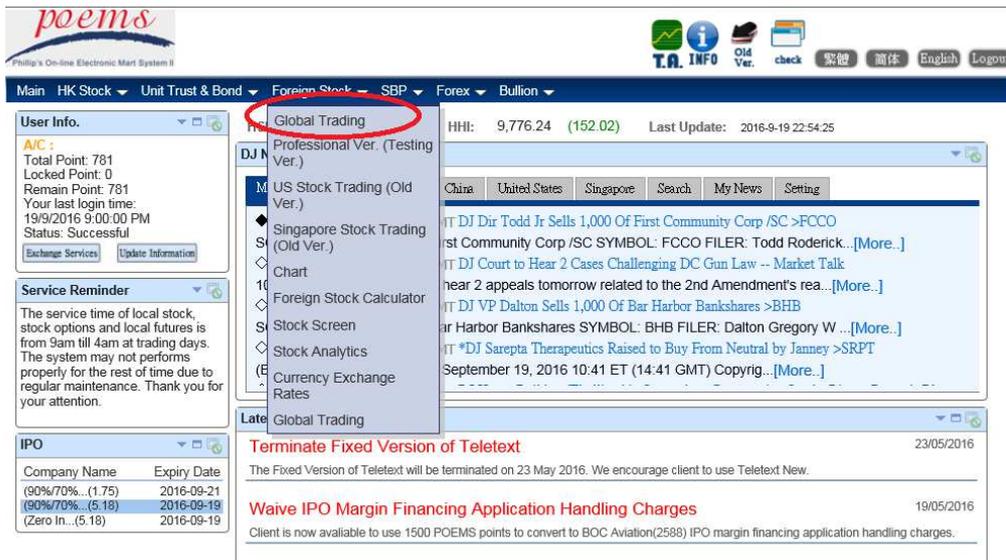
5. Input **User ID** and **Current Password**, then press login



6. Input the 2nd Password, then "Submit"



7. On the *Online Trading Platform* , choose *Foreign Stock* then *Global Trading* , then accept the *Disclaimers*.



Disclaimers

Japanese stock price quotes are delayed by at least 20 minutes.

US stock price quotes are provided by Thomson Reuters.

Information contained herein is based on sources that Phillip Securities (Hong Kong) Limited ("PSHK") believed to be accurate. PSHK does not bear responsibility for any loss occasioned by reliance placed upon the contents hereof.

Please click the below button to check out overseas (non-Hong Kong) stock market trading timetable. [Exchange Timetable](#)

Risk Disclosures

- Risks of using electronic trading services**
If you undertake transactions via electronic trading facilities, you will be exposed to risks associated with the system including the failure of hardware and software, and your order may not be executed according to your instructions.
- Risks of Securities Trading**
The prices of securities may fluctuate dramatically and become valueless. Losses may be incurred as a result of buying and selling securities.
- Risks of Derivatives Trading**
Trading of derivatives involves high risks and is not suitable for every investor. The prices of derivatives may fall as rapidly as they may rise and you may suffer total or excessive loss of your investment amount.
- Risks of Margin Trading**
The risk of loss in financing a transaction by deposit of collateral is significant. You may be called upon at short notice to deposit additional margin funds. In extreme market conditions we may be unable to contact you or provide you with sufficient time to make the required deposits, and forced liquidation may be necessary.
- Risks Relating to Restriction on Foreign Ownership of Japanese Stocks**
Japanese law imposes restrictions on foreign ownership of Japanese stocks in some industries (e.g. aviation, broadcasting, and telecommunications). Foreign

以下是美股 OTC 市場的風險披露。如閣下將會在該市場交易股票，請細閱以下內容，並按“接受”表示已理解並同意所涉及的風險，方能進行美股 OTC 的買賣。
如閣下不同意或不需要在美股 OTC 市場交易，可以按“拒絕”跳過。

Important Information on Microcap Stocks

The term “microcap stock” applies to companies with low or “micro” capitalizations, meaning the total value of the company’s stock. Microcap companies typically have limited assets. For example, in cases where the Securities and Exchange Commission (“SEC”) suspended trading in microcap stocks, the average company had only \$6 million in net tangible assets — and nearly half had less than \$1.25 million. Microcap stocks are low-priced stocks issued by the smallest of companies, and they tend to trade in low volumes. Accurate information about “microcap stocks” may be difficult to find. Many microcap companies do not file financial reports with the SEC, so it’s hard for investors to get the facts about the company’s management, products, services, and finances. When reliable information is scarce, fraudsters can easily spread false information about microcap companies, making profits while creating losses for unsuspecting investors.

Many microcap stocks trade in the “over-the-counter” (OTC) market and are quoted on OTC systems, such as the OTC Bulletin Board (OTCBB) or the “Pink Sheets.”

- **OTC Bulletin Board :**
The OTCBB is an electronic quotation system that displays real-time quotes, last-sale prices, and volume information for many OTC securities that are not listed on the Nasdaq Stock Market or a national securities exchange. Brokers who subscribe to the system can use the OTCBB to look up prices or enter quotes for OTC securities. Although the Financial Industry Regulatory Authority oversees the OTCBB, the OTCBB is not part of the Nasdaq Stock Market. Fraudsters often claim that an OTCBB company is a Nasdaq company to mislead investors into thinking that the company is bigger than it is.
- **The “Pink Sheets”:**
The Pink Sheets — named for the color of paper on which they’ve historically been printed — are listings of price quotes for companies that trade in the over-the-counter market (OTC market). “Market makers” — the brokers who commit to buying and selling the securities of OTC issuers—can use the pink sheets to publish bid and ask prices. A company named Pink Sheets LLC, formerly known as the National Quotation Bureau, publishes the pink sheets in both hard copy and electronic format. Pink Sheets LLC is not registered with the SEC as a stock exchange, nor does the SEC regulate its activities.

Risk of Trading Microcap Stocks

- **Lack of Public Information:**
The biggest difference between a microcap stock and other stocks is the amount of reliable, publicly available information about the company. Larger public

(2) "Global Trading" User Interface

After clicking on *Global Trading*, you will go to main trading page as shown below:

The screenshot shows the main trading page with several key sections:

- 1:** A notice about the Singapore Stock Exchange (SGX) merger with the Singapore International Monetary Exchange (SIMEX).
- 2:** A price quote table for stock 9898.JT (Sakha Diamond Corp) showing last price, change, volume, and bid/ask prices.
- 3:** An order ticket form with fields for Mkt. (Singapore), ACCT. NO., Stock Code, Curr. (SGD), Order Px., Order Qty, and buttons for Buy (B) and Sell (S).
- 4:** Client information and account status for M0936, including credit limits, trade limits, and available balance (HKD eqv.).
- 5:** Search and order entry controls, including Mkt. (All), Side (All), and Stk. Code fields, along with Search, Reset, and Refresh buttons.
- 6:** A table of completed orders showing Mkt., Stk. Code, Side, Order Px., Exec. Px., Order Qty, Done Qty, Curr., and Settle Curr. (Est.).

1. Important Notices
2. Price Quote
3. Order Ticket
4. Order & Client Information / Transaction Fee/ Stock Search/ Exchange Rate/ Customer Services
5. Stock Analytic: Input Stock Code and Click , for searching the stock informat
6. Order and Trade Record

(3) Price Quote

The platform provides price quote data service (including nominal price and total volume, best bid and ask prices and their on-queue volumes, day high and low prices, value and percentage changes of stock price compared with last price of previous day) for some markets, including US, Singapore, Malaysia and Japan. For some markets, clients have to subscribe and pay monthly fee or redeem with POEMS points. With regard to other markets, new window is popped up and goes to relevant stock exchanges for delayed price quotes.

Streaming real-time price quote	Singapore, U.S (subscription required) and Malaysia
Streaming delayed price quote	Japan (Tokyo)
Link to relevant websites	Other markets

The platform has a number of default watch lists, e.g. Top 10 Volume, Top 10 Amount Rise/Drop, Top 10 Ratio Rise/Drop, Market Index, Sectors, Themes and etc.

(4) Getting Price Quote

A. Single Stock

In the cell beside Stock, input a key string of the stock name or code. 12 suggested results will be shown. The more precise wording you input, the more accurate results. Press <Enter> on the keyboard or click it for your selection whose background is white.

Stock : Watchlist :

Code	8500.JT [JP] TOKYO AUTOMATIC MACHINERY WORKS LTD
	3415.JT [JP] TOKYO BASE CO LTD
9501.JT	7815.JT [JP] TOKYO BOARD INDUSTRIES CO LTD
Last	6772.JT [JP] TOKYO COSMOS ELECTRIC CO LTD
	9681.JT [JP] TOKYO DOME CORP
414.0	9501.JT [JP] TOKYO ELECTRIC POWER CO INC
Bid5	2760.JT [JP] TOKYO ELECTRON DEVICE LTD
	8035.JT [JP] TOKYO ELECTRON LTD
	1945.JT [JP] TOKYO ENERGY & SYSTEMS INC
	9531.JT [JP] TOKYO GAS CO LTD

Stock : Watchlist :

Code	Stock Name	Add	新加坡							
9501.JT	Tokyo Electric Power Co Holdings Inc									
Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open	High	Low	Volume(K)
414.0	+10.0	+2.48	127k	413.0	414.0	270.1k	403.0	415.0	401.0	20016.100

B. Default Watch List

Stock : Watchlist :

Click the arrows on the right hand side, and then you are able to choose market and the default watch list.

For example, you want to check **Top 10 Amount Rise** on NYSE.

Stock : Watchlist : Please select watchlist

USA NYSE --Please Select--

Code	Stock Name	Last	Chg	Chg%	AVol	Open	High	Low
DIA	SPDR DJIA Trust	178.0600	+0.2600	+0.15	0.3k	178.1200	178.5300	177.7300
SPY	SPDR S&P 500 ETF Trust	208.4400	+0.5900	+0.28	5.9k	208.3000	208.9200	207.7800
QQQ	QQQ Nasdaq 100 Powershares	107.5000	+0.3400	+0.32	0.2k	107.0700	107.2900	107.1000
C	CITIGROUP INC	42.9200	+0.1200	+0.28	0.2k	43.1700	43.2100	42.4700
BAC	Bank of	13.6800	+0.0800	+0.58	0.2k	13.6100	13.6500	13.4100

1. Choose **USA** on the left drop-down menu
2. Choose **NYSE** on the middle drop-down menu.
3. Choose **Top 10 Amount Rise** on the right drop-down menu, and the platform will display the price quotes automatically.

If you want to check the price for a stock, you can simply input the stock code directly.

C. User-defined Watchlist

Select a Watchlist from the drop-down menu

Stock : Watchlist : Please select watchlist

Malaysia

Code	Stock Name	Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open	H
ULI.MY	United U Li Corp	4.380	+0.030	+0.69	0.1k	4.310	4.380	1.1k	4.350	4.3
MPI.MY	Msian Pacific Industries	7.760	-	-	1.6k	7.700	7.990	1.4k	-	-
MBS.MY	Msia Building Society	0.920	-	-0.54	375.4k	0.915	0.920	360.8k	0.920	0.9
BAH.MY	Borneo Aqua Harvest	1.080	+0.010	+0.93	2k	1.060	1.070	10k	1.080	1.0

(5) Transaction Fee and Exchange Rate (Reference Only)

Select Trans.Fee or Exch. Rate tabs, the reference information will be available as below.

Pos.	Trans. Fee	Stk. Search	Exch. Rate	Cust. Services
Overseas Market Basic Charges				
Japan Shares				
Additional fee for odd lot trading	Trading Japan odd-lot shares requires for an additional item of transaction handling fee. For more details, please contact Foreign Stock Department.			
Custody Fee	Free			
Singapore Shares				
Clearing Fee	0.0325% of Transaction Amount (Unlimited), except for Structured Warrants, the Clearing Fee is 0.05% (Max. of SGD200)			
SGX Access Fee	0.0075% of Transaction Amount			
Custody Fee	Free			

Pos.	Trans. Fee	Stk. Search	Exch. Rate	Cust. Services
Exchange Rates (Ref.)				
Last Update Time : 9/19/2016 5:05:23 PM				
Curr.	Exchange	Quantity	Client Buy	Client Sell
Australian Dollar	AUD	per 1	HKD 5.8831	HKD 5.8128
Canadian Dollar	CAD	per 1	HKD 5.9328	HKD 5.8619
Swiss Franc	CHF	per 1	HKD 7.9662	HKD 7.8710
Chinese Yuan (H.K.)	CNH	per 1	HKD 1.1666	HKD 1.1596
Euro	EUR	per 1	HKD 8.7119	HKD 8.6078
UK Pound	GBP	per 1	HKD 10.1784	HKD 10.0568
Hong Kong Dollar	HKD	per 1	HKD 1.0000	HKD 1.0000
Indonesian Rupiah	IDR	per 10,000	HKD 5.9585	HKD 5.8403
Indian Rupee	INR	per 100	HKD 11.6612	HKD 11.5210

(6) Set up user-defined Watch Lists

To personalize your own watch list, the platform enables client to set up to 5 watch lists. Each watch list carries a maximum of 10 stocks.

A. Add a Stock into a Watchlist

Case 1) — Edit Watchlist

Select a Watchlist, and then click **“Edit Watchlist”**



Input the key string of stock name / code, and then click **“Search”**. The suggested results will show on the right column. You can click **“Add”** to input the targeted stock into your watchlist shown on the left column. When the results do not satisfy you, please use another closer key words.

Japan Stock: Fintech Glo

Symbol	Company Name	
7201.JT	NISSAN MOTOR CO LTD	<input type="button" value="Remove"/>
9501.JT	TOKYO ELECTRIC POWER CO INC	<input type="button" value="Remove"/>
9898.JT	SAKHA DIAMOND CORP	<input type="button" value="Remove"/>
8789.JT	FINTECH GLOBAL INC	<input type="button" value="Remove"/>

Market	Symbol	Company Name	
JP	8789.JT	FINTECH GLOBAL INC	<input type="button" value="Add"/>

After that, click **“Back”** to return the Watch List's price quote. The new stock will appear in the quote.

Stock : 8789.JT x Watchlist : Japan

Code	Stock Name	Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open
7201.JT	NISSAN MOTOR CO LTD	1003.0	+3.3	+0.33	88.4k	1003.0	1004.5	5.4k	995.1
9501.JT	Tokyo Electric Power Co Holdings Inc	414.0	+10.0	+2.48	127k	413.0	414.0	270.1k	403.0
9898.JT	Sakha Diamond Corp	8.0	-	-	10,436.4k	7.0	8.0	6,223.6k	7.0
8789.JT	FINTECH GLOBAL INCORPORATED	125.0	+1.0	+0.81	212.7k	124.0	125.0	9.8k	126.0

Case 2) — Add on a single stock price page

On a single price quote page, select a Watch List then click **“Add”** button.

Stock : 9501.JT Watchlist : Japan

Code	Stock Name										
9501.JT	Tokyo Electric Power Co Holdings Inc										
Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open				ne(K)
414.0	+10.0	+2.48	127k	413.0	414.0	270.1k	403.0				5.100
Bid5	Bid4	Bid3	Bid2	Bid1	Ask1	Ask2	Ask3	Ask4	Ask5		
-	-	-	-	413.0	414.0	-	-	-	-		
-	-	-	-	-	-	-	-	-	-		

Select

ing the watch list from the top drop-down menu, the new ticker will appear in the list.

Stock : Watchlist :

Code	Stock Name	Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open
7201.JT	NISSAN MOTOR CO LTD	1003.0	+3.3	+0.33	88.4k	1003.0	1004.5	5.4k	995.1
9501.JT	Tokyo Electric Power Co Holdings Inc	414.0	+10.0	+2.48	127k	413.0	414.0	270.1k	403.0
9898.JT	Sakha Diamond Corp	8.0	-	-	10,436.4k	7.0	8.0	6,223.6k	7.0
8789.JT	FINTECH GLOBAL INCORPORATED	125.0	+1.0	+0.81	212.7k	124.0	125.0	9.8k	126.0

B. Remove/ Change component in My Portfolio

Click “*Edit Watchlist*”.

Please select watchlist

- Singapore
- Malaysia
- USA
- Watch List 4
- Japan

Stock : Watchlist :

Code	Stock Name	Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open
7201.JT	NISSAN MOTOR CO LTD	1003.0	+3.3	+0.33	88.4k	1003.0	1004.5	5.4k	995.1
9501.JT	Tokyo Electric Power Co Holdings Inc	414.0	+10.0	+2.48	127k	413.0	414.0	270.1k	403.0
9898.JT	Sakha Diamond Corp	8.0	-	-	10,436.4k	7.0	8.0	6,223.6k	7.0

Select the watch list you want to edit.

Singapore
Malaysia
USA
Watch List 4
Japan

Stock:

Symbol	Company Name	
7201.JT	NISSAN MOTOR CO LTD	<input type="button" value="Remove"/>
9501.JT	TOKYO ELECTRIC POWER CO INC	<input type="button" value="Remove"/>
9898.JT	SAKHA DIAMOND CORP	<input type="button" value="Remove"/>
8789.JT	FINTECH GLOBAL INC	<input type="button" value="Remove"/>

Market	Symbol	Company Name	
JP	8789.JT	FINTECH GLOBAL INC	<input type="button" value="Add"/>

On the left column, Click “Remove” to delete the stock you intend to remove.

Japan

Stock:

Symbol	Company Name	
7201.JT	NISSAN MOTOR CO LTD	<input type="button" value="Remove"/>
9501.JT	TOKYO ELECTRIC POWER CO INC	<input type="button" value="Remove"/>
9898.JT	SAKHA DIAMOND CORP	<input type="button" value="Remove"/>
8789.JT	FINTECH GLOBAL INC	<input type="button" value="Remove"/>

Market	Symbol	Company Name	
JP	8789.JT	FINTECH GLOBAL INC	<input type="button" value="Add"/>

Click “Back” to return to price quote page of the watch list. The stock has been removed.

Stock : Watchlist :

Code	Stock Name	Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open	Hi
7201.JT	NISSAN MOTOR CO LTD	1003.0	+3.3	+0.33	88.4k	1003.0	1004.5	5.4k	995.1	100
9501.JT	Tokyo Electric Power Co Holdings Inc	414.0	+10.0	+2.48	127k	413.0	414.0	270.1k	403.0	415
9898.JT	Sakha Diamond Corp	8.0	-	-	10,436.4k	7.0	8.0	6,223.6k	7.0	8.0

C. Rename My Watch List

Click “*Edit Watchlist*”. Select the watch list you want to rename.

Input a new name such as “JP Stock” in the example, and then click “*Rename*”.

Click “*Back*”, you will see the new watch list name displaying on the drop-down menu.

Stock : Watchlist :

Code	Stock Name	Last	Chg	Chg%	BVol	Bid	Ask	AVol	Open	Hi
7201.JT	NISSAN MOTOR CO LTD	1003.0	+3.3	+0.33	88.4k	1003.0	1004.5	5.4k	995.1	100
9501.JT	Tokyo Electric Power Co Holdings Inc	414.0	+10.0	+2.48	127k	413.0	414.0	270.1k	403.0	415

(7) Order Types

The platform provides limit order only.

Limit order is an order that is allowed to match at a specified or better price(s), also the most common order type.

Given no market order type available on the trading platform, how to achieve the result of market order?

The platform does not provide market order; however, client can consider below to achieve the similar result as a market order.

Method 1:

During trading hours of US market, client can request our foreign stock dealers by call for a simulated market order on US stock, they will consider and attempt to arrange it.

Method 2:

If an order is placed through the platform,

- 1) If it is a purchase order, client can input a price which is higher* than the prevailing price to achieve the attempted result of market buy order.
- 2) If it is a sale order, client can input a price which is lower* than the prevailing price to achieve the attempted result of market sell order.

* The price deviation cannot be over 3% compared to the last traded price or the acceptable range of each market. Client should check the order status right after placing order AND market opens on their own. Our Company will not be liable for any losses in any form arising from using the above methods.

(8) Stock Code

To get the stock code for placing order, clients are able to find out the code at their position holding **“Pos.”** or use the **“Stk. Search”** function.

After selecting Mkt., input the key string of stock name / code, then click **“Search”**. The suggested results will be shown. Click on the stock you want, relevant data would be filled on the order ticket.

The screenshot displays a trading platform interface. On the left, a table lists stocks from a watchlist for the Singapore market. The table has columns for Code, Stock Name, Last, Chg, Chg%, BVol, Bid, Ask, AVol, and Open. The first few entries are HPH.SG (HPH Trust USD), SGX.SG (SGX), SSG.SG (Sheng Siong), and SKE.SG (SingaporeKitchen).

In the center, the 'Stk. Search' function is active. The 'Mkt.' dropdown is set to 'USA'. The 'Stock Code' field contains 'AAPL' and the 'Stock Name' field contains 'Apple'. A 'Search' button is visible next to these fields.

Below the search fields, a table shows search results:

Mkt.	Stock Code	Stock Name	Curr.	Lot Size
US	APLE	APPLE HOSPITALITY REIT INC	USD	1
US	AAPL	Apple Inc.	USD	1
US	DPS	DR Pepper Snapple Group Inc	USD	1
US	MLP	Maui Land and Pineapple Company Inc	USD	1

On the right side of the interface, the order entry form is partially filled. The 'Mkt.' is 'USA', 'ACCT. NO.' is redacted, and 'Stock Code' is 'AAPL' with 'Apple Inc.' as the name. The 'Curr.' is 'USD', 'Settle Curr.' is 'USD', and 'Order Type' is 'Limit'. There are 'Buy (B)' and 'Sell (S)' buttons at the bottom.

At the bottom right, there is a section for 'Outstanding Orders' with a 'No Records' status.

The stock you request may be restricted from trading or does not exist in the market, you can call our Foreign Stock Dealing Hotline +852-22776678 for help.

Singapore Stock Code

The Singapore stock code used on the platform is different from SGX stock code. How to get the correct stock code for order if you have SGX stock code?

The steps are:

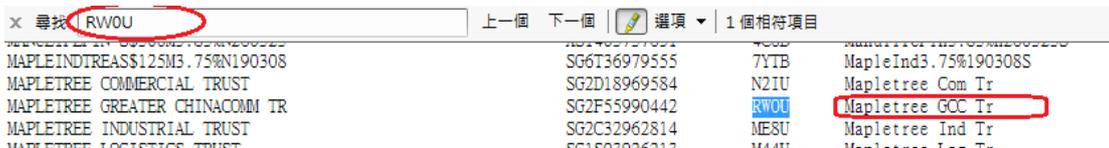
1. Go to the SGX website www.sgx.com
2. Choose Company Information > ISIN Code Download



3. Click on today's file



4. Press <Ctrl> +F, input the SGX code in the search cell such as RWOU, and then the result will show on the third column of the list. Copy the short name shown on the last column such as Mapletree GCC Tr.



5. Paste the short name in the Stock Name cell on **Stk Search** tab and then click **“Search”**.

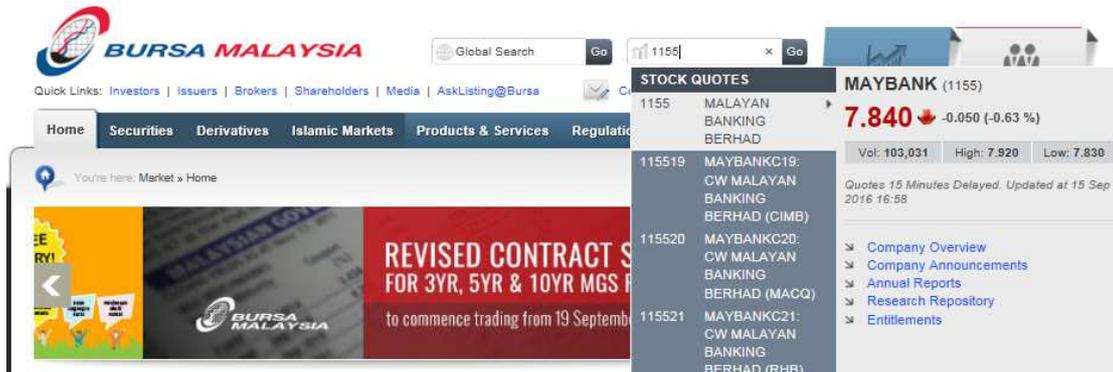
Pos.	Trans. Fee	Stk. Search	Exch. Rate	Cust. Services
Mkt.	Stock Code	Stock Name		
All		Mapletree GCC Tr	Search	Reset
Mkt.	Stock Code	Stock Name	Curr.	Lot Size
SG	MGCT.SG	Mapletree GCC Tr	S\$	100

Malaysia Stock Code

The Malaysia stock code used on the platform is different from stock code given by the Exchange of Bursa Malaysia. How to get the correct stock code for order if you have the Bursa's stock code?

The steps are:

1. Go to <http://www.bursamalaysia.com/market>
2. Input Bursa-specified stock code in the “Get Quote” blanket.



3. Choose the intended stock, mark the keyword but ignores BERHAD, which is shown as BHD in the platform.



4. On the Stk. Search tab of the platform, select Malaysia for Mkt., input the key words in the Stock Name blank space, then click “Search”.

Pos.	Trans. Fee	Stk. Search	Exch. Rate	Cust. Services
Mkt.		Stock Code	Stock Name	
Malaysia			malayan	Search Reset
Mkt.	Stock Code	Stock Name	Curr.	Lot Size
MY	MBK.MY	Malayan Banking Bhd	MYR	100
MY	MFL.MY	Malayan Flour Mills Bhd	MYR	100
MY	MFLWB.MY	Malayan Flour Mills Bhd	MYR	100
MY	MUI.MY	Malayan United Industries Bhd	MYR	100
MY	LMC.MY	Lafarge Malayan Cement Bhd	MYR	100

(9) Orders Placement

The screenshot shows an order placement interface with the following fields and callouts:

- 1**: Mkt. dropdown menu set to USA.
- 2**: Stock Code input field containing 'AAPL'.
- 3**: Order Px. (Price) input field.
- 4**: Order Qty (Quantity) input field.
- 5**: Settle Curr. (Settlement Currency) dropdown menu set to USD.
- 6**: Order Type dropdown menu set to Limit.
- 7**: Buy (B) and Sell (S) buttons.

Other visible fields include ACCT. NO. (redacted), Curr. (USD), and Position (0 Share(s)). A note below the quantity field states '(Board lot size : 1)'.

1. Market
2. Stock Code (Click stock code on price quote display / Click the stock in the *Search Code* page / Input the stock code directly on the order ticket)
3. Order Price
4. Order Quantity
5. Settlement Currency
6. Order Type (Limit only)
7. Buy / Sell
Client can press <Tab> on the key board to switch blank space.
8. For security purpose, please input your password again and click "*Submit*" to confirm your order instruction.

The screenshot shows a confirmation screen for a Buy order with the following details:

- Acct. No.**: (Redacted)
- Mkt.**: US
- Stock Code**: AAPL
- Stock Name**: Apple Inc.
- Order Px.**: 100
- Order Qty**: 1
- Settle Curr.**: USD

The word **Buy** is displayed in large red text in the top right corner.

Reminder :

All outstanding order will NOT be carried to the next day after market closed. Please input password to reconfirm. **Please wait for successful order submission before proceeding.** The related commission and other fee is NOT included in this order. Please reserve enough money in account for settle. Otherwise, the interest will be charged.

8: A yellow input field for a password, followed by **Submit** and **Cancel** buttons.

* The number beside **Position** represents the number of the stock in hand. Please be aware and avoid short-selling.

Mkt. USA 

ACCT. NO.

Stock Code AAPL Apple Inc.

Curr. USD Settle Curr. USD

Order Px. 100 Order Type Limit

Order Qty 1 **Position 0 Share(s)**

(Board lot size : 1)

Buy (B) Sell (S)

Special Orders:

If client wants to place special orders such as Cross trades, odd lots or Good Till Cancel (GTC) orders, please call foreign stock department hotline for enquiry.

Please do NOT place orders via text, fax and email. *All or Nothing (AON) order is not available.

If client wants to place market price order, please call foreign stock department hotline during trading hours. Please be aware that market price order is not accepted during market close.

(10) Odd lot trading for Singapore and Japan market

Odd lot orders cannot be placed on the Platform, clients have to place either

1. By calling your account executive or
2. By calling foreign stock trading hotline.

Please note that odd lot price may not be the same as ordinary shares. Real-time price quotes and the order status are not available on the platform, please call foreign stock trading hotline for enquiry.

(11) Smart Order Routing available exclusively for Japan and US markets

When you place orders to the Tokyo Stock Exchange (TSE), your orders are automatically processed by way of Smart Order Routing (SOR).

That means your orders sent to TSE can be automatically traded on TSE or other trading systems supported by our counterparty within Japan; depending on the best price available.

Smart Order Routing is only available for TSE at the moment. For those non-TSE stock exchanges, the orders are sent to the exchange or the primary exchange if there is no value in the specific market.

While you place an order in US market, your order is automatically processed by way of Smart Order Routing (SOR) which means your order sent to TSE can be automatically traded on one of the trading systems supported by our counterparty within US; depending on the best price available.

(12) Checking Order Status

After placing orders, clients can check the order status under “All” and "Outstanding orders”. By double clicking the table header, you can sort all orders in  ascending or  descending sequence.

Mkt. Side Stk Code

All | DMA Mkt 1 | DMA Mkt 2 | Non DMA Mkt

Outstanding Orders | [Outstanding](#) | [Received](#) | [Pending Cancel](#) | [Pending Approva](#)

Side 	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.	(Est.) Amt.	Status
Buy	100.000000	0.000000	2	0	USD	USD	230.00	O/S

Completed Orders | [Done](#) | [Cancel](#) | [Rejected](#)

Mkt.	Stk Code 	Side	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.	(Es
US	TSLA	Buy	100.000000	0.000000	2	0	USD	USD	
US	AAPL	Buy	50.000000	0.000000	1	0	USD	USD	

Yesterday Completed Orders | [Done](#) | [Cancel](#) | [Rejected](#)

Mkt.	Stk Code	Side	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.	(Est.)
US	KO	Buy	1.000000	0.000000	1	0	USD	USD	

Yesterday Completed Orders | [Done](#) | [Cancel](#) | [Rejected](#)

Side	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.	(Est.) Amt	Status
Buy	50.000000	0.000000	1	0	USD	USD		Cancel
Buy	100.000000	0.000000	1	0	USD	USD		Cancel
Buy	100.000000	0.000000	2	0	USD	USD		Cancel
Buy	20.000000	0.000000	1	0	USD	USD		Rejected
Buy	100.000000	0.000000	1	0	USD	USD		Rejected

Descriptions:

Header name	Description
Ref	Reference number of the particular order
Submit By	Indicate who inputs the order. Account number – Clients input by their own through POEMS/SATS SATS login name – Orders input by AE/dealers through SATS or FS Traders
Side	‘B’ – Buy orders, marked in pink for background ‘A’ - Sell orders, marked in yellow for background
Status	RECEIVED – Orders inputted but not transfer to the Exchange yet O/S – Already routed onto the Exchange PENDING APPROVE – Order input instruction initiated, FS department is processing the order Reasons for pending Approve: 1 . Balance overdue or Exceed credit limit (Include credit limit and margin value) 2 . Non-DMA order which is further processed by our dealer 3 . The order consideration is over single trade limit 4 . The client status is not active Please click "Refresh" to get update PEND CANCEL - Order withdrawal instruction initiated, Central Desk is processing the order

	REJECTED – Order placing or withdrawal has been rejected
Message	Extra information of this trade
Order Time	Indicate the time the order is placed
Submit Time (Ref. only)	Indicate the HK time when the order has been submitted to the exchange. (For non-STP orders, the time shown may not be exactly the time that route to the exchange)
Exec Time (Ref. only)	Indicate the HK time when the order has been executed. (For non-STP orders, the time shown may not be the exact execution time at the exchange)
Sett. Curr.	Settlement currency that is selected by client.
(Est.) Amt	The estimated amount is for reference only. The final settlement amount may be different. The amount includes approximate commission and related trading expenses, but does not consider for a particular account, order consolidation, trading currency, settlement currency and exchange rate fluctuation.

Kindly reminder:

1. For the selection of the settlement currency, please make sure that the account has enough balance and correct type of currency for buy orders on settlement date. Otherwise, the account is subject to interest debited since settlement date.
2. If settlement currency of a particular trade is wrongly selected, please call foreign stock trading department during the trading hours to amend.
- 3.

(13) Cancelling / Amending Orders

Cancelling Orders

To cancel the orders, click the grey “X” button on the first column of “Outstanding”, “Received” and “Pending Approve”.

Mkt. All Side All Stk Code Search Reset Refresh

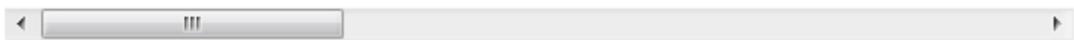
All DMA Mkt 1 DMA Mkt 2 Non DMA Mkt

[Outstanding Orders](#) **Outstanding** [Received](#) | [Pending Cancel](#) | [Pending Approve](#)

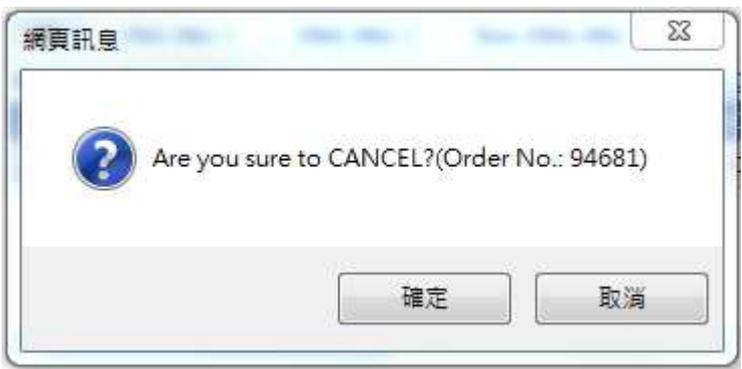
Mkt.	Stk Code	Side	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.
US	TSLA	Buy	100.000000	0.000000	1	0	USD	USD

Completed Orders | [Done](#) | [Cancel](#) | [Rejected](#)

Mkt.	Stk Code	Side	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.	(Est.)
------	----------	------	-----------	-----------	-----------	----------	-------	--------------	--------



A new window pop-up. Choose "OK" from the dialog box to confirm.



When the order is successfully cancelled, the order will be moved to 'Completed Orders' from 'Outstanding Orders'. For partial done trades, they will be on 'Done' tab. For cancelled trade, they will be on 'cancel' tab.

Mkt. All Side All Stk Code Search Reset Refresh

All DMA Mkt 1 DMA Mkt 2 Non DMA Mkt

[Outstanding Orders](#) | [Outstanding](#) | [Received](#) | [Pending Cancel](#) | [Pending Approve](#)

No Records

[Completed Orders](#) | [Done](#) | **Cancel** | [Rejected](#)

Mkt.	Stk Code	Side	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.	(Est.)
US	TSLA	Buy	100.000000	0.000000	1	0	USD	USD	

Three statuses will be shown.

1. Pending Cancel- Order withdrawal instruction initiated, FS department is handling the withdrawal request.
2. Cancel– Order successfully withdrawn
3. Cancel RJ- Order cannot be cancelled. Possible result may be either "Done" or "Part Cancel".

Kindly reminder:

1. Since foreign stock dealer has to take time to place or cancel the orders, the withdrawal instruction or market orders may NOT be successfully executed.
2. You can see the one who withdrew the order in the column “WithdrawBy”

Account number – Clients input by their own through POEMS

SATS login name – Orders input by AE/dealers through SATS or FS traders

3. Once market closed, all outstanding orders will be removed automatically later during the day; Clients NEED NOT to withdraw orders.
4. For order rejection, please refer to the "Message" column or Appendix I "Possible Reasons for Rejected Orders". In addition, US stock broker stipulates some rules that avoid error trades: i) all orders whose quantity is greater than 9,999 shares and the 30-day average volume of the stock will be rejected (20); ii) Order which is placed during continuous trading hours and whose order price deviates more than 8% of mid price will be rejected (21).

Amending Orders

The platform does not allow to amend order To amend an order, client has to SUCCESSFULLY cancel the original order which is under outstanding, received or pending approve tabs, then place new order. If both the original and new order get filled, client is liable to the responsibilities and risks.

1. Cancel the original order (refer to Item 15)
2. Place a new order (refer to Item 11)

(14) Checking Today's Completed Orders

Click "Completed Orders" to check today's completed order and trade history. Please note that Complete Orders include (i) "Done" - fully executed, partially done and withdrawn; (ii) "Cancel" - Completely cancelled"; (iii) "Rejected" - Rejected.

Mkt. Side Stk Code

[Outstanding Orders](#) | [Outstanding](#) | [Received](#) | [Pending Cancel](#) | [Pending Approve](#)

No Records

Completed Orders | [Done](#) | [Cancel](#) | [Rejected](#)

Mkt.	Stk Code	Side	Order Px.	Exec. Px.	Order Qty	Done Qty	Curr.	Settle Curr.	(Est.)
US	AAPL	Buy	50.000000	0.000000	1	0	USD	USD	
US	TSLA	Buy	100.000000	0.000000	1	0	USD	USD	
US	TSLA	Buy	100.000000	0.000000	2	0	USD	USD	
US	AAPL	Buy	20.000000	0.000000	1	0	USD	USD	

Descriptions:

Column name	Description
Ref	Reference number of the particular order
Submit By	Indicate who input the order. Account number – Clients input by their own through POEMS/SATS SATS login name – Orders input by AE/dealers through SATS or FS traders
Side	‘B’ – Buy orders, marked in pink for background ‘A’ - Sell orders, marked in yellow for background
Exec. Px.	Average executed price
Done Qty	Filled quantity
Status	DONE – Orders have been fully filled PART DONE – Orders have been partially filled CANCEL – Order has been completely cancelled PART CANCEL –Orders have been partially filled, and the remaining has been cancelled

	REJECTED – Orders cannot pass to the Exchange (Please refer to the column “Message” for more information. For further details, please contact foreign stock trading dept)
Sett. Curr.	Settlement currency that is selected by client.
(Est.) Amt	The estimated amount is for reference only. The final settlement amount may be different. The amount includes approximate commission and related trading expense, but does not consider for a particular account, order consolidation, trading currency, settlement currency and exchange rate fluctuation.

(15) Checking Previous Day's Completed Orders

1. The history of Completed Orders placed on previous trading day will be shown on “Yesterday Completed Orders”.

Yesterday Completed Orders Done Cancel Rejected											
Mkt.	Stk Code	Side	Order Pk.	Exec. Pk.	Order Qty	Done Qty	Curr.	Settle Curr.	(Est.) Amt.	Status	Order Time
US	KO	Buy	1.000000	0.000000	1	0	USD	USD		Rejected	9/22/2016 5:05:12 PM

2. The red circle and rectangle display order details.

Kindly reminder -

US order records will be retained till 10:45 a.m., please call foreign stock trading department to check after 11:00a.m.

(16) Checking Stock Position

Click Pros. to check the stock position of foreign stock account.

Pos.	Trans. Fee	Stk. Search	Exch. Rate	Cust. Services				
Refresh								
Stk Code	Qty.	Curr.	Close Pk.	Mkt. Val.	Mgn. Ratio	Mgn. Val.	Exch. Rate (Ref.)	Mkt. Val. (HKD eqv.)
900932.SS	21	USD	1.674000	35.1500	50%	17.5800	7.7559	272.6500

(17) Checking Credit Limit and Account Balance

Click “Pros.” to check the credit lines and account balance in foreign stock account.

Pos.	Trans. Fee	Stk. Search	Exch. Rate	Cust. Services				
Refresh								
Stk Code	Qty.	Curr.	Close Px.	Mkt. Val.	Mgn. Ratio	Mgn. Val.	Exch. Rate (Ref.)	Mkt. Val. (HKD eqv.)
900932.SS	21	USD	1.674000	35.1500	50%	17.5800	7.7559	272.6500

[View Balance with Multiple Currencies](#)



Client Information - Status :A			
Credit Limit (HKD eqv.) :	100.0000	Loan Limit (HKD eqv.) :	0.0000
Single Trade Limit (HKD eqv.) :	100.0000	Prev. Bal. (HKD eqv.) :	-6,304.2900
Cash Flow (HKD eqv.) :	0.0000	Fund Trf. (HKD eqv.) :	0.0000
Mkt. Val. (HKD eqv.) :	272.6500	Mgn. Val. (HKD eqv.) :	136.3300
Incomplete Bid Order Amt. (HKD eqv.) :			0.0000
Incomplete Ask Order Amt. (HKD eqv.) :			0.0000
Avail. Bal. (HKD eqv.) :			-6,204.2900

Client information display the following items:

Field name	Description
Fund Transfer (HKD eqv.)	If the clients have deposited to the bank account of our company and the deposit is pending for account department's confirmation and settlement department's crediting to securities account. Foreign stock trading staff can add the temp fund upon request and the HKD-equivalent amount will show in this field
Cash Flow (HKD eqv.)	Net sum of today's purchase and sale transactions.
Imcomplete Bid Order Amt. (HKD eqv.)	Aggregate amount of outstanding buy orders.
Imcomplete Ask Order Amt. (HKD eqv.)	Aggregate amount of outstanding sell orders.
Avail. Bal. (HKD eqv.):	How much you can buy foreign shares now.

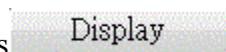
When you select the “View Balance with Multiple Currencies”, all account balance in different currency will be shown.

Curr.	Exch. Rate (Ref.)	Prev. Bal.	Fund Trf.
HKD	1.0000	5,020.85	0.00
JPY	7.69@100	-20,696.00	0.00
SGD	5.7073	-1,662.71	0.00
USD	7.7557	-31.46	0.00
Total Prev. Bal (HKD eqv.)			-6,304.28
Total Fund Trf. (HKD eqv.)			0.00

(18) Charting

On the platform, click **Chart** in the **Foreign Stock** section. Then follow the instruction to access.

The screenshot shows a web interface for charting. It features two dropdown menus at the top: "Country of Exchange" with "Singapore" selected, and "Types of Financial Instruments" with "Stocks/Indices" selected. Below these is a scrollable list of instruments, with "Telecom" highlighted. At the bottom, there are input fields for "Number of years to view data" for Daily (1), Weekly (2), and Monthly (5) frequencies, and a "Display" button.

Choose the **(Country of Exchange)**, **(stocks) /(indice)** and **(Number of years)** you need, then press 

- * Stock Chart/Index Chart available for 5 markets only, including Singapore, Malaysia, United States, United Kingdom and Japan.
Number of years to view data, (up to 10 years for Daily, 20 years for Weekly and 50 years for Monthly)

After accessing to the Chart page, you can do the setting on your preference.

1. Chart Type(Bar, Candle, Line, etc.)
2. Add or delete some technical analyses on the main display or on subchart layers (Moving Average, RSI, Bollinger, etc. up to 65 indicators)
3. Magnify or Minify the price trend in particular time frame 
4. Blacken the background 
5. Conversion of Daily, Weekly and Monthly Chart
6. Moving pointer to observe historical high, low, opening and closing price 

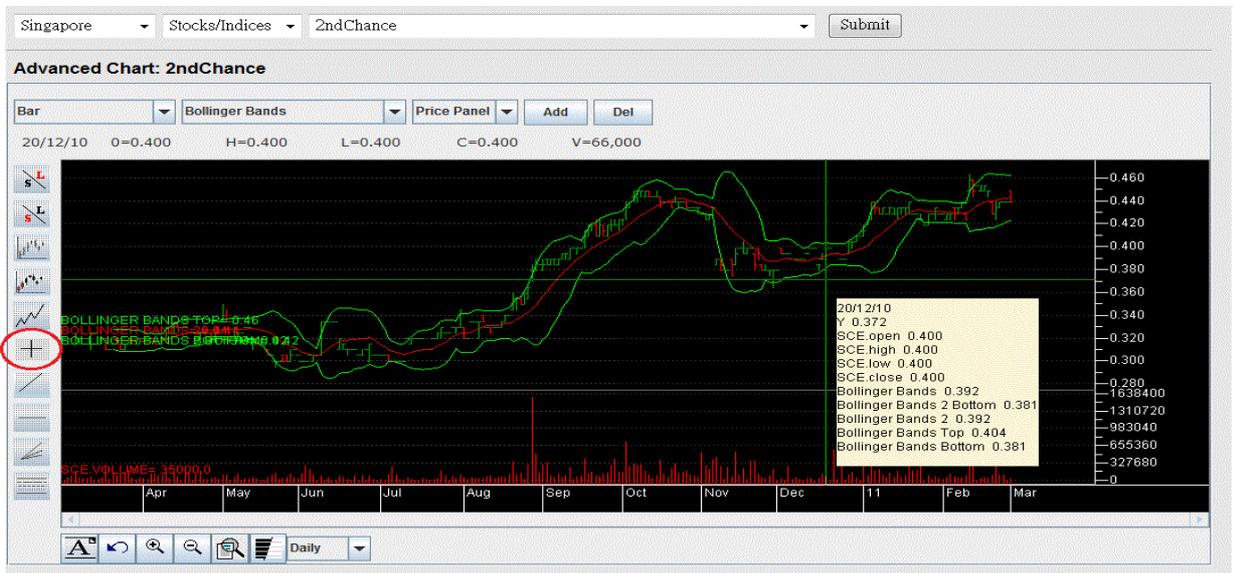
Chart

X



圖表

X



(19) Foreign Stock Calculator

Input the amount you want to convert and select the required currency pair, then you can get the approximated amount.

Currency Converter

From this currency	To this currency	Convert amount	Results
Hong Kong Dollar (HKD)	US Dollar (USD)	1	= 0.1289

The above information is for reference only, the final currency exchange rate will be subject to the Daily Combined Statement issued from our company.

Exchange Rates

Currency		Exchange Quantity	Client Buy	Client Sell
Australian Dollar	AUD	per 1	HKD 5.9639	HKD 5.8927
Canadian Dollar	CAD	per 1	HKD 5.9740	HKD 5.9026
Swiss Franc	CHF	per 1	HKD 8.0471	HKD 7.9510
Chinese Yuan (H.K.)	CNH	per 1	HKD 1.1655	HKD 1.1585
Euro	EUR	per 1	HKD 8.7425	HKD 8.6380
UK Pound	GBP	per 1	HKD 10.1731	HKD 10.0515
Hong Kong Dollar	HKD	per 1	HKD 1.0000	HKD 1.0000
Indonesian Rupiah	IDR	per 10,000	HKD 5.9891	HKD 5.8704
Indian Rupees	INR	per 100	HKD 11.7023	HKD 11.5624

(20) News

On the trading platform, you can view the updated news for the U.S., China and Singapore markets.

The screenshot displays the POEMS trading platform interface. At the top, there is a navigation bar with options like 'Main', 'HK Stock', 'Unit Trust & Bond', 'Foreign Stock', 'SBP', 'Forex', and 'Bullion'. Below this, there are several panels:

- User Info:** Shows account details for A/C: M0936, including Total Point (780), Locked Point (0), and Remain Point (780).
- Service Reminder:** A notice about the service time of local stock, stock options, and local futures, stating that the system may not perform properly for the rest of the time due to regular maintenance.
- IPO:** A table listing IPO margin financing applications with columns for Company Name and Expiry Date.
- DJ News:** A section for Dow Jones News, featuring a 'Market Summary' tab and a list of news items. The news items include:
 - ▼ Fri, 23 Sep 2016 15:48 GMT DJ LSC Communications Inc. WI (LKSJW) Ind: 32.00-36.00 Last 0.00 (END) Dow Jones Newswires September 23, 2016 11:48 ET (15:48 GMT) Copyright (c) ... [More..]
 - ◇ Fri, 23 Sep 2016 15:46 GMT DJ U.S. Stocks Edge Lower
 - By Riva Gold Stocks cooled Friday, but remained on track to end the week higher amid ... [More..]
 - ◇ Fri, 23 Sep 2016 15:45 GMT DJ Prudential: An Undervalued Play On Higher Interest Rates -- Barron's
 - By Johanna Bennett Like other insurance stocks, Prudential Financial's ... [More..]
 - ◇ Fri, 23 Sep 2016 23:45 +0800 DJ 市場快訊: Anthem稱與信諾保險合併的協同效應或超原估
 - >ANTM CI Anthem (ANTM)稱, 其與信諾保險(CI)的合併交易或每年帶來26億美元至... [More..]
 - ◇ Fri, 23 Sep 2016 15:45 GMT DJ LSC Communications Inc. WI (LKSJW) Ind: 32.00-36.00 Last 0.00
- Latest News:** A section for the latest news, including:
 - Terminate Fixed Version of Teletext** (23/05/2016): The Fixed Version of Teletext will be terminated on 23 May 2016. We encourage client to use Teletext New.
 - Waive IPO Margin Financing Application Handling Charges** (19/05/2016): Client is now available to use 1500 POEMS points to convert to BOC Aviation(2588) IPO margin financing application handling charges.

(21) Research Report

Switching to the echeck platform, you can now view different markets research Reports.

Market : Choose a market

Date : Choose a market

Date	Report Title	Market
9/6/2016 (一)	澳洲 Australia Group	新加坡
9/5/2016 (日)	新加坡 Singapore 教(技術分析)-繁體中文	美國
9/5/2016 (日)	日本 Japan 教	美國
9/5/2016 (日)	南韓 South Korea Morning Note	新加坡
9/5/2016 (日)	印尼 Indonesia chronics	泰國
9/5/2016 (日)	馬來西亞 Malaysia ysis: S&P 500	美國
9/5/2016 (日)	泰國 Thailand	新加坡
9/2/2016 (一)	美國 USA	新加坡
9/2/2016 (一)	亞洲 Asia	新加坡
9/2/2016 (一)	其他 Others	新加坡
9/2/2016 (一)	Singapore Morning Note	新加坡
9/2/2016 (Fri)	Minor International	泰國
9/1/2016 (Thu)	Singapore Morning Note	新加坡
9/1/2016 (Thu)	易安信公司(簡體中文)	美國
9/1/2016 (Thu)	易安信公司(簡體中文)	美國
9/1/2016 (Thu)	EMC Corporation	美國
9/1/2016 (Thu)	Technical Pulse	新加坡
9/1/2016 (Thu)	800 Super Holdings Ltd	新加坡
9/1/2016 (Thu)	Dynasty Ceramic	泰國
8/31/2016 (Wed)	Central Pattana	泰國

[Page 1 of 131]

(22) Stock Screening Tool

Choosing the market, sectors and filling in the numbers you want, the system would help screen out a list of stocks, which assists clients in conducting in-depth analysis and pick the right stock into the portfolio.

MARKET : SGX SECTOR : All

	Min	Max	Sector Average
1. Price and Valuation			
Price (\$, up to 3 dec places)			11.817
Market Cap (\$mln)			3422.3
2. Growth Rates			
Operating Profit Margin (%)			24.2
Revenue Growth Rate (%)			30
EPS Growth Rate (%)			122.2
Dividend Yield (%)			3.7
ROE (%)			20.2
ROA (%)			4
3. Financial Strength			
PE Ratio			23.9
Price/NTA Ratio			10.6
Current Ratio			3.6
Debt/Equity Ratio			1.3

1. Price = The last closing price for the previous day
2. Market Cap = Market Capitalisation (no. of shares issued X latest closing price)
3. Operating Profit Margin = (Operating profit / total revenues)
4. Revenue Growth Rate = $(R_t - R_{t-1}) / R_{t-1}$ R = turnover
5. EPS (Earnings Per Share) Growth Rate = $(EPS_t - EPS_{t-1}) / EPS_{t-1}$
6. Dividend Yield = (Dividends / Market price)
7. ROE = Return of Equity (Net earnings / Equity)
8. ROA = Return of Assets (Earnings before taxes and interest / Total assets)
9. PE Ratio = (Price / Earnings per share)
10. Price/NTA Ratio = Price / NTA ratio
11. Current Ratio = (Current assets / Current liabilities)
12. Debt/Equity Ratio = (Liabilities / Equity)

After screening, stocks would be arranged in alphabetical order by stock codes.

	Co. code	Company name	Price (\$, up to 3 dec places)
1	AFC.MY	QSR BRANDS BHD	RM 2.070
2	AHP.MY	AYER HITAM PLANTING S BHD	RM 2.420
3	AIC.MY	AIC CORPORATION BHD	RM 2.400
4	AJI.MY	AJINOMOTO (M) BHD	RM 2.680
5	APD.MY	APOLLO FOOD HOLDINGS BHD	RM 2.240
6	ARB.MY	AHMAD ZAKI RESOURCES	SGD 2.320
7	ATL.MY	ATLAN HOLDINGS BERHAD	RM 2.290
8	AUS.MY	AUSTRAL ENTERPRISE BHD	RM 2.980
9	BIG.MY	BIG INDUSTRIES BHD	RM 2.800
10	BRA.MY	BANDAR RAYA DEVELOPMENTS BHD	RM 2.160
11	CBM.MY	CHOO BEE METAL IND. BHD	RM 2.300
12	CCM.MY	CHEMICAL COMPANY OF MALAYA	RM 2.140
13	DUN.MY	SIME ENGINEERING SER. BHD	RM 2.460
14	EGC.MY	EG INDUSTRIES BHD	RM 2.740
15	EKO.MY	EKOVEST BHD	RM 2.050
16	EPE.MY	RANHILL POWER BHD	RM 2.200
17	ESQ.MY	ESSO MALAYSIA BHD	RM 2.600
18	FIT.MY	FITTERS HOLDINGS BHD	RM 2.030
19	GAD.MY	GADEK (M) BERHAD	RM 2.630
20	GMB.MY	GLOMAC BERHAD	SGD 2.440
21	GUT.MY	KUMPULAN GUTHRIE BHD	RM 2.300
22	HAP.MY	HAP SENG CONSOLIDATED BHD	RM 2.530

*This service is only available for stocks in Singapore and Malaysia market.

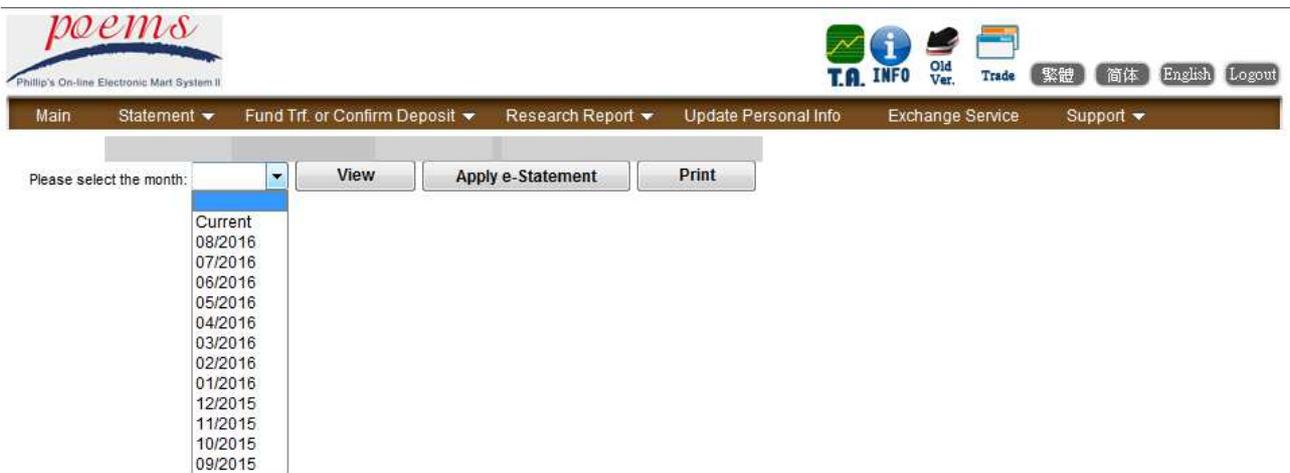
(23) Checking Client Statement

Switching from the trading platform to the echeck platform by clicking  ;

Clients can view their FS statement under section *Statement to Foreign Stock*



Choose the month you want, then it would display the transaction record and also the stock position.



(24) POEMS Points Redemption

Clients trading in HK or US stocks would be rewarded POEMS Points.

These points can be used to redeem for US streaming (Real time) price quote service.

Enter “eCheck” and then choose “Exchange Service”.

Required points for the US streaming (Real time) price quote service:

300 points for each calendar month

(Clients have to apply for U.S. streaming (Real time) price quote service in www.cyberquote.com.hk first.)

The screenshot displays the POEMS website interface. At the top, the POEMS logo is on the left, and navigation icons for T.A. INFO, Old, Trade, and language options (繁體, 简体, English, Logout) are on the right. A dark navigation bar contains links: Main, Statement, Fund Trf. or Confirm Deposit, Research Report, Update Personal Info, Exchange Service (circled in red), and Support. Below this is the 'Exchange Service Menu' with buttons for All, Quote(7), SBL(3), Travel Insurance (6), Home Insurance (3), Medical Insurance (4), Others(8), and Worker Insurance (3). The main content area features a section for 'Streaming (Real time) teletext for 1 month' with a 'Terms and Conditions' link. To the left is a 'User Info.' box showing account details like 'Remain Cash: HKD\$ 440' and 'Total Point: 780'. Below it is an 'Exchange Orders' box with 'No Records'. The teletext service description includes an image of a teletext screen and text stating '2000 POEMS points for converting to streaming (Real time) teletext service for 1 month (From today to the last day of this month) to access price quote and broker queue.' It also notes a 3-month redemption window and provides 'Points: 2,000' and 'Price: HKD\$ 288.00' with 'Use Points Apply' and 'Use Cash Apply' buttons. Below this is a 'Waive single trade of promoting Unit Trust commission' section with another 'Terms and Conditions' link and a partially visible '800 POEMS points for converting to a Single trade of' offer.

Brokerage Services Guide

(25) Trading Sessions

Before entering the trading page, you can see a button called Exchange Timetable and shown on the disclaimers page. By clicking it, you will have foreign stock market exchange timetable on the same page.

Disclaimers

Japanese stock price quotes are delayed by at least 20 minutes.

US stock price quotes are provided by Thomson Reuters.

Information contained herein is based on sources that Phillip Securities (Hong Kong) Limited ("PSHK") believed to be accurate. PSHK does not bear responsibility for any loss occasioned by reliance placed upon the contents hereof.

Please click the below button to check out overseas (non-Hong Kong) stock market trading timetable. [Exchange Timetable](#)

Risk Disclosures

- 1. Risks of using electronic trading services**
If you undertake transactions via electronic trading facilities, you will be exposed to risks associated with the system including the failure of hardware and software, and your order may not be executed according to your instructions.
- 2. Risks of Securities Trading**
The prices of securities may fluctuate dramatically and become valueless. Losses may be incurred as a result of buying and selling securities.
- 3. Risks of Derivatives Trading**
Trading of derivatives involves high risks and is not suitable for every investor. The prices of derivatives may fall as rapidly as they may rise and you may suffer total or excessive loss of your investment amount.
- 4. Risks of Margin Trading**
The risk of loss in financing a transaction by deposit of collateral is significant. You may be called upon at short notice to deposit additional margin funds. In extreme market conditions we may be unable to contact you or provide you with sufficient time to make the required deposits, and forced liquidation may be necessary.

[Accept](#) [Decline](#)

Or go to our website and select the trading session in global securities webpage to check the related information.

Phillip Securities Group

English | 简体 | 繁體 | 家 | 礼物 | 网

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EU - Europe
FI - Finland
GR - Germany
IE - Ireland

Foreign Stock Trading NOW available on Android and iOS systems!

Stock Margin Financing Ratio Inquiry

Stock Margin Financing

Learn more

Local Securities
Stock Borrowing & Lending
IPO
Shanghai-Hong Kong Stock Connect
Stock Options
Global Securities
Asia
Americas
Pan-Europe
Exchange-Traded Fund
ADR
Chinese ADR
Listing Stocks
Trading Session

NYSE
NASDAQ
Deutsche Borse
London Stock Exchange
Tokyo Stock Exchange
HKEX
Shanghai Stock Exchange
SGX
KRX

USD Margin Financing in low cost

3.88% p.a.

Advantages of Trading Foreign Stocks

- Only one account is needed to trade different types of securities, including funds and deposit Receipts.
- Online Foreign Stocks Quotes or Full Transaction Services
- Professional Service on Foreign Stocks

U.S. Active Shares Recommendation Bloomberg News Headlines SG Stock List

Most Active US Shares

(26) STP/Non-STP markets, Non-consolidation for charges calculation and

Disclaimer

STP/Non-STP (aka DMA/ Non-DMA)

Apart from U.S., Singapore and Japan (exclude some accounts) which are straight-through processing "STP", all other markets are non-STP. Non-STP market means that an order will be placed by our dealer again on another trading platform once receiving client's order or around market opens. As a result, there may be latency in the update time and the order status.

Charges calculation for non-consolidated orders

All Western markets transactions are counted on a per order basis, each commission and transaction charge are calculated separately from one another. For Asia markets, if orders being placed are on the same trade day, same account, same stock, same side, same settlement currency and same order routing channel; the orders will be consolidated first and then calculate the commission and transaction fees.

Disclaimer

Phillip Securities (HongKong) Limited (hereinafter referred as "PSHK") endeavors to ensure the accuracy and reliability of the information provided but do not guarantee its accuracy and reliability. The information can be subject to change without any prior notice. PSHK accepts no liability (whether in tort or contract or otherwise) for any loss or damage arising from any inaccuracies or omission.

PSHK endeavors to process your buy or sell instructions may not be executed due to changes in stock prices, insufficient market turnover, system failure or any other unpredictable circumstances. As a result, the above types of order could be done completely, partially, or even completely not done. You should understand the characteristics and processing procedures of above orders before using such function.

(27) Good-Till-Cancel Orders (GTC)

1. What is GTC order? What is the function for this?

GTC, GOOD TILL CANCEL in full name, is for client who places the order for more than one trading day and would be effective until client cancel the order. However, client should note that the GTC service provided by Foreign Stock Department is “good till date” and by call only. Client MUST choose last valid date when placing the GTC order. The longest period for each GTC is 30 calendar days.

2. What types of shares are included in GTC orders?

Currently the following markets are available:

Western Markets:

U.S.A(excluding OTCBB & PinkSheet), Canada, U.K. (excluding AiM), Germany, Euronext, Ireland, Finland, Switzerland, Sweden and Turkey.

Asian-Pacific Markets:

Australia, China B, Indonesia, Japan(excluding Commodity ETF), Malaysia, Philippine, Singapore, South Korea, Taiwan (excluding the stocks which need special treatments) and Thailand.

Attention:

Only the stocks available in the platform could client place their GTC orders. Moreover, odd lot order is not available for GTC order.

3. How does a client place, amend or cancel his GTC order?

Once the client would like to place, amend or cancel his GTC order, he MUST PHONE to Foreign Stock Department for the instructions for GTC orders, but brokers and dealers must get the clients' instructions first with phone recording. Note that during trading hours, we do not accept GTC orders amendment. Nevertheless, client could still cancel his GTC order during trading hours.

Markets Available for Retail Clients to place GTC orders

Markets	During Office hours, GTC orders Receiving/ Amendment Time (HK Time)	
	Start Time	End Time
U.S. NYSE NASDAQ excluding OTC	At 9:00 after market close	17:30 on the same day
Canada	At 9:00 after market close	17:30 on the same day
Australia	At 14:30 after market close	17:30 on the same day
China B	At 15:00 after market close	07:30 the following trading day
Indonesia	At 18:00 after market close	07:30 the following trading day
Japan (excluding Commodity ETFs)	At 14:30 after market close	17:30 on the same day
Malaysia	At 18:00 after market close	07:30 the following trading day
Philippine	At 18:00 after market close	07:30 the following trading day
Singapore	At 18:00 after market close	07:30 the following trading day
South Korea	At 15:00 after market close	17:30 on the same day
Taiwan(excluding stocks which needs special treatment)	At 18:00 after market close	07:30 the following trading day
Thailand	At 18:00 after market close	07:30 the following trading day
U.K. Euronext Germany Finland Ireland Switzerland Sweden Turkey	At 09:00 after market close	11:00 on the same day

4. What is the requirement for the cash balance before we place the GTC order?

Customer of Cash Account: If the account balance is below the minimum capital requirement for a GTC purchase order on the day it is setup, the order may still be accepted. However, the Company reserves the rights to cancel such order without notice if the minimum capital requirement remains unfulfilled on the following day.

Customer of Margin Account: If loan allowance, margin value or account balance is below the

minimum capital requirement for a GTC purchase order on the day it is setup; the order may still be accepted. However, the Company reserves the rights to cancel such order without notice if the minimum capital requirement remains unfulfilled on the following day.

5. Will our GTC orders be rejected?

Client should note that in case the GTC order was rejected by the exchange due to out-of-allowed price limits (varies by market) at the time the GTC order was sent to market (before market opens), the order will be treated as a normal rejected order and will not be placed on the particular trading day; however, it will be placed again on the next trading day until expiration.

6. Will our GTC orders really be good till cancel?

Based on the consideration of clients' risks, the GTC service provided by Foreign Stock Department requires the entry of valid date. Once the client places the GTC order, he MUST choose the valid date for his order. The longest period for each GTC is 30 calendar days. If a client would like to place the GTC order which will be last for more than 30 calendar days, he still needs to choose 30 calendar days for the valid date, and then call foreign stock department hotline for replace a new order after the valid date.

Notes:

1. If the GTC order was part done on a particular trading date during the GTC order period, the remaining order will NOT be continued. Client will need to place a new GTC order if he/she wishes to continue placing the remaining portion.
2. If the ticker was delisted during the order period, the whole GTC order will be cancelled.
3. If there is any errors resulting from corporate action, the client will bear full responsibility.

(28) Thailand Market Local Stock Trading

Shares of listed companies in the Thailand Market can be classified into Local Share, Foreign Share and Non-Voting Depository Receipt (NVDR).

If clients want to place orders for Local Share and relevant Thailand Exchange ETFs, please call foreign stock trading hotline.

(29) Notices of trading Japan Stocks

Orders breaching the limits below will be rejected immediately:

1. Average Daily Volume: 2%
2. Single Shot Notional Limit: USD 1 mil
3. Total Outstanding Shares Limit: 1%
4. Market Impact Liquidity Price Level Check (your order may move the stock by x levels): 5 levels

5. Market Impact Liquidity Price % Check (your order may move the stock by x%): 2%

(30) Notices of trading European Stocks (Euronext, Sweden and Switzerland)

Orders breaching the limits below will be rejected immediately:

1. Average Daily Volume: 2%
2. Single Shot Notional Limit: USD 1 mil
3. Total Outstanding Shares Limit: 1%
4. Market Impact Liquidity Price Level Check (your order may move the stock by x levels): 5 levels
5. Market Impact Liquidity Price % Check (your order may move the stock by x%): 2%

(31) Notice for trading U.S. OTC under chill restriction

The Depository Trust & Clearing Corporation (DTCC) may impose ‘chill’ restrictions on some OTC stocks. A “chill” is a limitation of certain services available for a security on deposit at The Depository Trust Company (“DTC”). A “freeze,” formally referred to as a “global lock,” is a complete restriction on all DTC services for a particular security on deposit at DTC. DTC imposes chills and freezes on securities for various reasons. When DTC chills or freezes a security, it will issue a “Participant Notice” to its participants. These notices are publicly available on DTC’s website at http://www.dtcc.com/legal/imp_notices.

Shareholders may also need to pay extra fee on settlement and may not be entitled to any corporations. Since it remains unknown until the settlement date do we know whether or not the stock is chilled, Phillip Securities (HK) Ltd could not provide the chill stock list.

When placing US OTC orders, please key in the stock code and check carefully before sending the orders out to avoid error.

(32) Time restrictions of placing orders after market close

NASDAQ / New York Stock Exchange (NASD/NYSE)

No Orders Accepted on the platform	: 4.00am - 8.00am (Summer)
	: 5.00am - 8.00am (Winter)
Orders Accepted for next Trading Day	: 8.00am onwards (Summer)
	: 8.00am onwards (Winter)

Thailand Stock Exchange (SET)

No Orders Accepted on the platform	: 5.40pm - 8.00pm
Orders Accepted for next Trading Day	: 8.00pm onwards

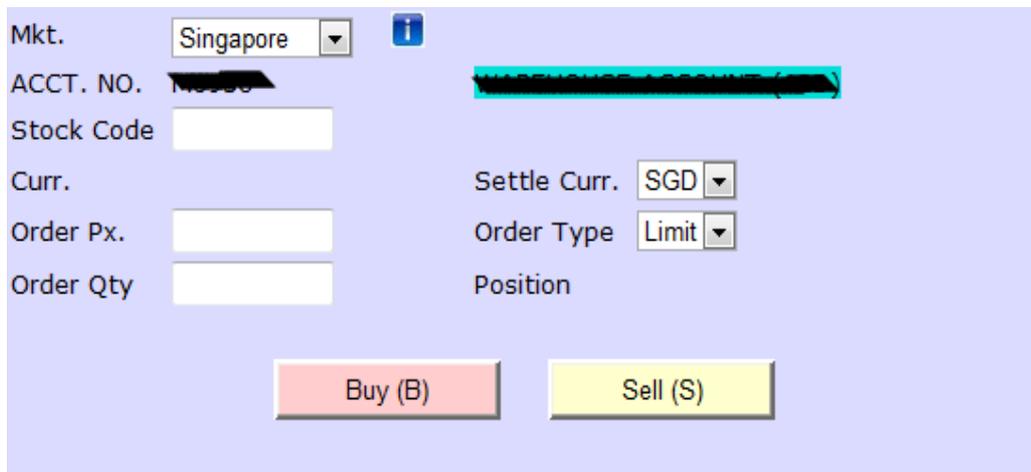
Singapore Exchange (SGX)

No Orders Accepted on Poems : 5.06pm - 6.15pm
 Orders Accepted for next Trading Day : 6.15pm onwards

(33) Stock Analytics

Client can access to Stock Analytics of different stock worldwide in POEMS. We provide stock analytics for Japan, Singapore, Malaysia, Thailand, USA, UK and Hong Kong.

1. Client can access to stock analytics by pressing the button  on the top right hand corner after inputting the stock code.



 Phillip Stock Analytics

Search :

Singapore Exchange Limited

Market: SGX | Industry: Financial / Commodity Market Operators

Phillip Research Target Price SGD 7.990*	Last Traded Price (14 Sep 16) SGD 7.480	Potential Upside ▲ 6.8%
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Company Links
 • Corporate History/Profile • Employment Opportunities • Executives • Financial Information • Home Page • Investor Relations • News Releases • Products/Services

Basic Stock Information ▶ Glossary

Stock Data	Margin
Market Capitalization (SGD 'mil)	8,015.89
Common Shares Outstanding ('mil)	1,069,8580
52 Week High (SGD) (20/04/2016)	8.050
52 Week Low (SGD) (19/01/2016)	6.610
52 Week Return (%)	0.403
Average Volume ('mil)	2.8120
Beta	0.85
Financial strength	
Gross Margin (TTM) (%)	-
Operating Profit Margin (TTM) (%)	49.28
Net Profit Margin (TTM) (%)	42.66
Dividend ‡	
Annual Dividend per share (SGD)	0.2800
Dividend Yield (TTM) (%)	3.74
Dividend Yield (Annual) (%)	3.74
Return Data (TTM) (%)	

Business Summary
 Singapore Exchange Limited is engaged in operating integrated securities exchange and derivatives exchange in Singapore and related clearing houses. The Company is engaged in providing services, such as investment holding, treasury management, provision of management and administrative services to related corporations, provision of contract processing and technology connectivity services. The Company operates through four segments: Equities and Fixed Income, which is engaged in the provision of issuer services, securities trading and clearing, post trade services, membership and collateral management; Derivatives, which is engaged in the provision of derivatives trading and clearing services, membership and collateral management; Market Data and Connectivity, which is engaged in the provision of market data and connectivity services, and Corporate, which includes corporate activities. It offers a suite of derivatives products across Asian equity indices, commodities and currencies.

Research Report
 Jeremy Teong, Phillip Securities Research
 28 July 2016: Accumulate - Singapore Exchange Limited - Finding the right cost structure
 Jeremy Teong, Phillip Securities Research
 21 April 2016: Accumulate - Singapore Exchange Limited - Resumption of a strong quarter despite market uncertainty

2. When you log in to POEMS, under “Foreign Stock”, choose “Stock Analytics” as followed:

Main HK Stock Unit Trust & Bond Foreign Stock SBP Forex Bullion

Professional Ver. HSI
Professional Ver. (Testing Ver.) DJ N
Singapore Stock Trading (Old Ver.) M
Chart 12
Foreign Stock 12
Calculator
Stock Screen
Stock Analytics
Currency Exchange Rates
Global Trading

HHI: 9,792.94 (-97.79) Last Update: 2016-9-24 00:36:27

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ies who have achieved billion-dollar or higher valuations in the pri...[More..]
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DJ Achillion Pharmaceuticals Inc. (ACHN) Resumed Trading
September 23, 2016 12:20 ET (16:20 GMT) Copyright (c) ...[More..]

Service Reminder
The service time of local stock, stock options and local futures is from 9am till 4am at trading days. The system may not performs properly for the rest of time due to regular maintenance. Thank you for your attention.

IPO
Company Name Expiry Date
(90%/70%...(10.98) 2016-09-27

Terminate Fixed Version of Teletext 23/05/2016
The Fixed Version of Teletext will be terminated on 23 May 2016. We encourage client to use Teletext New.

Waive IPO Margin Financing Application Handling Charges 19/05/2016
Client is now available to use 1500 POEMS points to convert to BOC Aviation(2588) IPO margin financing application handling charges.

Inside the page, input the keyword of the company you want to search in the search column, such as "APPLE", companies with appropriate keyword will show up. By clicking the name of the company, you will access to the Analytics of the company of interest.

Search: apple

Apple Inc.
APPLE INTERNATIONAL CO., LTD.
Applebee's International, Inc.
Dr Pepper Snapple Group Inc.
Maui Land & Pineapple Co.
Basic Siam Agro Industry Pineapple and Others

App
Market
Basic

Stock Data	Margin
Market Capitalization (USD 'mil)	495,938.20
Common Shares Outstanding ('mil)	934,982.0
52 Week High (USD)	644,000
52 Week Low (USD)	310,650
52 Week Return (%)	55.750
Average Volume ('mil)	17,894.3
Beta	1.25
Financial strength	Dividend #
Current Ratio	1.61
Quick Ratio	1.58
Long Term Debt to Equity	-
Total Debt to Equity	-
Interest Coverage Ratio (TTM)	-
Free Cash Flow to Firm (TTM) (USD 'mil)	44,597.00
	Valuation
	Historical P/E Ratio
	P/E Ratio (TTM)
	Historical P/BV
	Historical BVPS (USD)
	EPS TTM (USD)

Consensus Target Price USD 708.546²

Current Price USD 568.430

Potential Upside ▲ 24.6%

Business Summary
Apple Inc. (Apple), along with its subsidiaries is engaged in designs, manufactures and markets mobile communication and media devices, personal computers, and portable digital music players, and sells a range of related software, services, peripherals, networking solutions, and third-party digital content and applications. The Company's products and services include iPhone, iPad, Mac, iPod, Apple TV, a portfolio of consumer and professional software applications, the iOS and Mac OS X operating systems, iCloud, and a range of accessory, service and support offerings. It also sells and delivers digital content and applications through the iTunes Store, App Store, iBookstore, and Mac App Store. During the year ended November 24, 2011, the Company, as part of a consortium, acquired Nortel Networks Corporation's patent portfolio. In February 2012, the Company acquired app-search engine Chomp.

Company Links
• Employment Opportunities • Executives • Financial Information • Home Page • Investor Relations • News Releases • Products/Services

Technical Analysis

■ AAPL Daily ● Bullish Events ■ Bearish Events
◆ Other Events

Long-Term Intermediate-Term Short-Term

700
600
500
400
300

Financial Summary
BRIFF: For the twenty six weeks ended 31 March 2012 Apple Inc.'s revenues increased 66% to

(34) Look up margin ratio for a particular foreign stock counter

Client can use the margin value from a stock position (with a margin limit) in order to buy in excess of equity. Client can search for a stock's margin ratio from our POEMS website.

Go to the blue horizontal bar and click on “Market Info” button; then click on the “Financing” button on next line.



On the web page of Hong Kong Stock Margin Ratio, go to the right-hand side and click on the button of “Global Securities Margin Ratio”.



Then, the POEMS website will pop up a new window as below:

Phillip Foreign Stock Margin Financing Ratio Inquiry

Stock Market: Margin Ratio (in Percentage):
Stock Name/Code:

Important notes from the Phillip Foreign Stock Department:

- We reserve all the rights to change the margin financing ratio anytime without notice in advance
- We do not accept application of margin financing ratio for the counters listing on the OTCBB or the Pinksheets of U.S. or the AiM board
– London Stock Exchange of U.K.

After that, users choose Stock Market, and then choose the appropriate ratio and click “Search”.

The search result will be listed underneath.

Client can input the stock code or part of stock name and click search and the corresponding ratio will appear in the same area. In case of no information display, please call the following hotline for assistance.

(35) Hotline & Enquiry

Monday – Friday 24-Hours Foreign Stock Trading Hotline: (852) 2277 6678

Email: : foreignstock@phillip.com.hk