

Attn/ 收件人: **Business Operations Division 业务营运部** (CCASS ID/中央结算编号: **B01130**)

Account Name:
 户口名称:

Account No.:
 户口号码:

- Please receive the below securities / investment products for my/our account
 请将下列证券/投资产品接收到本人/吾等户口
- Please deliver the below securities / investment products from my/our account
 请将下列证券/投资产品由本人/吾等户口交出

and input the following Settlement Instruction (SI) via BOCI Securities Limited into the relevant clearing system with the details as follows: 并根据下列资料将交收指示透过中银国际证券有限公司输入有关结算系统:

Counterparty Name:
 交收对手名称:

Counterparty Contact Person Name:
 交收对手联络人姓名:

Counterparty Contact Person Tel No.:
 交收对手联络人联系电话:

Customer Account No. in Counterparty:
 客户在交收对手之户口号码:

Customer Account Name in Counterparty:
 客户在交收对手之户口名称:

Value Date:
 执行日期:

- | | | | |
|--|---|--|---|
| <input type="checkbox"/> H.K. Market 香港市场 Counterparty CCASS Participant ID: 交收对手之中央结算系统参与者编号: _____ | <input type="checkbox"/> U.S. Market 美国市场 <input type="checkbox"/> Foreign Market 国外市场 Counterparty Clearing No.: 交收对手之结算编号: _____ | <input type="checkbox"/> Shanghai Stock Exchange Market 上交所 - 沪股通 Counterparty Clearing No.: 交收对手之结算编号: _____ | <input type="checkbox"/> Investment Product 投资产品 Counterparty Clearstream/Euroclear No.: 交收对手之 Clearstream/Euroclear 编号: _____ |
|--|---|--|---|

| Name of Stock/Investment Product 股票/投资产品名称 | Stock/ISIN Code 股票/ISIN 代号 | Quantity 数量 |
|---|-------------------------------|----------------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Payment Instructions* 付款指示*

Please select ONE of the two choices in the right box.
 请选择右框内其中之一种付款方式

* "Free of Payment" will assume to be the default payment instruction if neither choice in the right box was selected.
 *如没有选择右框内的付款方式,本公司将视做为“无需付款交收”

Please debit my/our account for all charges in relation to the settlement instructions.
 请于本人/吾等户口扣除有关交收费用。

- Free of Payment**
 无需付款交收
- Delivery/Receipt Versus Payment (DVP/RVP)**
 货银对付交收

Money Consideration for DVP/RVP 交收金额

HKD/USD:
 港币/美元:

Customer's Signature(s)
 客户签署

Date
 日期

证券/投资产品交收指示填写指引 FILLING GUIDE FOR SECURITIES/INVESTMENT PRODUCTS SETTLEMENT INSTRUCTION FORM

如果阁下欲透过电子结算系统把证券/投资产品存入其中银国际证券有限公司(「中银国际」)的户口, 或从该中银国际户口调拨证券/投资产品至其于其它证券公司/银行户口, 阁下须依照以下程序办理有关手续:

- 1) 填妥中银国际之「证券/投资产品交收指示」(「交收指示」);
- 2) 所有户口持有人, 均须于交收指示内签署;
- 3) 把填妥后的交收指示传真至阁下的客户经理/投资服务代表或中银国际业务营运部:
传真号码: (852) 2185 6060
- 4) 同时, 阁下亦须要通知对手证券公司/银行有关调拨交易的资料:

| |
|---|
| 香港及沪股股票托管商名称: 香港中央结算有限公司 中央结算系统编号: B01130 参与者名称: 中银国际证券有限公司 受益人: (阁下之姓名及阁下在中银国际的证券户口号码) |
| 美国股票托管商名称: Pershing LLC DTC 及 OCC 结算编号: 0443 户口名称: BOCI Securities Limited 户口号码: 74H-000247-2 受益人: (阁下之姓名及阁下在中银国际的证券户口号码) |

存入证券/投资产品注意事项:

- 如要将多间证券公司/银行户口内之证券/投资产品转至中银国际, 请分别就每一证券公司/银行户口填写一张交收指示;
- 原有证券公司或银行之户口登记姓名必须与阁下在中银国际户口之登记姓名相同;
- 美国股票的转户, 将会在中银国际收到表格后的下一个工作日进行;
- 当我们收妥股票后, 会尽快将其存入阁下的中银国际户口;
- 当股票完成转户手续后, 阁下才可以卖出有关证券。

To deposit securities / investment products from another securities firm/bank ("Outside Broker") to your account in BOCI Securities Limited ("BOCIS"), or withdraw securities / investment products from your BOCIS account to Outside Broker, customer shall:

- 1) complete the "Securities / Investment Products Settlement Instructions" ("Form") of BOCIS;
- 2) arrange the Form to be signed by all the account holders;
- 3) fax the duly completed and signed Form to the Relationship Manager/Investment Service Representatives or Business Operations Division of BOCIS - Fax no. : (852) 2185 6060
- 4) advise Outside Broker of the intended share transfer to / from BOCIS. The settlement instruction for the transfer is:

| |
|---|
| Hong Kong and Shanghai Securities Custodian Name: HKSCC CCASS Participant ID: B01130 Participant Name: BOCI Securities Limited In favor of: (your account name and your securities a/c no. at BOCIS) |
| U.S. Securities Custodian Name: Pershing LLC DTC and OCC Clearing No.: 0443 Account Name: BOCI Securities Limited Account Number: 74H-000247-2 In favor of: (your account name and your securities a/c no. at BOCIS) |

Remarks for deposit of securities / investment products:

- please submit a separate Form for each Outside Broker from which you are transferring securities;
- the account name with Outside Broker must be identical to your name of your BOCIS account;
- share transfer of US stock will take place on the next business day after receipt of the Form by BOCIS;
- the transfer of securities will be reflected in your BOCIS account once the process is completed;
- you may only sell the securities after the securities has been reflected in your BOCIS account.