



Settlement Instruction (SI) / Investor Settlement Instruction (ISI)

證券交收指示 / 投資者交收指示

Client Name : 客戶名稱:	Account No. : 戶口號碼:
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I/We hereby authorize Emperor Securities Limited ("ESL") to arrange: 本人/吾等現授權英皇證券(香港)有限公司(「英皇證券」)安排:

<input type="checkbox"/> Receive the below securities for my/our securities account 將下列證券接收到本人/吾等之上述戶口	<input type="checkbox"/> Deliver the below securities from my/our securities account 將下列證券由本人/吾等之上述戶口交付
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and input the following Settlement Instruction (SI) / Investor Settlement Instruction (ISI) into Central Clearing and Settlement System (CCASS) with the details as follow: 並根據下列資料將交收指示 / 投資者交收指示輸入中央結算系統:

Name of Counterparty: 交收對手:			Contact Person and Telephone No. of Counterparty: 對手聯絡人姓名及聯絡電話:				
CCASS Participant ID of Counterparty: 交收對手之中央結算系統參與者編號:			Value Date : 執行日期:				
Stock Code 股票代號	Stock Name 股票名稱	Quantity 數量	Settlement Method 交收方式		For Office Use Only 供本公司專用		
					SI Input Charge	Settlement Fee	Total Charge
			<input type="checkbox"/> Free of Payment 無須付款				
			<input type="checkbox"/> *Against Payment 貨銀對付 HK\$港幣				
			<input type="checkbox"/> Free of Payment 無須付款				
			<input type="checkbox"/> *Against Payment 貨銀對付 HK\$港幣				
			<input type="checkbox"/> Free of Payment 無須付款				
			<input type="checkbox"/> *Against Payment 貨銀對付 HK\$港幣				
			<input type="checkbox"/> Free of Payment 無須付款				
			<input type="checkbox"/> *Against Payment 貨銀對付 HK\$港幣				

\* "Free of Payment" will assume to be the default payment instruction if neither choice in the box was selected.

如沒有選擇框內的付款方式,本公司將視做為「無須付款交收」。

- I/We confirm that there is no change in beneficial ownership through effecting this settlement instruction.  
本人/吾等確認上述股票的實益擁有權並沒有因進行本交收指示而作出變動。
- I/We confirm that there is change in beneficial ownership through effecting this settlement instruction. I/We also provide the original of stamped Bought / Sold note for your record.  
本人/吾等確認上述股票的實益擁有權因進行本交收指示而作出變動。現附上已繳付印花稅之買賣單據正本以供保存。

Reason of change 變動原因:	Relationship 與本人/吾等之關係:	Tel. confirmation by: Date:
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Remarks: Please pass this document to our Settlement Department before 1:00pm for the same day settlement instructions.

備註: 如欲即日完成交收程序,務必於當日下午一時前填妥此文件交付或傳真至交收部。

Declaration 聲明:

I/We understand and agree 本人/吾等明白及同意:

The above instructions are my/our personal wishes. ESL only provides stock custody services and does not participate in any trading activities. All trading activities in the account are considered by me/us. I/We confirm the responsible for the management, decision and proceeding by myself/ourselves. I/We will bear all related investment losses and risks. 有關上述交收指示乃本人/吾等的個人意願,英皇證券僅提供股票託管服務,並沒有任何參與證券帳戶內之買賣交易活動,所有帳戶內之交易活動均由本人/吾等經詳細考慮下自行負責管理、決定及進行,與英皇證券無關,本人/吾等將自行承擔一切相關投資損失及風險。

In addition to provide the related custody services for the above-mentioned, ESL does not provide related advice and sales services for this securities/bond. ESL also reminds me/us that I/We can seek relevant financial and legal advice from independent financial or legal advisers (Including any tax consequences). 除了提供上述存倉的相關託管服務外,英皇證券並沒有提供此證券/債券之相關建議及銷售服務,唯英皇證券亦有提醒本人/吾等可以向獨立財務或法律顧問尋求有關的財務及法律意見(包括任何稅務後果)。

ESL prohibits customers to engage in any market misconduct or similar activities in any transaction. If ESL discovers any suspicious transactions, it has the right to refuse and reserve the investigation and review of me/us and make necessary corrections or corrections to the relevant accounts. The right to adjust and freeze or deduct the profit earned from related activities from the suspected account. Regarding suspected market misconduct or similar activities, ESL will, in its discretion, decide to report the incident to any relevant regulatory agency or law enforcement agency. 英皇證券絕對嚴禁客戶對任何交易以任何形式進行市場失當行為或類似活動,若英皇證券發現任何可疑交易,將有權拒絕及保留對本人/吾等進行調查審核並對相關帳戶進行必須要更正或調整的權利,並從涉嫌帳戶中凍結或扣除由相關活動所賺取的盈利款項。對於懷疑市場失當行為或類似的活動,英皇證券將依據絕對酌情權決定向任何相關監管機構或是執法機構報告有關事件。

I/We also undertake to indemnify and keep ESL indemnified in respect of any costs and expenses, including but not limited to stamp duty, whatsoever which may be suffered or incurred by you in connection with this settlement instruction. 本人/吾等亦承諾就本交收指示所可能令英皇證券蒙受或承擔的任何費用或開支,當中包括但不限於印花稅,向英皇證券作出彌償及使之獲得彌償。

Client's Signature 客戶簽署	Date 日期
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Signature Verified by,	Checked by,	Approved by,	Inputted by, (CCASS)	Approved by, (CCASS)	Special Approved by,		
					(≤\$20M)		(>20M)
Settlement Dept.	Settlement Dept.	Settlement Dept.	Settlement Dept.		Director-Operations/ Responsible Officer	Executive Director (1)	Executive Director (2)
Date	Date	Date	Date	Date	Date	Date	Date