

根據《證券及期貨條例》下的持牌法團(CE 編號 API164)及香港聯合交易所有限公司參與者
 Licensed Corporation under the Securities & Futures Ordinance (CE No. API164) and Exchange
 Participant of the Stock Exchange of Hong Kong Limited

SI / ISI Request Form 股票交收指示/獨立投資者交收指示申請表

To 致: Settlement Department 交收部

Date 日期: _____

Account No. 帳戶號碼: _____ Account Name 帳戶名稱: _____

RECEIVE the following securities from the said Participant for my/our above account. 接收下列之股票至我/我們之戶口。

DELIVER the following securities from my/our above account to the said Participant. 由我/我們之戶口提出下列之股票。

Please input the following SI into CENTRAL CLEARING & SETTLEMENT SYSTEM (CCASS) to effect settlement with details as follows:

請輸入下列指示於中央結算系統進行交收:

<input type="checkbox"/> ISI 獨立投資者交收指示	Investor Account No.: 投資者帳戶號碼: _____
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<input type="checkbox"/> SI 股票交收指示					
Name of Counterparty 參與者名稱 <small>(Note 1 註)</small>		Counterparty ID 參與者代號 <small>(Note 2 註)</small>		Contact Person 聯絡人	
				Telephone No. 電話	
FOR OFFICE USE ONLY 公司專用					
Settlement Date 交收日期 <small>(Note 3 註)</small>	Stock Code 股票代號	Name of Stock 股票名稱	No. of Share (s) 股票數量	SI Reference Number 中央結算系統編號	BOS Ref. 後勤系統編號
Payment Instruction 付款指示		<input type="checkbox"/> Against Payment (DVP) (Note 4 註) <input type="checkbox"/> Free of Payment (FOP) (Note 6 註)		款項HK\$: _____ (Note 5 註)	
FOR OFFICE USE ONLY 公司專用 Purpose of SI 交收指示目的		<input type="checkbox"/> C = Broker – Custodian 經紀受托管交收 <input type="checkbox"/> M = Portfolio Management 股票組合轉移 <input type="checkbox"/> I = Investor Account 投資者賬戶			

Please debit the captioned account for any costs or charges so incurred.

請在我/我們之股票賬戶中扣除一切開支。

_____ (Note 7 註)

FOR OFFICE USE ONLY 公司專用		
SI Fee 交收費用		HK\$
Signature Verified by	Input By	Authorized By
Name:	Name:	Name:

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Notes for Completion of SI / ISI Request

交收指示填寫須知

Note 附註

- Please fill in the full name of counterparty, this box must be filled in.
請填上參與者之全名，此空格必需填寫。
- Please fill in the counterparty ID number, this box must be filled in. (For example: B0XXXX or C0XXXX)
請填上參與者代號(例如: B0XXXX / C0XXXX)，此空格必需填寫。
- Please fill in the expected settlement date of receiving/delivering securities from/to counterparty.
請填上由/從本公司/另一參與者接收/提出股票之預計交收日期。
- Please tick the box in the event of receiving/delivering securities against payment.
如接收/提出證券需付予款項，請填上 √ 號。
- This blank must be filled in amount if Note 4 has been marked with √.
如附註 4 已填上 √ 號，請在此項填上金額。
- Please tick the box in the event of receiving/delivering securities “free of payment”.
如接收/提出證券無須付款，請填上 √ 號。
- This form must be signed by securities account holder(s). A form which is not properly signed will be rejected.
本表格必需由股票戶口客戶簽署，本公司不接納未簽妥之表格。

Important Note 重要附註

- Please fill out our S.I. form and return it to us. Besides, please fill out the S.I. form provided by counterparty and return it to the counterparty promptly.**
請填妥本公司之交收指示表格，並交回本公司。同時，請填妥交收對手提供之交收指示表格，並即交回交收對手。
- Counterparty information of CIS Securities Asset Management Limited.**
順安證券資產管理有限公司之參與者資料。

Name of Counterparty:	CIS Securities Asset Management Limited. 順安證券資產管理有限公司
Counterparty ID	B01849
Contact Person	Settlement Department
Telephone No.	3112-8662 / 3112-8634