

客戶指示 – 股票存倉 CLIENT INSTRUCTION – Stock Deposit

客戶姓名 Client Name: _____

存入股票, 詳列下表; Deposit of share certificates, particulars in table below

股票號碼 Stock No.	股票名稱 Stock Name	數量 Quantity	備註 Remarks

T/D: _____

***股票將存放及凍結於戶口十個工作天及不能賣出以待過戶處理。The deposited stock will be held in the account and not for selling for 10 business days for the shares clearance process by shares registrar.**

不需凍結存入股票 Not hold deposited shares **

重要註明 IMPORTANT NOTE**

關於客戶存入之實物股票, 客戶如指示出售該等股票而其尚未完成股份過戶處結算及獲中央結算系統接受, 客戶須承擔相關之風險及潛在責任。
For deposits of share certificates, there are risks and potential liabilities for a client who instructs to sell such shares before they are cleared by the share registrar and accepted by CCASS.

出售實物股票彌償書 LETTER OF INDEMNITY – AGAINST SELLING SHARES REPRESENTED BY DEPOSITED CERTIFICATES **

本人/吾等現確認完全明瞭指示出售尚未完成股份過戶處結算及獲中央結算系統接受之實物股票可能引致的風險, 包括強制回購該等股份的風險。Acknowledgement is hereby given by me/us that I/we am/are fully aware of the potential risks associated with an instruction to sell shares represented by certificates deposited and not yet [cleared by the share registrar and accepted by CCASS], including the risk of a forced buyback of such shares.

就貴公司同意執行本頁之指示, 本人/吾等同意放棄損失索償權利的全部或部份。本人/吾等承諾彌償貴公司就執行這指示的全部或部份, 所引致的一切法律行動、索償、訴訟、損失等一切責任及所有有關支出的費用。And in consideration of your agreeing to comply or complying with this instruction and request, I/We agree to waive all rights to claim against any loss in full or in part incurred thereof. I/We hereby undertake to indemnify you against all claims and demands and any expenses thereof which may be made against you in consequence of your so complying with the said instruction and requests or any part thereof

簽署: _____ 日期: _____
Signature(s): _____ Date: _____
客戶/獲授權人士
Client/Authorized Person

****在不需凍結存入股票情況下, 如以上非由客戶或獲授權人士簽署確認風險, 需以錄音電話記錄客戶/獲授權人士已明白上述風險。In the event of the deposited shares certificate will not be held, if the above signature is not the client/ authorized person, a tape recording of the aforesaid risk with the client/authorized is needed.**

日期 _____ 時間 _____ 內線 _____ 經紀/銷售同事 _____
Date _____ Time _____ Ext No. _____ AE/Salesperson: _____

如需凍結股票出售之資金, 銷售員/經紀在客戶售出股票時需適時另行通知營運部處理。If the sales proceeds will be withheld in the account, Sales/AE must notify Operations Department during the time of selling the deposited shares.

以下由本公司填寫: For internal use only:			
核查及同意: Reviewed & concurred by: _____ AE/Salesperson	簽名核對: Signature Verified By: _____ CSO	結餘查核: Balance Checked By: _____ CSO	
輸入: Input By: _____ Operations	輸入核對: Input Checked By: _____ Operations	批核: ** Approved By: _____	BM /Team head / RO /Head of Risk