

投資者交收指示 – 美國上市證券

Investor Settlement Instruction (ISI/SI) – US Listed Securities

敬啟者 To whom it may concern

指示 Instruction Type: 交付 DELIVER TO / 收取 RECEIVE FROM

客戶姓名 Client Name:		客戶帳號 Account No.:	
聯絡電話 Contact Number:		日期 Date:	

本人/吾等，即下開簽署者，為上述戶口之擁有人，現將下列指示給予以下交易對手/託管人：

I/We, the undersigned, being holder(s) of the captioned account with your Company hereby inform you that my/our instructions have been given to the following counterparty / custodian:

交易對手/託管人名稱: Name of Counterparty/ Custodian (S.I.):		交易對手/託管人 DTC 號碼 Counterparty / Custodian DTC Number	
客戶在交收對手/託管人之戶口 號碼 Client Account No, in Counterparty/ Custodian		客戶在交收對手/託管人之戶口 名稱 Customer Account Name in Counterparty/ Custodian	
執行日期 Value Date:		交收對手/託管人之聯絡 人 Name of Contact Person in Counterparty/ Custodian	
聯絡人之電話 Telephone No. of Contact Person in Counterparty/Custodian:		聯絡人之電郵 Email of Contact Person in Counterparty/ Custodian:	

股票編號 Stock Code	股票名稱 Stock Name	股數 Shares	金額 Amount (DVP Settlement Only 貨銀對付交收)

注意 Note :

1. 即日執行之指示需於中午十二時前交付至交收部。
Please note that instruction for same day settlement must reach us before 12:00 noon.
2. 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 where applicable.

3. 客戶於簽署本表格後, 即表示客戶聲明股票的實益擁有權不會因本文收指示的執行而更改。
By signing this form, client declares that there is no change of beneficial ownership through effecting this stock transfer.

客戶簽署 Client(s) Signature : _____

(All account holders of joint account must sign. 所有聯名客戶必須簽署)

備註 Remarks:

請提供以下交付指令到交易對手/託管人。

Please provide the following delivery instruction to the counterparty / custodian for transferring shares from The Core Securities.

U.S. Securities Custodian Name	Interactive Brokers
DTC Number	0534
Account Name	The Core Securities Company Limited
Account Number	16012388

只供內部填寫 For Office Use only

簽署核對 Signature Verified By: _____

經紀 Account Executive	交收部 Settlement Dept.	會計部 Accounts Dept.	批核人 Approved By