

## 證券交收指示表格 / SECURITIES SETTLEMENT INSTRUCTION FORM

致 To:  招銀國際證券有限公司 (“招銀國際證券”) CMB International Securities Limited (“CMBIS”) (中央編號 CE No. AUZ441)  
 招銀國際環球市場有限公司 (“招銀環球”) CMB International Global Market Limited (“CMBIGM”) (中央編號 CE. No. AAF261)

帳戶號碼 Account Number : \_\_\_\_\_ 帳戶名稱 Name of Client : \_\_\_\_\_

中央結算投資者戶口託管服務 CCASS Investor Account Custodian Service - 投資者戶口號碼 Investor Account No. : \_\_\_\_\_  
 轉倉服務 SI Service  
 對手 Counterparty: \_\_\_\_\_ 參與者代號 Participant ID : \_\_\_\_\_  
 對手中央編號(香港股票使用) Counterparty Central Entity Number (CE No.) (HK Stock use only) [註/Note] : \_\_\_\_\_  
 聯絡人 Contact Person: \_\_\_\_\_ 其他資料 Other Information : \_\_\_\_\_  
 電話 Phone: \_\_\_\_\_ (如適用/if applicable) : \_\_\_\_\_  
 電郵 Email: \_\_\_\_\_

存入股票 Receipt 交收日 Settlement Date : \_\_\_\_\_  
 提取股票 Delivery 交易日 Trade Date : \_\_\_\_\_

**\*\* 轉倉一千手或以上不填選此部, 此交收指示不會執行及會被作廢 \*\***

**\*\* Do not fill this section for the transfer with 1,000 lots or over, this transfer instruction will not be executed and will be voided \*\***

過戶費豁免申請只適用於一千手或以上及需要符合更多相關條件。Scrip Fee Concession application is only for the transfer with 1,000 lots or over and need to meet more relevant conditions.

請聯絡客戶經理關於更多申請豁免條件及費用及了解閣下是否可申請。Please contact the RM for more information about the concession and fees and whether you can apply.

不申請 Not Apply  申請 Apply 股票代碼/Stock Code: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

股票代碼 / Stock Code [當地代碼/ 國際證券識別碼/ Local Code/ISIN]	股票名稱 Stock Name	股票數量 No. of Share(s)	無須付款 Free of Payment (FOP)	交貨付款 及 貨幣金額 Against Payment (DVP) and CCY Amount [只供港股及固定收益產品使用/ Only for HK Stock and Fixed Income]	每股價錢 Price per share [註/Note]
			<input type="checkbox"/>	<input type="checkbox"/> /	
			<input type="checkbox"/>	<input type="checkbox"/> /	
			<input type="checkbox"/>	<input type="checkbox"/> /	
			<input type="checkbox"/>	<input type="checkbox"/> /	
			<input type="checkbox"/>	<input type="checkbox"/> /	

相關手續費請參閱 Regarding related handling fees, please refer to <https://www.cmbi.com.hk/zh-HK/>

本人/本公司, 以下簽署者, 謹此聲明並承諾: 上述投資產品並非來源於或用於恐怖分子集資活動、涉嫌從販毒所得、組織及嚴重罪行的得益, 及/或受制裁的司法管辖区或受制裁方。I/we, the under-signed, hereby declare and undertake the above investment products are not sourced from or is not made for terrorist financing activities; proceeds of drug trafficking; proceeds of organized and serious crimes; and/or sanctioned jurisdictions or parties.

本人/本公司 聲明及同意承擔任何可能因此投資產品提存而引致之爭議、損失、責任及有關風險。在不局限前文的概括性原則下, 本人/本公司瞭解並進一步同意: (1) 投資產品的提存指示需經貴公司審批, 貴公司可拒絕執行有關指示而毋須給予任何理由; 及 (2) 審批需時或致提存延誤。本人/本公司同意貴公司因上述任何情況而引起對本人/本公司之任何損失(如有)概不負責。

I/we hereby declare and undertake to bear possible arguments, losses, responsibilities and pertinent risks associated as a result of this deposit or withdrawal instruction. Without limiting the generality of the foregoing, I/we acknowledge and further agree that: (1) the deposit or withdrawal instruction shall be subject to approval by your company and your company shall be entitled to refuse the execution of the instruction without any reason; and (2) the deposit or withdrawal may be delayed due to such approval process. I/we agree that your company shall not be responsible for any loss, if any, caused to me/us arisen from any of the aforementioned circumstances.

客戶簽署 Client Signature: \_\_\_\_\_ 日期 Date: \_\_\_\_\_

[註/Note] 本公司中央結算參與者代號/Our CCASS Participant No.: B01901

- 如屬於場外證券交易, 客戶必須填寫“對手中央編號”及“每股價錢”以用於向證券及期貨事務監察委員會(“證監會”)提供場外證券交易匯報。If this is a OTC Securities Trade, client must fill the “Counterparty CE No.” and “Price per share” for reporting to Securities and Futures Commission (“SFC”) regarding OTC Securities Transactions
- 海外市場及投資產品或會因市場限制不被接受轉倉, 請與客戶經理查詢。Transfer of Foreign shares/Investment products may be rejected due to the market restrictions, please contact your Relationship Manager for details.

For Official Use Only			SI Phone confirmation with counterparty (if applicable) <b>只供交收部使用/Settlement Use Only</b>	
RM	Back Office			Date & Time:
	S.V.by	Prepare/Input	Check/Approval	Remarks: