



# 中信証券股份有限公司 CITIC Securities Company Limited

(A joint stock limited company incorporated in the People's Republic of China with limited liability)  
(在中華人民共和國註冊成立的股份有限公司)  
(Stock Code 股份代號: 6030)

## NOTIFICATION LETTER 通知信函

24 September 2020

Dear Non-registered holder(s) <sup>(Note 1)</sup>,

### CITIC Securities Company Limited (the "Company") - Notice of Publication of 2020 Interim Report ("Current Corporate Communication")

The English and Chinese versions of the Company's Current Corporate Communications are available on the Company's website at [www.citics.com](http://www.citics.com) and the website of Hong Kong Exchanges and Clearing Limited (the "HKEX") at [www.hkexnews.hk](http://www.hkexnews.hk).

If you want to receive printed versions of the Current Corporate Communications, please complete the request form (the "Request Form") on the reverse side and return it to the Company c/o Computershare Hong Kong Investor Services Limited (the "Hong Kong Share Registrar") by using the mailing label at the bottom of the Request Form (no need to affix a stamp if posted in Hong Kong; otherwise, please affix an appropriate stamp). The address of the Hong Kong Share Registrar is 17M Floor, Hopewell Centre, 183 Queen's Road East, Wan Chai, Hong Kong. The Request Form may also be downloaded from the Company's website at [www.citics.com](http://www.citics.com) or the website of the HKEX at [www.hkexnews.hk](http://www.hkexnews.hk).

Please note that your instruction on the Request Form will apply to all future Corporate Communications <sup>(Note 2)</sup> of the Company to be sent to you until you notify the Company's Hong Kong Share Registrar to the contrary or unless you have at any time ceased to have shareholdings in the Company.

Should you have any queries relating to any of the above matters, please call the Hong Kong Share Registrar's telephone hotline at (852) 2862 8688 during business hours from 9:00 a.m. to 6:00 p.m. Monday to Friday, excluding public holidays or send an email to [citic.ecom@computershare.com.hk](mailto:citic.ecom@computershare.com.hk).

By order of the Board  
CITIC Securities Company Limited  
ZHANG Youjun  
Chairman

*Note 1: This letter is addressed to Non-registered holders ("Non-registered holder" means such person or company whose shares are held in The Central Clearing and Settlement System (CCASS) and who has notified the Company from time to time through Hong Kong Securities Clearing Company Limited that such person or company wish to receive Corporate Communications). If you have sold or transferred your shares in the Company, please disregard this letter and the Request Form on the reverse side.*

*Note 2: Corporate Communications refer to any documents issued or to be issued by the Company for the information or action of holders of any of its securities, including, but not limited to, (a) the directors' report, its annual accounts together with a copy of the auditors' report and, where applicable, its summary financial report; (b) the interim report and, where applicable, its summary interim report; (c) a notice of meeting; (d) a listing document; (e) a circular; and (f) a proxy form.*

各位非登記持有人 <sup>(附註1)</sup>：

### 中信証券股份有限公司 (「本公司」) - 2020 年中期報告 (「本次公司通訊文件」) 之發佈通知

本公司的本次公司通訊的中、英文版本已上載於本公司網站 [www.citics.com](http://www.citics.com) 及香港交易及結算所有限公司 (「聯交所」) 網站 [www.hkexnews.hk](http://www.hkexnews.hk)。

如閣下欲收取本次公司通訊文件之印刷本，請填妥在本函背面的申請表格 (「申請表格」)，並使用申請表格下方之郵寄標籤經由香港中央證券登記有限公司 (「香港證券登記處」) 寄回本公司 (如在香港投寄，毋須貼上郵票；否則，請貼上適當的郵票)。香港證券登記處地址為香港灣仔皇后大道東183號合和中心17M樓。申請表格亦可於本公司網站 [www.citics.com](http://www.citics.com) 或聯交所網站 [www.hkexnews.hk](http://www.hkexnews.hk) 內下載。

請注意 閣下填寫於申請表格上的指示將適用於日後發送至閣下之本公司所有公司通訊 <sup>(附註2)</sup>，直至閣下通知本公司香港證券登記處另外之安排或閣下在任何時候停止持有本公司股份。

如閣下對本函內容有任何疑問，請致電香港證券登記處之電話熱線(852) 2862 8688，辦公時間為星期一至五 (公眾假期除外) 上午9時正至下午6時正或電郵至 [citic.ecom@computershare.com.hk](mailto:citic.ecom@computershare.com.hk)。

承董事會命  
中信証券股份有限公司  
董事長  
張佑君

2020年9月24日

*附註1：此函件乃向本公司之非登記持有人發出 (「非登記持有人」指股份存放於中央結算及交收系統的人士或公司，透過香港中央結算有限公司不時向本公司發出通知，表示該等人士或公司希望收到公司通訊)。如果閣下已經出售或轉讓所持有之本公司股份，則無需理會本函件及背面的申請表格。*

*附註2：公司通訊乃指公司發出或將予發出以供其任何證券持有人參照或採取行動的任何文件，其中包括但不限於：(a) 董事會報告、年度帳目連同核數師報告以及 (如適用) 財務摘要報告；(b) 中期報告及 (如適用) 中期摘要報告；(c) 會議通告；(d) 上市文件；(e) 通函；及 (f) 代表委任表格。*

CTCH-24092020-1(0)



## Request Form 申請表格

**To: CITIC Securities Company Limited (the "Company")**  
**(Stock Code: 6030)**  
 c/o Computershare Hong Kong Investor Services Limited  
 17M Floor, Hopewell Centre,  
 183 Queen's Road East,  
 Wan Chai, Hong Kong

**致: 中信証券股份有限公司 (「本公司」)**  
**(股份代號: 6030)**  
 經香港中央證券登記有限公司  
 香港灣仔  
 皇后大道東 183 號  
 合和中心 17M 樓

I/We would like to receive all corporate communications<sup>(1)</sup> of the Company (the "Corporate Communications") in the manner as indicated below:

本人/我們希望以下列方式收取本公司所有之公司通訊<sup>(1)</sup> (「公司通訊」):

(Please mark **ONLY ONE (X)** of the following boxes)

(請從下列選擇中，僅在其中一個空格內劃上「X」號)

- to read all Corporate Communications published on the Company's website (the "Website Version") in place of receiving printed copies, and receive the Company's printed notification of the publication of Corporate Communications on its website; **OR**  
 瀏覽所有在本公司網站登載的公司通訊 (「網上版本」)，以代替收取印刷本，並收取本公司就其於網站登載公司通訊而發出的通知的印刷本；或
- to receive the **printed English version** of all Corporate Communications **ONLY**; **OR**  
 僅收取所有公司通訊的**英文印刷本**；或
- to receive the **printed Chinese version** of all Corporate Communications **ONLY**; **OR**  
 僅收取所有公司通訊的**中文印刷本**；或
- to receive **both the printed English and Chinese versions** of all Corporate Communications.  
 同時收取所有公司通訊的**英文及中文印刷本**。

Name(s) of Non-registered holder(s):  
 非登記持有人姓名:

Signature:  
 簽名:

(Please use ENGLISH BLOCK LETTERS 請用英文正楷填寫)

Contact telephone number:  
 聯絡電話號碼:

Date:  
 日期:

## Notes 附註:

- Corporate Communications refer to any documents issued or to be issued by the Company for the information or action of holders of any of its securities, including, but not limited to, (a) the directors' report, its annual accounts together with a copy of the auditors' report and, where applicable, its summary financial report; (b) the interim report and, where applicable, its summary interim report; (c) a notice of meeting; (d) a listing document; (e) a circular; and (f) a proxy form.  
 公司通訊乃指公司發出或將予發出以供其任何證券持有人參照或採取行動的任何文件，其中包括但不限於：(a)董事會報告、年度賬目連同核數師報告以及(如適用)財務摘要報告；(b)中期報告及(如適用)中期摘要報告；(c)會議通告；(d)上市文件；(e)通函；及(f)代表委任表格。
- Please complete all your details clearly.  
 請 閣下清楚填寫所有資料。
- This letter is addressed to Non-registered holders ("Non-registered holder" means such person or company whose shares are held in The Central Clearing and Settlement System (CCASS) and who has notified the Company from time to time through Hong Kong Securities Clearing Company Limited that such person or company wish to receive Corporate Communications).  
 此函件乃向本公司之非登記持有人發出("非登記持有人"指股份存放於中央結算及交收系統的人士或公司，透過香港中央結算有限公司不時向本公司發出通知，表示該等人士或公司希望收到公司通訊)。
- Any form with more than one box marked (X), with no box marked (X), with no signature or otherwise incorrectly completed will be void.  
 如在本表格作出超過一項選擇、或未有作出選擇、或未有簽署、或在其他方面填寫不正確，則本表格將會作廢。
- The above instruction will apply to all future Corporate Communications to be sent to you until you notify to the Company c/o the Hong Kong Share Registrar, Computershare Hong Kong Investor Services Limited to the contrary or unless you have at any time ceased to have holdings in the Company.  
 上述指示適用於發送予 閣下所有日後之公司通訊，直至 閣下經由香港證券登記處香港中央證券登記有限公司通知本公司另外之安排或任何時候停止持有本公司的股份。
- For the avoidance of doubt, we do not accept any other instructions given on this form. Any other instructions inserted on this form will be void.  
 為免存疑，本公司恕不接受此表格上提供的任何其他指示。任何在此表格上提供的額外指示將視作無效。

## Mailing Label 郵寄標籤

Computershare Hong Kong Investor Services Limited  
 香港中央證券登記有限公司  
 Freepost No. 簡便回郵號碼: 37  
 Hong Kong 香港

Please cut the mailing label and stick it on an envelope  
 to return this Request Form to us.  
**No postage is necessary if posted in Hong Kong.**

當 閣下寄回本申請表格時，請將郵寄標籤剪貼於信封上。  
 如在本港投寄，閣下無需支付郵費或貼上郵票。

## Get in touch with us 與我們聯繫

Send us an enquiry 垂詢  
 Rate our service 評價  
 Lodge a complaint 投訴



Contact Us 聯繫我們

www.computershare.com/hk/contact