



證券交收指示 / 投資者交收指示

SETTLEMENT INSTRUCTION (SI) / INVESTOR SETTLEMENT INSTRUCTION (ISI)

客戶名稱 Client Name: _____ 戶口號碼 Account No.: _____

請按下述資料通過中央交收及結算系統辦妥有關提取程序,一切後果本人等願就有關指示承擔。

Please follow the information given below and arrange to settle the securities transaction via CCASS.

I/We assume full responsibility for the consequence of this settlement instruction.

請由本人/吾等之證券戶口 **提取** 下列證券並安排交付

DELIVER the securities from my/our securities account

請安排 **收取** 下列證券並存入本人/吾等之證券戶口

RECEIVE the securities for my/our securities account

| 參與者名稱 Name of Counterparty | 參與者代號 Counterparty ID | 聯絡人 Contact Person | 電話 Telephone No. | 執行日期: Value Date: |
|---------------------------------|-----------------------|---|---|-------------------|
| | | | | |
| 股票代號 Stock Code | 股票名稱 Stock Name | 數量 Quantity | 交收方式 Settlement Method | 交收費用 SI Fee |
| | | | <input type="checkbox"/> 無需付款交收 FOP <input type="checkbox"/> 貨銀對付交收 DVP/ RVP | |
| | | | <input type="checkbox"/> 無需付款交收 FOP <input type="checkbox"/> 貨銀對付交收 DVP/ RVP | |
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| | | | <input type="checkbox"/> 無需付款交收 FOP <input type="checkbox"/> 貨銀對付交收 DVP/ RVP | |
| 公司專用 FOR OFFICE USE ONLY | | <input type="checkbox"/> C = 經紀受托管交 Broker – Custodian <input type="checkbox"/> M = 股票組合轉移 Portfolio Management <input type="checkbox"/> I = 投資者賬戶 Investor Account | | |
| 交收指示目的 Purpose of SI | | | | |
| 備註: Remarks: | | | | 總數 Total |

請在本人/吾等之股票賬戶中扣除一切開支。

Please debit the captioned account for any costs or charges so incurred.

SV

客戶簽署 Client's Signature

日期 Date

| For Office Use Only (只供本公司專用) | | | | | |
|-------------------------------|--------------|--------------|-----------------|-----------|-----------|
| Check and Hold Stock: | Approved By: | CCASS Input: | CCASS Approved: | BO Input: | Verified: |
| Date: | Date: | Date: | Date: | Date: | Date: |



交收指示填寫須知

Notes for Completion of SI / ISI Request

附註Note

- 請填上參與者之全名，此空格必需填寫。
Please fill in the full name of counterparty, this box must be filled in.
- 請填上參與者代號(例如: B0XXXX / C0XXXX)，此空格必需填寫。
Please fill in the counterparty ID number, this box must be filled in. (For example: B0XXXX or C0XXXX)
- 請填上由/從本公司/另一參與者接收/提出股票之預計交收日期。
Please fill in the expected settlement date of receiving/delivering securities from/to counterparty.
- 本表格必需由股票戶口客戶簽署，本公司不接納未簽妥之表格。
This form must be signed by securities account holder(s). A form which is not properly signed will be rejected.
- 如欲即日完成交收程序，務必於當日下午一時前填妥此文件交付或傳真至交收部。
Please pass this document to our Settlement Department before 1:00pm for the same day settlement instructions.
- 如客戶沒有選擇指示，將以“無需付款交收”執行。相關費用將於客戶之股票戶口內扣除。
“Free of Payment” will be the default payment instruction if none of the boxes are selected. All charges in relation to the settlement instructions will be debited from the client’s securities account
- 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而作出變動。本人/吾等亦承諾就本交收指示所可能令 貴公司蒙受或承擔的任何費用或開支，當中包括但不限於印花稅，向 貴公司作出彌償及使之獲得彌償。
I/We confirm that there is no change in beneficial ownership through effecting this settlement instruction. I/We also undertake to indemnify and keep your Company indemnified in respect of any costs and expenses, including but not limited to stamp duty, whatsoever which may be suffered or incurred by you in connection with this settlement instruction
- 本人/吾等確認上述股票的實益擁有權因進行本交收指示而作出變動。現附上已繳付印花稅之買賣單據正本以供保存。
I/We confirm that there is change in beneficial ownership through effecting this settlement instruction. I/We also provide the original of stamped Bought /Sold note for your supporting.
- 請填妥本公司之交收指示表格，並交回本公司。同時，請填妥交收對手提供之交收指示表格，並即交回交收對手。Please fill out our S.I. form and return it to us. Besides, please fill out the S.I. form provided by counterparty and return it to the counterparty promptly.

Counterparty information of DL Securities (HK) Limited.

德林證券(香港)有限公司之參與者資料。

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|----------------------|---|
| Name of Counterparty | DL Securities (HK) Limited 德林證券(香港)有限公司 |
| Counterparty ID | B02171 |
| Contact | Settlement Department |
| Telephone No. | 3890 2923 |