

# DEPOSIT / WITHDRAWAL FORM OF STOCKS

To: DBS Bank (Hong Kong) Limited ("the Bank", which expression shall include its successors and assigns)

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This order form is available in both English & Chinese versions. By completing this form, you agree to use this English version and confirm that you understand all its contents (including Terms and Conditions & Customer Declaration, etc.) set out below.

<b>Customer Full Name (English):</b>		<b>Contact Phone No.:</b>	
<b>DBS Securities Account No. / Wealth Management Accounts No. (if applicable):</b>		<b>Transfer Effective Date:</b>	
<b>Counterparty Full Name:</b>			
<b>Counterparty Contact Details (mandatory for overseas stock transfer):</b>	Email: _____ Tel.: _____ – _____ Contact Person: _____		
<b>Counterparty Securities Account No.:</b>		<b>Counterparty CCASS Participant ID (if applicable):</b>	
<b>Stock Name</b>	<b>Stock Code / ISIN</b>	<b>No. of Shares</b>	<b>Certificate No. (For physical scrip only)</b>
			<b>Settlement amount (available for DVP and RVP as indicated in Payment Instruction)</b>

Total # of stock counter deposited / withdrawn:  One  Two  Three  Four  Five

I/We would like to give the following request	Payment Instruction
<p><b>Please select 1 out of the 4 options below:</b></p> <p><input type="checkbox"/> <b>1. Transfer</b> of the above stocks (Scripless) <b>WITHOUT</b> change of beneficial owner</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> From the Counterparty to my/our Securities Account / Wealth Management Accounts</li> <li><input type="checkbox"/> To the Counterparty from my/our Securities Account / Wealth Management Accounts</li> <li><input type="checkbox"/> To my/our other Securities Account / Wealth Management Accounts: _____</li> </ul> <p><input type="checkbox"/> <b>2. Transfer</b> of the above stocks (Scripless) <b>WITH</b> change of beneficial owner (applicable for Private Banking &amp; Treasures Private Client only)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> From the Counterparty to my/our Wealth Management Accounts</li> <li><input type="checkbox"/> To the Counterparty from my/our Wealth Management Accounts</li> <li><input type="checkbox"/> To other Wealth Management Accounts: _____</li> </ul>	<p><b>Please select 1 out of the 3 options below:</b></p> <p><input type="checkbox"/> <b>1. Free of Payment "FOP"</b> Instruct the Bank to transfer stocks without any settlement payment.</p> <p><input type="checkbox"/> <b>2. Delivery versus Payment "DVP"</b> (applicable for Private Banking &amp; Treasures Private Client only) Instruct the Bank to deliver stocks and receive settlement amount with a total of _____ to the specified account below: _____</p>
<p><b>(For HK stocks only)</b></p> <p><input type="checkbox"/> <b>3. Deposit physical scrip</b> of the above stocks to the Securities Account / Wealth Management Accounts</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The following authorized person is authorized to deposit the above stocks. Authorized Person Full Name: _____ Authorized Person Identity Document No.: _____</li> </ul> <p><input type="checkbox"/> <b>4. Withdraw physical scrip</b> of the above stocks from the Securities Account / Wealth Management Accounts</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The following authorized person is authorized to collect the above stocks. Authorized Person Full Name: _____ Authorized Person Identity Document No.: _____</li> </ul>	<p><input checked="" type="checkbox"/> <b>3. Receive versus Payment "RVP"</b> (applicable for Private Banking &amp; Treasures Private Client only) Instruct the Bank to receive stocks and pay settlement amount with a total of _____ from the specified account below: _____</p>
	<p>X _____</p> <p><b>Customer Signature(s)</b></p>
	<p>X _____</p> <p><b>Customer Signature(s)</b></p>

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## Terms and Conditions

1. I/We must give instruction to the counterparty for stock to be delivered / received.
2. The deposit / withdrawal of physical scrip must be to an account held in the same name. As such, I/we declare that there is no change of the ultimate beneficial ownership, and I/we hereby agree to indemnify the Bank against all losses and liabilities which may be incurred by reason of the Bank's action in accordance with my/our instruction set out above.
3. In the case of physical scrip withdrawal (for HK stocks only), at least 5 business days will be taken through CCASS if stocks are withdrawn in full board lot size. Physical scrip withdrawal service is not available for overseas stocks.
4. In the case of physical scrip deposit (for HK stocks only), at least 15 business days (excluding Saturdays and HK public holidays) will normally be taken by the Bank for re-registration of the above stocks and completion of its internal processing. Physical scrip deposit service is not available for overseas stocks.
5. A transfer service charge will be debited from relevant settlement account of Securities Account, Wealth Management Accounts, and Portfolio. Please refer to the "Bank Charges Schedule" for details. In addition, I/We will bear the costs and expenses incurred in connection to the transfer.
6. The Bank shall not execute (whether wholly or partially) any order to sell, withdraw or otherwise dispose of any stocks if there is insufficient amount of those stocks for the Bank to execute order.
7. If any Stock to be transferred in (if any) is a packaged retail and insurance-based investment product, I/We understand and acknowledge that the Bank did not sell or advise on the packaged retail and insurance-based investment product to be transferred in, the Bank accordingly owes no obligations to me/us to provide a key information document (if one was not provided).
8. I/We will be notified by the Bank when the stock certificates (for HK stocks only) "Stock Certificates" are available for collection. If any of my/our Stock Certificates is not collected by me/us or my/our Authorized Person within 8 weeks from the date the Stock Certificate(s) is/are available for collection, I/We hereby agree and authorize the Bank to deposit the Stock Certificates back to CCASS for safety purposes. If I/we wish to withdraw Stock Certificates afterwards, I/we will need to raise new withdrawal requests.
9. I/We understand that my/our Deposit / Withdrawal instruction will be automatically cancelled if my/our instruction cannot be confirmed with the above counterparty within 10 business days after submission of this instruction to the Bank.
10. I/We understand that the stocks in the process of transfer / deposit will not be eligible for trading until such instruction is processed and holdings reflected in my/our Securities Account / Wealth Management Accounts.

## Customer Declarations

I/We have already read and fully understood the relevant terms and conditions.

**X**

Customer Signature(s)

Date of Customer Signature(s)

Date of Official Receipt sent out to customer

Acknowledgment from the Bank for receiving the Certificate(s) on the date below

Bank Chop & Authorized Signature

Date

Acknowledgement from Customer for receiving the Certificate(s) on the date below

Customer / Authorized Person Signature(s)

Date

## For Bank Use Only (Not Applicable to DocuSign)

### Branch

Branch Name & Code: \_\_\_\_\_ Time of Order Receipt: \_\_\_\_\_ Time Placed: \_\_\_\_\_

R.I. / Handling Staff Name: \_\_\_\_\_ R.I. / Staff No.: \_\_\_\_\_ R.I. / Staff Initial & Date: \_\_\_\_\_

R.I. / Staff 1BankID: \_\_\_\_\_ Contact Phone No.: \_\_\_\_\_

Checked By (Signature with No., Name & Date): \_\_\_\_\_

Initial the action(s) taken:

(Mark name & date if different from the attending staff & checker):



### WMO

BOSS / Avaloq Input By: \_\_\_\_\_ BOSS / Avaloq Checked By: \_\_\_\_\_

DBS Bank (Hong Kong) Limited, 11/F, The Center, 99 Queen's Road Central, Hong Kong, is a bank licensed under the Banking Ordinance and a registered institution under the Securities and Futures Ordinance (CE Number AAL664).