

Attn/ 收件人: **Business Operations Division 业务营运部**

Account Name 账户名称:

Account No. 账户号码:

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/吾等账户

Please deliver the below securities / investment products from my/our account  
 请将下列证券/投资产品由本人/吾等账户交出

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:

Value Date 执行日期:

Counterparty Contact Person Name 交收对手联系人姓名:

Counterparty Contact Person Tel No. 交收对手联系人联络电话:

Customer Account No. in Counterparty 客户在交收对手之账户号码:

Customer Account Name in Counterparty: 客户在交收对手之账户名称:

**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:

**U.S. Market 美国市场**  
 **Foreign Market 国外市场**  
 Counterparty Clearing No.: 交收对手之 结  
 算编号:

**Shanghai Stock Exchange  
 Market 上交所 - 滬股通**  
 Counterparty Clearing No.: 交收对手之结算编号:

**Investment Product 投资产品**  
 Counterparty Clearstream/Euroclear No.:  
 交收对手 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.  
 请选择右框内其中一种付款方式

\* "Free of Payment" will be the default payment instruction if neither choice in the right box is selected.

如没有选择右框内的付款方式, 本公司将以“无需付款”为交收指示

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

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:

**Confirmation on Investor Identification and OTC Securities Transactions Reporting (Applicable to Hong Kong Stock Market)**

**投资者识别码及场外证券交易汇报确认 (适用于香港证券市场):**

You acknowledge and agree that we may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes:

阁下在此确认并同意, 为了向阁下提供与在香港联合交易所 (联交所) 上市或买卖的证券相关的服务, 以及为了遵守不时生效的联交所与证券及期货事务监察委员会 (证监会) 的规则和规定, 我们可收集、储存、处理、使用、披露及转移与阁下有关的个人资料 (包括阁下的客户识别信息及券商客户编号)。在不限制以上的内容的前提下, 当中包括:

- disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;  
 根据不时生效的联交所及证监会规则和规定, 向联交所及 / 或证监会披露及转移阁下的个人资料 (包括客户识别信息及券商客户编号);
- allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and  
 允许联交所: (i) 收集、储存、处理及使用阁下的个人资料 (包括客户识别信息及券商客户编号), 以便监察和监管市场及执行《联交所规则》; (ii) 向香港相关监管机构和执法机构 (包括但不限于证监会) 披露及转移有关资料, 以便他们就香港金融市场履行其法定职能; 及 (iii) 为监察市场目的而使用有关数据进行分析; 及
- allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.  
 允许证监会: (i) 收集、储存、处理及使用阁下的个人资料 (包括客户识别信息及券商客户编号), 以便其履行法定职能, 包括对香港金融市场的监管、监察及执法职能; 及 (ii) 根据适用法律或监管规定向香港相关监管机构和执法机构披露及转移有关资料。

Customer's Signature(s)  
 客户签署

Date  
 日期

## 證券/投資產品交收指示填寫指引 FILLING GUIDE FOR SECURITIES/INVESTMENT PRODUCTS SETTLEMENT INSTRUCTION FORM

如果閣下欲透過電子結算系統把證券/投資產品存入其中銀國際證券有限公司(「中銀國際」)的賬戶, 或從該中銀國際賬戶調撥證券/投資產品至其於其它證券公司/銀行賬戶, 閣下須依照以下程序辦理有關手續:

- 1) 填妥中銀國際之「證券/投資產品交收指示」(「交收指示」);
- 2) 所有賬戶持有人, 均須於交收指示內簽署;
- 3) 把填妥後的交收指示傳真至閣下的客戶經理/投資服務代表或中銀國際業務營運部:  
傳真號碼: (852) 2185 6060
- 4) 同時, 閣下亦須要通知對手證券公司/銀行有關調撥交易的資料:

香港股票托管商名稱: 香港中央結算有限公司 中央結算系統編號: B01130 參與者名稱: 中銀國際證券有限公司 受益人: (閣下之姓名及閣下在中銀國際的證券賬戶號碼)
美國股票托管商名稱: Pershing LLC DTC 及 OCC 結算編號: 0443 賬戶名稱: BOCI Securities Limited 賬戶號碼: 74H-000247-2 受益人: (閣下之姓名及閣下在中銀國際的證券賬戶號碼)

存入證券/投資產品注意事項:

- 如要將多間證券公司/銀行賬戶內之證券/投資產品轉至中銀國際, 請分別就每一證券公司/銀行賬戶填寫一張交收指示;
- 原有證券公司或銀行之賬戶登記姓名必須與閣下在中銀國際賬戶之登記姓名相同;
- 美國股票的轉戶, 將會在中銀國際收到表格後的下一個工作日進行;
- 當我們收妥股票後, 會盡快將其存入閣下的中銀國際賬戶;
- 當股票完成轉戶手續後, 閣下才可以賣出有關證券。

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 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.