

To 致： **The Hongkong and Shanghai Banking Corporation Limited 香港上海滙豐銀行有限公司**

Securities Operations Centre: GPO Box 64, Hong Kong

證券營運中心：香港郵政總局信箱 64 號

**SECURITIES SETTLEMENT INSTRUCTION FORM  
(FOR PERSONAL CUSTOMER) 證券交收指示表格 (個人客戶)**

Date 日期	day 日 / month 月 / year 年

- Note 注意：**
- Please tick where applicable. 請在適當的地方加上剔號。
  - For transfer of securities from other brokers/banks, if your instruction is received by 12:00 noon, it will normally complete the receipt of securities on the same day provided that the other brokers/banks already have such instruction and ready to deliver the securities.  
對於從其他經紀或銀行轉入證券，如果本行在正午 12 時前收到您的指示，惟該經紀或銀行亦已經有指令並準備交付證券，一般情況下，當天可完成收取證券。  
For transfer of securities to other brokers/banks, if your instruction is received by 12:00 noon, it will normally take 3 working days (excluding Saturday, Sunday or public holiday) to complete the delivery of securities.  
對於轉出證券到其他經紀或銀行，如果本行在正午 12 時前收到您的指示，一般情況下，交付指示需時三個工作天（星期六、日或公眾假期除外）完成。
  - Please give instruction to your broker/bank to receive/deliver the securities specified below from/to HSBC (CCASS Participant ID: C00019).  
請指示您的經紀或銀行從滙豐接收下述指定證券/ 交付下述指定證券到滙豐（中央結算編號：C00019）。
  - The transfer of securities must be to an account of same name, i.e. no change of beneficial ownership, and it will be settled free of payment.  
證券的轉移必須以相同名稱的戶口，即實質權益並無變動，並將會以毋須付款交收。
  - Please note that if the settlement date falls on the "Last Date for Registration" of the securities (for dividend purpose), the receipt instruction must reach us 1 working day before the settlement day.  
如交收日亦同是該交收證券的「最後截止過戶日」（收取股息用途），請於早一個工作天將接收指示交回本行，以便於交收日完成您的指示。
  - If you have Renminbi listed securities but no longer have eligible Renminbi deposit account, the payment of the sale proceeds and dividend will be in Hong Kong Dollar equivalent at the prevailing Renminbi to Hong Kong Dollar exchange rate as determined by the Bank at the time of the payment. Loss may be incurred due to exchange fluctuations.  
如您持有交易所上市的人民幣證券而沒有有效的人民幣存款戶口，有關出售收益和股息將會由本行決定以當時的人民幣兌換率以港元支付。兌換率波動可能會引致損失。
  - Please note that transfer in of Shenzhen Stock Exchange ChiNext Stock is not acceptable.  
請注意，本行不接受深圳交易所創業板股票的轉入指示。
  - If the value of individual security to be transferred exceeds a certain threshold, the Bank will only effect the transfer after calling the customer to confirm the instruction. 如果轉換個別證券的價值超過某一限額，本行需與客戶電話確認指令後才會執行轉換證券。
  - Please note that your Investment Services/Securities Account Name and/or Number will be provided to the counterparty for settlement.  
請注意，您在本行的投資服務/ 證券/ 戶口姓名及號碼將會交予對手以便執行交收指示。

Customer Name(s) 客戶姓名	
Investment Services/Securities Account Number 投資服務/ 證券戶口號碼	Contact Telephone Number 聯絡電話號碼

- Please 請  receive the following securities for my/our securities account 將下項證券接收到本人（等）上述證券戶口  
 deliver the following securities from my/our securities account 由本人（等）上述證券戶口交付下項證券

and input the following Settlement Instructions (SI) into the Central Clearing and Settlement System (CCASS) to effect settlement with details as follows: 將下列交收指示輸入中央結算及交收系統以便進行交收：

Name of Securities 證券名稱	Securities Code 證券代號	Quantity of Securities 證券股數
Name of Counterparty 對手名稱	Counterparty Securities Account No. 對手證券戶口號碼	
Counterparty's CCASS Participant ID 對手中央結算編號	Settlement Date (Date you wish to receive/deliver securities) 交收日期	
Counterparty's Central Entity Number (CE No.) [Only applicable to Hong Kong stocks with change of beneficial ownership (CBO) transfer] 對手中央編號 (只適用於港股並且有實質權益變動)		

Any \*charges, please debit my/our settlement account. 任何有關\*費用，請從本人（等）的交收戶口內扣除。

- Note 注意：** \*Please refer to the Securities Services Charges leaflet for the transaction charges involved, if any.  
\*有關上述交收的手續費，請參閱證券服務收費表。

## Declaration 聲明

- (Applicable for investment accounts opened before 15 June 14 於 2014 年 6 月 15 日之前開立的投資戶口適用)**  
I/We confirm that I/we am/are not US resident(s). 本人(等) 確認本人(等) 並非美國居民。

**(Applicable for investment accounts opened on or after 15 June 14 於 2014 年 6 月 15 日或以後開立的投資戶口適用)**  
I/We confirm that I/we am/are not person(s) who: 本人(等) 確認本人(等) 並非：

  - is/are US citizen(s) / with US nationality (regardless of dual nationality or citizenship or residence); 美國公民/ 擁有美國國籍 (不論是否雙國籍/ 公民身分或居住地址) ；
  - is/are US resident(s) (regardless of nationality or citizenship); 美國居民 (不論國籍或公民身分) ；
  - is/are US tax payer(s) [i.e. person(s) who has/have elected to be treated as US resident for US federal income tax purpose (regardless of nationality or citizenship) by attaching such election to his/her/their US federal income tax return]; 美國納稅人 [ 即就美國聯邦所得稅而言，在美國聯邦所得稅納稅申報表上選擇被視為美國居民 (不論國籍或公民身分) ] ；
  - has/have a US address (e.g. primary mailing, residence or business address in the US). 有美國地址 (例如主要通訊地址、居住地址或工作地址在美國) 。
- I/We declare that the transfer of securities does not have change of beneficial ownership. 本人(等) 聲明本證券的轉移並無實質權益變動。
- For transfer of China A shares, I/we confirm to have read, understood and accepted the China Connect: Shanghai-Hong Kong and Shenzhen-Hong Kong Terms and Conditions (including but not limited to the risk disclosure statement set out in its Appendix), the Supplemental Personal Information Collection Statement (only if I/we transfer-in China A shares and/or plan to buy China A shares through HSBC), the Service Factsheet (with tariff information) and the Integrated Account Terms and Conditions. 本人(等) 確認在申請轉移中國 A 股證券時已經閱讀、明白及接受中華通－滬港通及深港通條款及細則 (包括但不限於條款及細則中附錄的風險披露)、個人資料收集補充聲明 (如本人(等) 申請轉入中國 A 股證券及/ 或計劃透過滙豐買入中國 A 股證券)、服務資料單張 (包括服務費用資訊)、及綜合理財戶口條款及細則，並同意遵守。
- I/We understand that the Bank has not provided any recommendation of, or advice on, this instruction (including in relation to tax). This instruction is made based on my/our own judgment. 本人(等) 確認滙豐並無就此指示提供任何建議或意見 (包括與稅務有關的建議或意見)，此指示乃基於本人(等) 的個人判斷作出。
- I/We acknowledge that I/we am/are solely responsible for and am/are required to pay all costs and expenses (including taxes, duties and levies) payable in respect of the instruction, if any, and I/we authorise the Bank to debit any such costs and expenses from my/our account without further notice to me/us. 本人(等) 確認本人(等) 全權負責並且需要支付有關此指示的所有費用和開支 (包括稅費、關稅和徵費) (如有)；及本人(等) 授權滙豐從本人(等) 的戶口扣除任何此等費用和開支而無須另行通知本人(等)。

S.V.

X

Signature(s) of Account Holder(s) 戶口持有人簽署

### For Bank Use Only 銀行專用

OTCR – Check the transferee HK BCAN status via HKIDR Consent Enquiry Screen:

**HK BCAN STATUS = Registered Successfully**

I have checked this BCAN Status and confirm the instructions can proceed.

**REMINDER: If customer's HK BCAN STATUS = No BCAN Consent or if they need to update their CID information, please DO NOT accept this instruction form until customer CID update is completed by Ops. Please assist customer to provide consent and confirm CID and advise customer to return in 4 business days after their CID information is updated.**

Branch Contact Person		Branch Number
Name:	RI Number:	
Telephone Number:	Fax Code:	
External Email Address (optional):	<b>@hsbc.com.hk</b>	
<input type="checkbox"/> Cold Shoulder Order Checked (K072 / S6124)	Investment Account Status (GHSS S6121) <i>Note: Please Input Account Status 1-7. If the Account Status is 2 or 3, the following field must be inputted.</i>	<input type="checkbox"/>
	Submitted Form for Investment Account Reactivation (Y/N)	<input type="checkbox"/>
Remarks		<i>Note: Submit this form to SEC AMH via FaxSwitch 8632.</i>