



ADSS HK Transfer of Assets Request Form

ADSS 香港資產轉移申請表格

This form authorizes the transfer of assets between banks or brokers and ADS Securities Hong Kong Limited ("ADSS HK"). If you are transferring more than one account, please complete one form for each account that you are transferring. The type of account at the counterparty should match the ADSS HK account receiving or delivering the assets (e.g. if the sending account is a joint account, the receiving account should be a joint account as well). If the account types do not match, there may be problem in completing the transfer. 本表格授權將資產在銀行或經紀商與阿布扎比證券香港有限公司（「ADSS 香港」）之間轉移。如果您要轉移多於一個賬戶，請為每個賬戶填寫一張表格。交收對手的賬戶類型需與接收或發送資產的 ADSS 香港賬戶相匹配（如發送賬戶是聯名賬戶，接收賬戶也應該是聯名賬戶）。如果賬戶類型不相匹配，則有可能會影響轉移申請。

Please note that ADSS HK accepts only products that it makes available for trading. Certain products, such as many Fixed Income instruments and Mutual Funds, cannot be held in your ADSS HK TREX trading account. Only electronic transfers of securities are supported. No physical certificates can be transferred. Fees will be incurred for Assets Transfer subject to the currency of the Assets and Transfer Method, details please refer to ADSS HK website. 請注意，ADSS 香港只接受可供其交易的產品。某些產品，如許多固定收益工具和共同基金，未能在您的 ADSS 香港 TREX 交易賬戶中持有。只支援電子股票轉賬。不設實物股票轉賬。資產轉移費用將按照資產幣種和轉賬方法而有所不同。詳情請參考 ADSS 香港網站。

Although not required, it is helpful to avoid errors in the transfer process if you send a copy of the most recent account statement from the sending or receiving broker. This statement will be used solely to verify that the account and security information is correct. 儘管不是必需，但如果您能提供閣下發送或接收賬戶的最新對賬單的副本，即可協助避免資產轉移過程中出錯。該對賬單將僅用於驗證賬戶和股票信息是否正確。

ADSS HK TREX Account Information ADSS 香港 TREX 賬戶資料	
ADSS HK TREX Account No. ADSS 香港 TREX 賬戶號碼	
Account Holder Name 賬戶持有人名稱	
Instruction Type 指示類別	<input type="checkbox"/> Receipt of Securities 存入證券 <input type="checkbox"/> Delivery of Securities 提取證券
Account Information of Counterparty 交收對手的賬戶資料	
Name of Counterparty 交收對手名稱	
Account Number 賬戶號碼	
Account Owner Name(s) 賬戶擁有人名稱	
Account Type (Individual/Joint or Corporate etc.) 賬戶類型 (個人/聯名或公司)	
Address of Counterparty 交收對手地址	
City/State/Country of Counterparty 交收對手所在城市/州/國家	
Contact Person at Counterparty 交收對手聯絡人名稱	
Email Address of Contact Person 聯絡人電郵地址	
Phone and Fax No. of Contact Person 聯絡人電話及傳真號碼	
Approximate Account Value 賬戶大概價值	

Do you have a margin loan at your third-party broker? 閣下於您的第三方經紀有沒有保證金貸款?	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Does your third-party broker account hold any short positions? 閣下於您的第三方經紀有沒有持有短倉?	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Does your third-party broker account hold any option positions? 閣下於您的第三方經紀商有沒有持有期權倉位?	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有

After completing the client section of this form, please forward a copy of the form with the attached delivery/receiving instruction to the counterparty. The completion of an international assets transfer depends on several factors, including the portfolio size, the coordination of matching instructions with your delivering/receiving broker and the asset types to be transferred. Expect a minimum of 2 to 5 business days for processing. 完成此表格的客戶部分後，請將附有交付/接受指示的表格副本轉發給交收對手填寫。國際資產轉移取決於多個因素，包括投資組合規模，與交付/接受經紀人的匹配指令的協調以及要轉移的資產類型。最少處理時間為 2 至 5 個工作日。

Special Notes 特別注意

I understand that to the extent any assets are not readily transferable, with or without penalties; such assets may not be transferred. Unless otherwise indicated, I authorize ADSS HK to liquidate any non-transferable proprietary money market fund assets that are part of my account and to transfer the resulting credit balance to ADSS HK. I authorize ADSS HK to deduct any outstanding fees due you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance is insufficient to satisfy any outstanding fees due you, I authorize ADSS HK to liquidate the assets in my account necessary to satisfy my obligation. 本人明白在任何資產不能隨時轉讓的情況下，有或沒有罰款，此類資產不得轉讓。除非另有說明，本人授權 ADSS 香港結算本人賬戶內任何一部分的不可轉讓的專有貨幣市場基金資產，並將結算的貸方餘額轉賬至 ADSS 香港。本人授權 ADSS 香港從本人的賬戶中的信用餘額中扣除任何未償還的費用。如果本人的賬戶沒有信用餘額，或信用餘額不足以支付任何未償還的費用，本人授權 ADSS 香港結算本人賬戶中的資產以履行本人的義務。

Client Signatory 客戶簽署:

I /We, the undersign, now request a receipt / delivery of all the below listed assets. I understand that this transfer is subject to terms and conditions of the Client Agreement signed with ADSS HK. 本人/我們，下方簽署人，現要求存入/提取所有下列資產。本人/我們明白此轉移須遵守與 ADSS 香港簽訂的客戶協議的條款和條件。

Signature of Account Holder/ Authorized Signer
賬戶持有人/授權簽署人簽署

Name of Account Holder/ Authorized Signer
賬戶持有人/授權簽署人名稱

DATE (DD/MM/YYYY)
日期 (日日/月月/年年年年)

Signature of Joint Account Holder/
Authorized Signer (if any)
聯名賬戶持有人/授權簽署人簽署(如有)

Name of Joint Account Holder /
Authorized Signer (if any)
聯名賬戶持有人/授權簽署人名稱(如有)

DATE (DD/MM/YYYY)
日期 (日日/月月/年年年年)



TO BE FILLED OUT BY CUSTOMER 由客戶填寫			TO BE FILLED OUT BY COUNTERPARTY 由交收對手填寫			
Symbol 符號	Description of Asset 資產說明	Quantity 數量	ISIN ISIN 號碼	Settle Date 結算日期	Broker/Agent/Clearing Member Name 經紀人/代理人/結算 所會員名稱	CCASS / DTC No. CCASS/ DTC 號碼

(If more space is required to list all assets to be transferred please include an attachment to this form. 如需要更多空間列出所有要轉移的資產，可附上額外附件。)

In case of conflict between the English and Chinese version, the English version should prevail.
如英文版和中文版之間文義有異，概以英文版本為準。