

## 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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