

Shenwan Hongyuan Securities (HK) Limited 申萬宏源證券(香港)有限公司

SLT/31/09-23

Securities Settlement Instruction (Bond Market) 證券交收指示 (債券市場)

 Note: Please tick where applicable 請在正確擇項的方格中加剔號

Account Name(Number)帳戶名稱(號碼) _____ (_____)

Clearing House清算行

 CLEARSTREAM明訊銀行 EUROCLEAR歐洲清算銀行 OTHER其他 (Please specify請列出) _____

Clearing House Account Name and Number清算行帳戶名稱及號碼: _____

Trade Date交易日期: _____ Settlement Date交收日期: _____

Contact Person聯絡人: _____ Telephone聯絡電話: _____

Email電郵: _____

交 交收指示並沒有改變有關證券之實益擁有權。(如有, 請提供證明文件)

I/We hereby confirm that there is No Change of beneficial ownership for the following securities transfer. (If any, please provide supporting document.)

Instruction 指示	Settlement Type 交收方式	ISIN 國際代碼	Bond Name 債券名稱	Nominal 面額	Currency and Settlement Amount 交收貨幣及金額
<input type="checkbox"/> Receive 收取 <input type="checkbox"/> Delivery 轉出	<input type="checkbox"/> Free of Payment 無需付款 <input type="checkbox"/> Against Payment 貨銀對付				
<input type="checkbox"/> Receive 收取 <input type="checkbox"/> Delivery 轉出	<input type="checkbox"/> Free of Payment 無需付款 <input type="checkbox"/> Against Payment 貨銀對付				
<input type="checkbox"/> Receive 收取 <input type="checkbox"/> Delivery 轉出	<input type="checkbox"/> Free of Payment 無需付款 <input type="checkbox"/> Against Payment 貨銀對付				
<input type="checkbox"/> Receive 收取 <input type="checkbox"/> Delivery 轉出	<input type="checkbox"/> Free of Payment 無需付款 <input type="checkbox"/> Against Payment 貨銀對付				
<input type="checkbox"/> Receive 收取 <input type="checkbox"/> Delivery 轉出	<input type="checkbox"/> Free of Payment 無需付款 <input type="checkbox"/> Against Payment 貨銀對付				
<input type="checkbox"/> Receive 收取 <input type="checkbox"/> Delivery 轉出	<input type="checkbox"/> Free of Payment 無需付款 <input type="checkbox"/> Against Payment 貨銀對付				

Date日期: _____

Signature(s) of Customer or Authorised Person (with Company chop where appropriate)

客戶簽署或授權人仕簽署 (公司蓋章)

For Official Use Only
SI Handling Charges _____

Opening account balance Cr/(Dr) _____

SI Fee _____

Transaction amount + Charges Cr/(Dr) _____

Others _____

Closing balance Cr/(Dr) _____

Total : _____

For Margin Account :

Stock in/out Authorised by _____

Margin Value after transfer _____

Cash in/out Authorised by _____

Available/(Margin Call) amount after transfer _____

Credit Approved by _____

Market Value _____ **M%** _____

Verify Signature _____ Confirmed with Client / Sales _____ Input system _____

Approved by Dealing Responsible Officer (if necessary) _____ Checker _____

Authorisation _____ Reviewed Status _____