中信証券經紀(香港)有限公司 **CITIC SECURITIES BROKERAGE (HK) LTD**	證券帳戶號碼: **Securities Account Number:** _____

客戶指示 – 實物股票存倉 **CLIENT INSTRUCTION – Physical Stock Deposit**

客戶姓名/公司名稱
Client/Company 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	是否無紙化參與證券 Is USM Participating securities?
			☐ 是 YES ☐ 否 NO
			☐ 是 YES ☐ 否 NO
			☐ 是 YES ☐ 否 NO
			☐ 是 YES ☐ 否 NO

特別指示:/Special Instruction: _____

本人 / 吾等確認本轉讓不涉及實益擁有權變更，轉讓前後最終實益擁有人相同。本人 / 吾等保證資料真實、完整及準確，並就失實、遺漏或違反本聲明致中信証券經紀(香港)有限公司蒙受的損失、責任、印花稅、罰款及費用作出彌償。
I/We confirm that this transfer involves no change in beneficial ownership and that the ultimate beneficial owner(s) remain(s) the same before and after the transfer. I/We warrant that all information is true, complete and accurate, and indemnify CITIC Securities Brokerage (HK) Limited against all losses, liabilities, stamp duty, penalties and expenses arising from any false statement, omission or breach of this declaration.

*非參與證券存入股票一般需凍結於賬戶內十二到十四個工作天進行過戶處的過戶處理，參與證券存入股票一般需凍結於賬戶內五到七個工作天進行過戶處的過戶處理。若因公司行動或參與證券過度期內暫停辦理股份過戶登記手續，實物股票將於暫停辦理過戶日期完結起預計十二到十四個工作天或者五到七個工作天（視參與類型確定）進行過戶處理，故我司在這些時段將不接受該股份賣出指示。由於過戶處有權延長時限而無須另行通知，因此中信證券經紀香港亦會延長凍結時段。如有查詢，請與客戶主任聯絡。

*Typically, non-participating deposited stock will be held in the account 12-14 business days, whereas participating deposited stock will be held in the account 5-7 business days for the shares clearance process by the share registrar. If the share transfer registration procedures are suspended due to corporate actions or participating securities transition period, the process is expected to be completed within 12-14 business days or 5-7 business days (depending on the participation type) from the end of the suspension date, thus we will not receive any client selling order during these periods. Since the registrar has the rights to extend the holding period without prior notice, CSB reserves the rights to extend it accordingly. Please contact your Sales if you have any enquires.

☐ 不需凍結存入股票 Not hold deposited shares **(由內部填寫 For internal use only)

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.

香港實施無紙證券市場後，如閣下存入的證券為參與證券，該筆存入將額外收取交易性去實物化費用，且存入後將不能再以實物形式自股票賬戶提出。
After the implementation of Uncertificated Securities Market (USM), if the securities you deposit are participating securities, an additional transactional dematerialisation fee will be charged for that deposit, and once deposited, they can no longer be withdrawn in physical form from your stock account.

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

日期:
Date:_ _____

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 Date _____ 時間 Time _____ 內線 Ext No. _____ 經紀/銷售同事 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.