

# DEPOSIT / WITHDRAWAL FORM OF STOCKS



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

此表格備有中文及英文版。如閣下選用此表格（英文版）提交申請，即表示閣下同意選用英文版之表格及明白表格內之全部內容（包括備註及客戶聲明等）。  
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.

Customer Full Name (English):		Contact Phone No.:		
DBS Securities Account / Wealth Management Accounts No. / Portfolio No. (if applicable):		Transfer Effective Date:		
Counterparty Full Name:				
Counterparty Contact Details (mandatory for overseas stock transfer):	Email: _____ Tel.: _____ – _____ Contact Person: _____			
Counterparty Securities A/C No.:		Counterparty CCASS Participant ID (if applicable):		
Stock Name	Stock Code / ISIN	No. of Shares	Certificate No. (For physical scrip only)	Settlement amount (available for DVP and RVP as indicated in Payment Instruction)
Total # of stock counter deposited / withdrawn: <input type="checkbox"/> One <input type="checkbox"/> Two <input type="checkbox"/> Three <input type="checkbox"/> Four <input type="checkbox"/> 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> <p style="margin-left: 20px;"><input type="checkbox"/> From the Counterparty to my/our Securities Account / Wealth Management Accounts / Portfolio</p> <p style="margin-left: 20px;"><input type="checkbox"/> To the Counterparty from my/our Securities Account / Wealth Management Accounts / Portfolio</p> <p style="margin-left: 20px;"><input type="checkbox"/> To my/our other Securities Account / Wealth Management Accounts / Portfolio:</p> <p style="margin-left: 20px;">_____</p> <p><input type="checkbox"/> <b>2. Transfer</b> of the above stocks (Scripless) <b>WITH</b> change of beneficial owner (applicable for Wealth Management Accounts / Portfolio only)</p> <p style="margin-left: 20px;"><input type="checkbox"/> From the Counterparty to my/our Wealth Management Accounts / Portfolio</p> <p style="margin-left: 20px;"><input type="checkbox"/> To the Counterparty from my/our Wealth Management Accounts / Portfolio</p> <p style="margin-left: 20px;"><input type="checkbox"/> To other Wealth Management Accounts / Portfolio:</p> <p style="margin-left: 20px;">_____</p> <p><input type="checkbox"/> <b>3. Deposit physical scrip</b> of the above stocks to the Securities Account / Wealth Management Accounts / Portfolio</p> <p style="margin-left: 20px;"><input type="checkbox"/> The following authorized person is authorized to deposit the above stocks.</p> <p style="margin-left: 20px;">Authorized Person Full Name:</p> <p style="margin-left: 20px;">_____</p> <p style="margin-left: 20px;">Authorized Person Identity Document No.:</p> <p style="margin-left: 20px;">_____</p> <p><input type="checkbox"/> <b>4. Withdraw physical scrip</b> of the above stocks from the Securities Account / Wealth Management Accounts / Portfolio (for HK stocks only)</p> <p style="margin-left: 20px;"><input type="checkbox"/> The following authorized person is authorized to collect the above stocks.</p> <p style="margin-left: 20px;">Authorized Person Full Name:</p> <p style="margin-left: 20px;">_____</p> <p style="margin-left: 20px;">Authorized Person Identity Document No.:</p> <p style="margin-left: 20px;">_____</p>		<p><b>Please select 1 out of the 3 options below:</b></p> <p><input type="checkbox"/> <b>1. Free of Payment "FOP"</b></p> <p>Instruct the Bank to transfer stocks without any settlement payment</p> <p><input type="checkbox"/> <b>2. Delivery versus Payment "DVP"</b></p> <p>(applicable for Private Banking &amp; Treasures Private Client only)</p> <p>Instruct the Bank to deliver stocks and receive settlement amount with a total of _____ to the specified account below:</p> <p style="margin-left: 20px;">_____</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="text-align: center; font-size: 24px; margin: 0;">X</p> <p style="margin: 0;">_____</p> <p style="margin: 0;"><b>Customer's Signature(s)</b></p> </div> <p><input type="checkbox"/> <b>3. Receive versus Payment "RVP"</b></p> <p>(applicable for Private Banking &amp; Treasures Private Client only)</p> <p>Instruct the Bank to receive stocks and pay settlement amount with a total of _____ from the specified account below:</p> <p style="margin-left: 20px;">_____</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="text-align: center; font-size: 24px; margin: 0;">X</p> <p style="margin: 0;">_____</p> <p style="margin: 0;"><b>Customer's Signature(s)</b></p> </div>		

**Terms and Conditions**

1. I/We must give instruction to the counterparty for stock to be delivered / received.
2. The types of transfer specified in this clause 2 must be to an account held in the same name:
  - transfer of scripless stock in my/our Securities Account;
  - any deposit/withdrawal of physical scrip.
 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.
  - for overseas stocks only: the number of days taken by the Bank for processing would depend on each country and the respective custodian(s).
5. A transfer service charge will be debited from relevant settlement account of Securities Account and Wealth Management Accounts. 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.

**Customer Declarations**

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

**X**

\_\_\_\_\_  
Customer's Signature(s)

\_\_\_\_\_  
Date of Customer's 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**

Branch / RM	EPGO/ WMO
Attended RI Name: _____ RI No.: _____ RI Initial & Date: _____ 1BankID: _____ Time order receipt/placed: _____ Br. Code: _____ Checked By (Signature with No., Name & Date): _____	BOSS / Avaloq Input By : _____ BOSS / Avaloq Checked By : _____
Initial the action(s) taken (Mark name & date if different from the attending R.I. & Checker): _____ <div style="float: right; border: 1px solid black; border-radius: 50%; padding: 2px;">S.V.</div>	

