

Securities Settlement Instruction (SI) / Investor Settlement Instruction (ISI)
證券交收指示 / 投資者交收指示

To 致: Delta Asia Securities Limited 滙業證券有限公司

 Account Number: _____ Account Name: _____
 賬戶號碼: _____ 賬戶名稱: _____

Please input the following Settlement Instruction (SI/ISI) to effect settlement with details as follow.

請按下列資料辦理證券交收手續。

Settlement Method 交收方法	<input type="checkbox"/> SI 股票交收指示	<input type="checkbox"/> ISI 投資者交收指示		
Instruction Type 指示類別	<input type="checkbox"/> Receipt of Securities 存入證券	<input type="checkbox"/> Delivery of Securities 提取證券		
Counterparty Participant ID 交收對手參與者編號	Name of Counterparty 交收對手名稱	Counterparty Contact Person 交收對手之聯絡人	Counterparty Contact Number 交收對手之聯絡電話	Settlement Date 交收日期
Payment Instruction 收款/付款指示: "Free of Payment" will be default payment instruction if neither choice in the right box is selected. 如客戶沒有選擇右方指示， 將以“無需付款交收”執行是次指示。 All charges in relation to the settlement instructions will be debited from the client's securities account. 相關費用將於客戶之股票戶口內扣除。		Please select ONE of the choices 請選擇其中一項: <input type="checkbox"/> Free of Payment 無需付款交收 <input type="checkbox"/> Deliver Versus Payment 貨銀對付交收 <input type="checkbox"/> Real Time Delivery/Receipt Versus Payment 即時貨銀對付		
		For Office Use Only 只供內部專用: <input type="checkbox"/> C=Broker-Custodian <input type="checkbox"/> I=Investor-Intermediary <input type="checkbox"/> M=Portfolio Movement <input type="checkbox"/> Others: _____		
Stock Code 股票編號	Stock Name 股票名稱	Quantity 股份數量	Settlement Amount 交收金額	Charges 收費
Remarks 備註:				

 Client Signature _____ Date _____
 客戶簽署: _____ 日期: _____

For Internal Use Only 內部專用			
AE/RM/CS Name 姓名 _____ Date 日期 _____	Approver 批核者 Name 姓名 _____ Date 日期 _____	Maker 處理者 Name 姓名 _____ Date 日期 _____	Checker 審核者 Name 姓名 _____ Date 日期 _____

FILLING GUIDE 填寫指引

To deposit securities from firm/bank (“Outside Broker”) to your account in Delta Asia Securities Limited (“DAS”), or withdraw securities from your DAS account to Outside Broker, customer shall:

- 1) complete the “Securities Settlement Instruction (SI) / Investor Settlement Instruction (ISI)” Form of DAS;
- 2) arrange the Form to be signed by all the account holders;
- 3) the duly completed and signed Form to the Customer Service Department by post or in person;
- 4) advise Outside Broker of the intended share transfer to/from DAS. The settlement instruction for the transfer is:

Hong Kong and Shanghai Securities Custodian Name : HKSCC
CCASS Participant ID: B01356
Participant Name : Delta Asia Securities Limited

Remarks for deposit of securities:

- 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 DAS account;
- our Company will handle the instructions on the same business day if the instructions are received before 1:00 p.m. Otherwise our Company will handle the instructions on the next business day;
- the transfer of securities will be reflected in your DAS account once the process is completed;
- you may only sell the securities after the securities has been reflected in your DAS account.

如果閣下欲透過電子結算系統把證券/投資產品存入其滙業證券有限公司(「滙業證券」)的戶口，或從該滙業證券戶口調撥證券/投資產品至其於其它證券公司/銀行戶口，閣下須依照以下程序辦理有關手續：

- 1) 填妥滙業證券之「證券交收指示 / 投資者交收指示」表格；
- 2) 所有戶口持有人均須於交收指示內簽署；
- 3) 把填妥及簽署後的「證券交收指示 / 投資者交收指示」表格郵寄或親身遞交到本公司；
- 4) 閣下亦須要通知對手證券公司/銀行有關調撥交易資料；

香港及滬股股票托管商名稱：香港中央結算有限公司
中央結算系統編號: B01356
參與者名稱：滙業證券有限公司有限公司

存入證券/投資產品注意事項：

- 如要將多間證券公司/銀行戶口內之證券轉至滙業證券，請分別就每一證券公司/銀行戶口填寫一張交收指示；
- 原有證券公司或銀行之戶口登記姓名必須與閣下在滙業證券戶口之登記姓名相同；
- 於工作天下午 1:00 前收到的指示，本公司會即日處理；下午 1:00 後收到的通知將被撥入下一個工作天處理；
- 當我們收妥股票後，會盡快將其存入閣下的滙業證券戶口；
- 當股票完成轉戶手續後，閣下才可以賣出有關證券。

Customer Service Hotline 客戶服務熱線: +852 2533 0722

Email Address 電子郵件信箱: cs@delta-asia.com