

STOCK SETTLEMENT INSTRUCTION FORM
股票交收指示

Client Name

客戶姓名 : _____

Account No.

帳戶號碼 : _____

 Instruction Type 交收指示類別 : **SI** or **ISI**

 Please 請 : **RECEIVE** the following stocks to my account

將下列股票存入到本人上述戶口

 DELIVER the following stocks from my account

由本人上述戶口提取下列股票

And input the following Settlement Instruction into the Central Clearing and Settlement System (CCASS) to effect settlement with details as follows 請將下列交收指示輸入中央結算及交收系統以進行交收 :

Stock Code 股票代號	Name of Stock 股票名稱	No. of Share 股數	Settlement Method 交收方式	Handling (For Official Use Only) 手續費 (只供職員填寫)	Total Amount (For Official Use Only) 總金額 (只供職員填寫)
			<input type="checkbox"/> FOP 無須付款 <input type="checkbox"/> DVP 貨銀對付 HK\$港幣		
			<input type="checkbox"/> FOP 無須付款 <input type="checkbox"/> DVP 貨銀對付 HK\$港幣		
			<input type="checkbox"/> FOP 無須付款 <input type="checkbox"/> DVP 貨銀對付 HK\$港幣		
			<input type="checkbox"/> FOP 無須付款 <input type="checkbox"/> DVP 貨銀對付 HK\$港幣		

Name and Participant ID of Counterpart 對手名稱及中央結算編號	Settlement Date 交收日期	Contact Person and Phone No. 聯絡人及聯絡電話
		Contact time and Extension

Purpose 目的 :

 C M I
 P L R

Purpose 目的: C= Broker-Custodian Transaction 經紀與托管者之交易

M= Portfolio Movement 組合轉移

I= Investor Intermediary 投資者帳戶

P= Stock Pledging 按股

L= Stock Borrowing/Lending 借股/貸股

R= Return Recall 撤回交收

I/We confirm that there is no change in beneficial ownership through effecting this SI/ISI. I/We hereby agree to indemnify you against any loss or claim result from your action according to my/our instruction. 本人/吾等確認上述股票的實益擁有權並沒有因進行本交收指示/投資者交收指示而出現變動。本人/吾等 願意賠償貴公司因執行本人/吾等指示所引致之任何損失。

Client's Signature 客戶簽署:



Date 日期:

For Official Use Only

Signature Verified by:	Confirmed with client by:	Approved by:	Input CCASS by:
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