

# STOCK INSTRUCTION FORM

## 股票指令表格

### Remarks 備註

1. Please return the instruction to us by mail or in person to our office or by FAX to +852 2693 8860.  
請將正本指示親身交回或郵寄至本公司或傳真至 +852 2693 8860。
2. All account holders must sign on the form.  
所有帳戶持有人必須簽署。
3. For further information of fees and processing time, please refer to [www.sofi.hk](http://www.sofi.hk)  
關於費用及所需時間,請瀏覽 [www.sofi.hk](http://www.sofi.hk)。

For assistance, please contact Customer Service Hotline at +852 2693 8888. 如需協助,請致電客戶服務熱線 +852 2693 8888。

### Primary Account Holder 主要帳戶持有人

Name 姓名

Account no. 帳戶號碼

### Co-Account Holder (if applicable) 聯名戶口持有人 (如適用)

Name 姓名

#### HK Market 香港市場

- Settlement Instruction 交收 (go to A 請填A節)
- Physical Stock Transfer 股票現貨轉移 (go to B 請填B節)

#### US Market 美國市場

- Stock Transfer 股票轉移 (go to C 請填C節)

### A Settlement Instruction (SI)<sup>1</sup> 交收指示

- SI Receipt 股份收取
- SI Delivery 股份交付

### Counterparty Details 交易對手資料

Firm Name 公司名稱

ID 編號

Contact Person Name 聯絡人名稱

Contact Person Phone 聯絡人電話號碼

Account Name 帳戶名稱

Account No. 帳戶號碼



### Instructions 指示

Settlement date 交收日期 (DD 日 / MM 月 / YY 年)

Please transfer below stock(s) 請轉移以下股票

Stock Code 股票代號	Stock Name 股票名稱	Quantity 股數	Official Use Only 本公司專用		
			Ref No.	Book-Close Date	Charge
			Total 總數		

### B Physical Stock (for Hong Kong stocks only) 股票現貨 (只限於香港股票)

Deposit 現貨存入

Withdrawal 現貨提取

Stock Code 股票代號	Stock Name 股票名稱	Quantity 股數	Certificate No. 股票據號	Official Use Only 本公司專用		
				Ref No.	Book-Close Date	Charge
				Total 總數		

**C | Stock Transfer 股票轉移**

DTC In 轉入

DTC Out 轉出

**Counterparty Details 交易對手資料**

Firm Name 公司名稱

ID 編號

Contact Person Name 聯絡人名稱

Contact Person Phone 聯絡人電話號碼

Account Name 帳戶名稱

Account No. 帳戶號碼

**Instructions 指示**

Settlement date 交收日期 (DD 日 / MM 月 / YY 年)

Please transfer below stock(s) 請轉移以下股票

			Official Use Only 本公司專用		
Stock Code 股票代號	Stock Name 股票名稱	Quantity 股數	Ref No.	Book-Close Date	Charge

Total 總數

Signature of Primary Account Holder 主要帳戶持有人簽署

Date 日期

Signature of Co-Account Holder 聯名戶口持有人簽署

Date 日期

### Notes 註

1. To ensure SIs are successfully completed on specific settlement date, please provide instructions by 4pm of previous business day.  
為了確保交收指示在指定的交收日期完成，請在上一個工作天4pm前提供指示。
2. For physical scrip deposit,  
對於股票現貨存入，
  - We will process your request once we receive your physical scrips. The name on the physical scrip must be the same as the name of the account holder.  
一旦收到您的股票現貨，我們將處理您的申請。現貨的名稱必須為帳戶持有人的名稱相同。
  - If the share certificates are registered in the name of a nominee, then you need to provide proof of beneficial ownership.  
如果現貨是在代名人的名義登記，那麼您需要提供實益擁有權證明。
  - Sale order of physical stock will only be accepted after 14 working days when the physical stock has been deposited into CCASS and good title of the stock has been obtained.  
股票現貨由存貨日起計14個工作天後，待過戶處核實股票持有人身份及存入中央結算，方可進行賣出指示。
3. For physical scrip withdrawal,  
對於現貨提取，
  - We will contact you when the scrip is ready to be collected. You may self-collect the scrip or authorize a 3rd party to collect with original copy of the signed authorization letter.  
我們將通知您前來提取股票現貨。您可自行提取或書面授權第三方並帶同已簽署的授權委託書的正本前來提取。
  - The letter must include 3rd party name, ID number, stock code, stock name and number of shares with the following clause: "I/We hereby agree to keep you fully indemnified from and against any loss, claims, demands, cost of proceedings caused by or arising from this authorization."  
授權委託書必須包括獲授權的第三方的姓名，身份證號碼，股票代號，股票名稱，股數和以下條款：“我/我們特此同意悉數賠償貴公司對因此授權所產生或造成的任何損失，索賠，要求和訴訟費用。”
  - Scrip must be collected within 14 business days after it is ready. SoFi Securities (Hong Kong) Limited will re-deposit the scrip into CCASS if it is not collected after 14 business days. Handling fee will be charged again when you make another withdrawal instruction for the re-deposited stock(s).  
現貨必需在14個工作天內提取。否則，公司將重新存入中央結算系統。當您再次重新提取已存入的股票，我們將再次收取手續費。
4. SoFi Securities (Hong Kong) Limited does NOT accept third party stock deposit/withdrawals.  
恕不接受第三者存入/提取股票。

### Official Use Only 本公司專用

Prepared by	Date
Approved by	Date
Input by	Date
Checked by	Date
Final Checked by	Date