



**Securities Transfer Instruction Form**

**證券轉貨指示**

日期Date			
客戶姓名Client Name:		客戶號碼Account Number:	

(\*請選擇一個選項并並打勾 Please select an option)

I hereby instruct you to transfer the securities set out below out from into the above account.  
請將本人以下證券 轉出自 轉入到上述戶口

對方機構名稱 Name of Counterparty:					
本人 / 吾等於對方機構的戶口號碼 My / Our account number at Counterparty:					
本人 / 吾等於對方機構的戶口名稱 My/Our account name in Counterparty:					
對方聯絡人姓名 Contact Person at Counterparty:					
參與者代號/環球交易對手清算號碼 Participant ID / Global Counterparty Clearing No. :					
對方聯絡人電話 Telephone:		電郵 Email		執行日期 Value Date	
付款指示* Payment Instructions* 請選擇右框內其中一種付款 方式 Please select ONE of the two choices	<input type="checkbox"/> 無需付款交收 Free of Payment *如沒有選擇本框內任何一種付款方式，本公司將視付款指示為“無需付款交收” “Free of Payment” will be assumed to be the default payment instruction if neither choice in this box was selected. <input type="checkbox"/> 貨銀對付交收 Delivery / Receipt Versus Payment (DVP / RVP) 銀碼 Amount : _____				

股票號碼 Stock Code /國際證券號碼 ISIN	證券名稱 Name of Securities	單位數量 Quantity/Nominal	交收費用 Handling Fee

我了解並確認本件所附的**致客戶之重要事項及客戶聲明**

I hereby confirm that I understand and acknowledge the attached **Important Notes to Client and Customer Declaration**

客戶簽名 Client Signature:		簽名核對Verified by Name : _____ Date : _____	批核Approved by RO Name : _____
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## 致客戶之重要事項 Important Notes to Client

1. 請通知對方機構上述指示。  
Please inform your Counterparty the above-mentioned instruction.
2. 任何遺漏或不正確的資料或會導致轉移過程被延長，甚至取消。  
Any missing or inaccurate information provided may result in a delay or even cancellation of the transfer.
3. 閣下同意從閣下戶口中支付證券轉移相關費用(如有)。  
You agree that a transfer fee (if any) will be debited from your account
4. 證券轉入或轉出須經華泰金融控股(香港)有限公司批准。  
Securities transfer in or out is subjected to the approval of Huatai Financial Holdings (Hong Kong) Limited ("Huatai").
5. 華泰不會接受和辦理第三方證券轉出/轉入的指示。  
Huatai will not accept and process any third party securities transfer in / out instruction.
6. 證券轉貨一般需約 2-3 個營業日完成，截單時間為每個營業日上午 10 時。在上午 10 時後收到的指示將於下一個營業日處理。  
Transfer instructions normally take about 2-3 business days to process. The cut-off time is 10am on each business day. Instructions received after 10am will be handled on the following business day.

## 客戶聲明 Customer Declaration

1. 本人/吾等確認證券的實益擁有權不會因本轉帳指示的執行而更改。  
I/We confirm that there is no change in beneficial ownership through effecting this transfer instruction.
2. 本人 / 吾等明白有關轉帳之指示及執行時間均須獲得以上金融機構之接納及批准，華泰一概不會就有關金融機構未能成功執行或延遲執行指示而產生之後果承擔任何責任。  
I/We understand that the instruction and timing of execution in relation to the transfer shall be subject to the acceptance and approval of the above-mentioned Counterparty. Huatai assumes no liability or responsibility for any consequences arising out of any failure or delay in the processing of the instruction by the relevant Counterparty.
3. 本人 / 吾等明白及確認本人 / 吾等不可在轉帳期間出售上述證券，直至轉帳過程完成後方可出售。  
I/We understand and acknowledge that I/we are not allowed to sell the above securities until the transfer process has been completed.
4. 本人 / 吾等明白及同意任何聯名戶口之證券轉出指示，必須由所有戶口持有人妥為發出及授權。  
I/We understand and agree that for joint account, any instruction for transfer out must be duly given and authorized by ALL account holders.
5. 本人 / 吾等確認，就有關證券提交所有必要的報稅表，以及交付任何和所有適用的稅項和其他款項，是本人 / 吾等的責任。I/We acknowledge that it is my/our responsibility to submit all necessary tax declaration(s) and make any and all required tax and other payments in relation to the relevant securities.
6. 本人 / 吾等同意華泰向上述金融機構及處理證券行政與結算的服務提供者披露閣下於本表格上的個人資料、本人 / 吾等在華泰持有戶口的事實，以及因上述轉帳所需關於本人 / 吾等之任何其他資料。  
I/We consent to Huatai disclosing to the above-mentioned Counterparty and administration & settlement service providers my particulars in this form, the fact that I/we maintain an account with Huatai, and any other information relating to me/us which may be necessary for the purpose of the transfer.
7. 本人 / 吾等同意華泰毋須就此投資及 / 或轉帳所產生的任何損失、損害賠償及 / 或成本負責。此外，考慮到華泰向本人 / 吾等提上述服務，本人 / 吾等在此不可撤銷及無條件地同意彌償，並免使華泰、其人員及代理人因提供上述服務而導致直接或間接地產生或引起的任何性質之任何及所有訴訟、申索或要求、法律程序、損失、責任、成本和開支（包括法律費用的十足彌償）。  
I/We agree that Huatai shall not be liable for any losses, damages and/or costs arising from the investment and/or the transfer. Furthermore, in consideration of Huatai providing the above-mentioned services to me/us, I/we hereby irrevocably and unconditionally agree to indemnify Huatai, its officers and agents and hold Huatai harmless against any and all actions, claims or demands, proceedings, losses, liabilities, costs and expenses (including legal costs on a full indemnity basis) incurred or suffered by Huatai, its officers or agents directly or indirectly of whatever nature as the result of providing the said services.