

**證券交收指示表格**
**SECURITIES SETTLEMENT INSTRUCTION FORM**

致：中國天元證券有限公司

To: China Tian Yuan Securities Limited

客戶名稱 Account Name \_\_\_\_\_

客戶號碼 Account Number \_\_\_\_\_

請按下列資料辦理證券交收手續。

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

交收方法 Settlement Method	<input type="checkbox"/> 股票交收指示 SI <input type="checkbox"/> 投資者交收指示 ISI			
指示類別 Instruction Type	<input type="checkbox"/> 存入證券 Receipt of Securities <input type="checkbox"/> 提取證券 Delivery of Securities			
交收對手參與者編號 Counterparty Participant ID	交收對手之聯絡人及電話 Counterparty Contact Person and Tel No.			
交收對手名稱 Name of Counterparty	交收日期 Settlement Date			
收款/付款指示 Payment Instruction: 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。 “Free of Payment” will be default payment instruction if neither choice in the right box is selected.		請選擇其中一項 Please select ONE of the choices: <input type="checkbox"/> 無需付款交收 Free of Payment <input type="checkbox"/> 貨銀對付交收 Deliver Versus Payment <input type="checkbox"/> 即時貨銀對付 Real Time Delivery/Receipt Versus Payment		
相關費用將於客戶之中國天元證券股票戶口內扣除。 All charges in relation to the settlement instructions will be debited from the client's securities account in China Tian Yuan Securities.		For Office Use Only 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: _____		
股票編號 Stock Code	股票名稱 Stock Name	股份數量 Quantity	交收金額 Settlement Amount	收費 Charges

客戶簽署

日期

Client Signature \_\_\_\_\_

Date \_\_\_\_\_

只供內部使用 For official use only

Received by CS / AE	Signature Verified by	Input by	Approved by	Approved by R.O.
Name	Name	Name	Name	Name
Date	Date	Date	Date	Date

填寫指引 | FILLING GUIDE

如果閣下欲透過電子結算系統把證券 / 投資產品存入其中國天元證券有限公司（「中國天元證券」）的戶口，或從該中國天元證券戶口調撥證券 / 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) 填妥中國天元證券之「證券交收指示」表格；
- 2) 所有戶口持有人均須於交收指示內簽署；
- 3) 把填妥及簽署後的交收指示傳真至中國天元證券客戶服務部 – 傳真號碼：(852) 2179 9660
- 4) 閣下亦須要通知對手證券公司 / 銀行有關調撥交易資料：

香港及深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：	B02046
參與者名稱：	中國天元證券有限公司

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中國天元證券，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中國天元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中國天元證券戶口；
- 當股票完成轉戶手續後，閣下才可以賣出有關證券。

To deposit securities from bank (“Outside Broker”) to your account in China Tian Yuan Securities Limited (“CTYS”), or withdraw securities from your CTYS account to Outside Broker, customer shall:

- 1) Complete the “Securities Settlement Instruction Form” of CTYS;
- 2) Arrange the Form to be signed by all the account holders;
- 3) Fax the duly completed and signed Form to the Customer Service Department of CTYS – Fax no.: (852) 2179 9660
- 4) Advise Outside Broker of the intended share transfer to / from CTYS. The settlement instruction for the transfer is:

Hong Kong, Shenzhen and Shanghai Securities Custodian Name:	HKSCC
CCASS Participant ID:	B02046
Participant Name:	China Tian Yuan 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 CTYS 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 CTYS account once the process is completed;
- You may only sell the securities after the securities has been reflected in your CTYS account.