



海通國際證券有限公司

Haitong International Securities Company Limited

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證券轉戶交收指示表格

Securities Transfer Settlement Instruction Form

客戶名稱 Account Name: \_\_\_\_\_ 賬戶號碼 Account ID: \_\_\_\_\_

轉戶詳情 Transfer Details				
<input type="checkbox"/> 香港市場 / 深港通及滬港通市場 Hong Kong Market / Stock Connect Market <sup>1</sup> <input type="checkbox"/> 海外市場 Overseas Market 請註明 Please specify <sup>1</sup> : _____				
交收日期 Settlement Date				
轉戶類別 Type of Transfer		<input type="checkbox"/> 轉入 Transfer In <sup>1</sup>		<input type="checkbox"/> 轉出 Transfer Out <sup>1</sup>
交收方式 Settlement Method		<input type="checkbox"/> 無需付款 Free of Payment <sup>1</sup>		<input type="checkbox"/> 貨銀對付 Against Payment <sup>1 2</sup>
是否屬第三方轉賬 Third Party Transfer		<input type="checkbox"/> 是 Yes <sup>1</sup>		<input type="checkbox"/> 否 No <sup>1 3</sup>
交收對手方資料 Information of Settlement Counterparty				
交收對手方名稱 Name of Counterparty				
<input type="checkbox"/> 中央結算系統參與者 CCASS Participant (參與者代號 Participant ID <sup>1</sup> : _____)				
<input type="checkbox"/> 中央結算系統投資者賬戶號碼 CCASS Investor Account ID <sup>1 4</sup> : _____				
<input type="checkbox"/> 其他 Others (請提供交收指示資料 Please provide Settlement Instruction details <sup>1</sup> ): _____				
客戶於對手方的賬戶名稱 Client's Account Name with Counterparty		客戶於對手方的賬戶號碼 Client's Account number with Counterparty		
對手方聯絡人 Counterparty Contact Person		對手方聯絡人電話 Counterparty Contact Number		
對手方電郵地址 Counterparty Email Address				
證券轉戶明細 Details of Securities Transfer				
證券號碼 Securities Code	證券名稱 Securities Name	數量 Quantity	貨幣 Currency <sup>2</sup>	貨銀對付金額 Amount for Against Payment <sup>2</sup>
註 Remarks				
1. 請於合適方格內✓。 Please ✓ the appropriate box.				
2. 若交收方式是貨銀對付，請註明對應貨幣及交收數額。 If the settlement is processed by Against Payment, please fill in the currency and settlement amount.				
3. 本人 / 吾等確認執行本交收指示不牽涉實益擁有權的變更。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 of beneficiary ownership (NCBO) 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.				
4. 中央結算系統投資者賬戶此等交收指示必須獲得電話確認後方會被執行。 Telephone confirmation is needed before execution for such kind of CCASS Investor Account Settlement Instruction.				
重要事項 Important Notes				
截單時間為每個工作天中午 12 時，其後收到的指示將於下一個工作天處理，唯不保證交收能當天完成，包括但不限於以下原因如不完整文件、簽名不符及對手方沒發出相應指示等。 Deadline is at 12:00 noon each working day and any instruction received thereafter will be processed in the next working day. There is no guarantee on the settlement to be completed on the same day due to but not limited to the following reasons e.g. incomplete document, incorrect signature and no corresponding instruction from the counterparty etc.				
_____ 客戶簽署 Client's Signature (請用留存本公司印鑑簽署 Please use signature(s)/chop(s) filed with Company)		_____ 日期 Date		