



致 To: 團結證券有限公司(交收部) United Securities Limited (Settlement Department)

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日期 Date : _____

敬啟者 Dear Sir,

證券之交收指示 Settlement Instruction for Securities

- 交收方式 Settlement Method : Settlement Instruction (SI) 證券之交收指示
 Investor Settlement Instruction (ISI) 投資者交收指示
 Bought Note and Sold Note 買貨及賣貨單*
 Others 其他 _____

帳戶號碼 Account Number		帳戶名稱 Account Name	
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股票編號 Stock Code	股票名稱 Stock Name	股數 Quantity	款項 Amount (HK\$)	調撥股票費** SI Fee**	此欄由本公司填寫 For Office Use Only

- 存入: 請將上述股票由本人/吾等於下列中央結算參與者所開立之帳戶轉至本人/吾等於貴公司之帳戶。Deposit: Please receive the above stocks from my/our account with the below participant into my/our securities account with you.
- 提取: 請將上述股票由本人/吾等於貴公司之帳戶轉至本人/吾等於下列中央結算參與者所開立之帳戶。Withdrawal: Please transfer the above stocks from my/our securities account with you to my/our account held with the below participant.#

中央結算/投資者參與者(下稱“對手”)的資料如下: Information of CCASS/Investor Participant (“the Counterparty”) are as follows

對手名稱 Name of Counterparty		中央結算參與者編號 CCASS Participant I.D./ 投資者參與者編號 Investor Participant No.	
帳戶號碼 Account No.		帳戶名稱 Account Name	
聯絡人名稱 Contact Person		聯絡人電話 Contact Phone No.	
交收日期 Settlement Date		附言 Remarks	
付款指示 Payment Instruction	<input type="checkbox"/> 貨銀對付交收 Delivery Against Payment (DVP) <input type="checkbox"/> 無須付款交收 Free of Payment (FOP) <input type="checkbox"/> 其他,請注明 Others, please specify _____		



最終受益人有否改變? Any change in ultimate beneficial ownership?	<input type="checkbox"/> 否, 實際最終受益人不變。 No change in ultimate beneficial ownership.
	<input type="checkbox"/> 是, 實際最終受益人變動如下: Yes, there are changes in ultimate beneficial ownership as below: 承讓人 Transferee: _____ <input type="checkbox"/> 團結證券有限公司帳戶號碼(如適用) United Securities Account No.(If Applicable): _____ 轉讓人 Transferor: _____ <input type="checkbox"/> 團結證券有限公司帳戶號碼(如適用) United Securities Account No.(If Applicable): _____ 本人/吾等確認此結算指示乃根據受讓方與轉讓方之間直接進行交易而作出, 並在此同意賠償並保證貴公司免於因接受本人/吾等的結算指示而產生的任何損害、索賠及費用。 I/We confirm this settlement instruction as a result of transaction between Transferee and Transferor directly and hereby agree to indemnify and keep your company indemnified against any damages, claims and costs arising out of your acceptance of my/our settlement instruction.

*買貨及賣貨單交收處理費: 每張買貨及每張賣貨單分別為港幣 50 元 (不包括印花稅、調撥股票費及其他費用) Bought and Sold Note Settlement Handling Fee: HK\$50 per each bought note and per each sold note respectively. (Excluding Stamp Duty, SI Fee and other fee)

**調撥股票費是以上日收市價計算出來的市值乘以 0.05% (每檔股票最低收費為港幣 50 元, 每檔股票最高收費為港幣 500 元)
SI Fee is 0.05% of the stock value based on the previous closing price (minimum charge HK\$50 per stock, maximum charge HK\$500 per stock)

#提取股票前必須先存入調撥費 Please deposit the SI Fee before withdrawal of stock.

聲明:

- 本人/吾等確認此表格所記載之內容均正確無誤, 並承擔此指令之全部責任。
- 本人/吾等明白有關股票轉倉之指令及執行均須按照上述對手、中央結算公司、銀行或任何有關的協力廠商接納及批准, 團結證券有限公司不需對上述對手、中央結算公司、銀行或任何有關的協力廠商未能成功或延遲執行指令時所引致之任何損失而承擔任何責任。
- 本人/吾等明白並同意, 團結證券有限公司在處理交收指示/投資者交收指示的過程中, 可能會代對手、中央結算公司、銀行或任何有關的協力廠商, 向本人/吾等收取其認為適當及經不時修改的費用, 而毋須事先通知或獲得本人/吾等的同意, 以完成交收指示/投資者交收指示。

Declaration:

- I/We confirm the accuracy of all information contained herein and accept full responsibilities for the instruction(s) given.
- I/We understand that the instruction(s) and the timing of execution in relation to the transfer shall subject to the acceptance and approval of the above counterparty, CCASS, the bank or any relevant third party(parties). United Securities Limited assumes no liabilities or responsibilities for the consequences arising out of any failure or delay in the processing of the instruction(s) by the above counterparty, CCASS, the bank or any relevant third party(parties).
- I/We understand and agree that, in the course of processing the settlement instruction(s) /investor settlement instruction(s), United Securities Limited may, on behalf of the counterparty, CCASS, the bank or any relevant third party(parties), collect from me/us what it considers appropriate and fees that are modified from time to time without prior notice or consent from me/us in order to complete the instruction(s).

客戶簽署 Client's Authorized Signature(s)

For Official Use Only (以下只供本公司職員填寫)

Signature Verified & Contacted By (Name/Signature/Date)		Approved By (Name/Signature/Date)	
Endorsed By (Name/Signature/Date)		Data Input By (Name/Signature/Date)	
Data Checked By (Name/Signature/Date)		Status Informed By (Name/Signature/Date)	