

Securities Settlement Instruction (SI) / Investor Settlement Instruction (ISI)
证券交收指示 / 投资者交收指示

To 致: Delta Asia Securities Limited 汇业证券有限公司

Account Number:

Account Name:

账户号码: _____ 账户名称: _____

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

请按下列资料办理证券交收手续。

Settlement Method 交收方法	☐ SI 股票交收指示	☐ ISI 投资者交收指示		
Instruction Type 指示类别	☐ Receipt of Securities 存入证券	☐ Delivery of Securities 提取证券		
Counterparty Participant ID 交收对手参与者编号	Name of Counterparty 交收对手名称	Counterparty Contact Person 交收对手之联络人	Counterparty Contact Number 交收对手之联络电话	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. 如客户没有选择右方指示, 将以“无需付款交收”执行是次指示。 All charges in relation to the settlement instructions will be debited from the client's securities account. 相关费用将于客户之股票户口内扣除。 Please select ONE of the choices 请选择其中一项: ☐ Free of Payment 无需付款交收 ☐ Deliver Versus Payment 货银对付交收 ☐ Real Time Delivery/Receipt Versus Payment 实时货银对付				
		For Office Use Only 只供内部专用: ☐ C=Broker-Custodian ☐ I=Investor-Intermediary ☐ M=Portfolio Movement ☐ Others: _____		
Stock Code 股票编号	Stock Name 股票名称	Quantity 股份数量	Settlement Amount 交收金额	Charges 收费
Remarks 备注:				

Client Signature

客户签署: _____

Date

日期: _____

For Internal Use Only 内部专用

AE/RM/CS:	Approver 批核者:	Maker 处理者:	Checker 审核者:
Name 姓名 _____	Name 姓名 _____	Name 姓名 _____	Name 姓名 _____
Date 日期 _____	Date 日期 _____	Date 日期 _____	Date 日期 _____

FILLING GUIDE 填写指引

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于交收指示內簽署；
- 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/銀行有關調撥事務數據：

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

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；
- 于工作天下午 1:00 前收到的指示，本公司會即日處理；下午 1:00 后收到的通知將被撥入下一个工作天處理；
- 当我们收妥股票后，会尽快将其存入閣下的滙業證券戶口；
- 当股票完成轉戶手續后，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