



國泰證券(香港)有限公司

Cathay Securities (Hong Kong) Limited

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Road Central, Hong Kong
電話 : (852) 3701 2288 傳真 Fax : (852) 3701 2284

投資者/股票交收指示 Investor / Securities Settlement Instruction (I.S.I./S.I.)

申請日期 Application Date: _____

帳戶資料 Account Information

帳戶名稱 Account Name:	帳戶編號 Account No:
經紀名稱 A.E. Name:	經紀代號 A.E. Code:

指示詳情 Instruction Details

指示類別 Instruction Type	<input type="checkbox"/> 轉入 Receive	<input type="checkbox"/> 轉出 Deliver	生效日期 (日/月/年) Value Date (dd/mm/yy)	
<input type="checkbox"/> 香港市場 H.K. Market 結算所參與者編號 CCASS Participant ID:		<input type="checkbox"/> 美國市場 U.S. Market 結算編號 Clearing No.:		<input type="checkbox"/> 中華通 China Stock Connect 結算編號 Clearing No.:
投資者戶口名稱 Investor Name				
投資者帳戶號碼 Investor A/C No.				
聯絡人姓名 Contact Person		聯絡電話 Contact Telephone		

交收詳情 Settlement Details

股票代號 Stock Code	股票名稱 Name of Stock	股票數量 Quantity

付款指示 Payment Instruction	<input type="checkbox"/> 貨銀兌付交/收港幣 _____ Delivery / Receipt Versus Payment HK\$ _____ <input type="checkbox"/> 無須付款 Free of Payment
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交收指示目的 Purpose of SI	<input type="checkbox"/> C=Broker Custodian 經紀受託管交收 <input type="checkbox"/> M=Portfolio Management 股票組合轉移	<input type="checkbox"/> I=Investor Account 投資者帳戶
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客戶聲明 Client Declaration

- 請按上述交收指示之資料透過中央結算系統辦理有關提存, 本人/吾等願就有關指示承擔一切後果。Please follow the information given above and arrange to settle the securities transaction via Central and Clearing Settlement System (CCASS). I/We assume full responsibility for the consequence of this settlement instruction.
- 本人/吾等於簽署本表格後, 即表示客戶聲明股票的實益擁有權不會因本交收指示的執行而更改。By signing this form, I/We declare that there is no change of the beneficial ownership through effecting this stock transfer.
- 請在本人/吾等之證券帳戶扣除一切開支。Please debit the captioned account for any costs or charges incurred.

客戶簽署 Authorized Signature(s)

_____	S.V.
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(所有聯名客戶必需簽署 All account holders of joint account must sign jointly)

指示 Instruction:

- 請於工作天香港時間中午12:00前將本表格傳真至(852)3701 2284。在截數時間後或星期六、日及公眾假期遞交的客戶指示將在隨後的一個工作天辦理。Please fax or email this form to the fax no. (852) 3701 2284 before 12:00noon HK time on a business day. Requests made after the cut-off time or on Saturday, Sunday and public holidays will be processed on the next business day.
- 此指令將於生效日期或之後的適當日期交收。Settlement of this request will take place on or after the Value Date when applicable.

只供本行使用 For Office Use Only

Inputted By:	Checked By	Approved By:	Handling Fee
Date:	Date:	Date:	