

# Investment Holdings Transfer Form

(Investment Fund Services / Debt Securities Services / Equity Linked Investment Services)

## 投資結存轉移通知書 (基金投資服務/債券投資服務/股票掛鈎投資服務)

Standard Chartered  
渣打銀行

To: Standard Chartered Bank (Hong Kong) Limited (the "Bank")

渣打銀行(香港)有限公司 (「銀行」)  
Investment Services Operations Centre  
16/F Standard Chartered Tower

Please "✓" in the appropriate boxes. 注意：請於適合方格填上"✓"。

Date 日期

Client Information 客戶資料 (Please write in BLOCK letters 請用正楷填寫)			
Client Name (English) 客戶姓名 (英文)	Identity Document Type 客戶身份證明文件種類	Document Number 證件號碼	
	<input type="checkbox"/> HKID 香港身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration Certificate 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊證 <input type="checkbox"/> Others 其他 _____	Contact Phone Number 聯絡電話號碼	
Account number 賬戶號碼			
<input type="checkbox"/> Equity Linked Investment Account No. 股票掛鈎投資戶口號碼	_____ - _____ - _____ - _____ - _____	ELI	
<input type="checkbox"/> Investment Fund Account No. 基金投資戶口號碼	_____ - _____ - _____ - _____		
<input type="checkbox"/> Debt Securities Account No. 債券戶口號碼	_____ - _____ - _____ - _____	BND	
Holdings Transfer Instruction 結存轉移指示			
Fund Name / Debt Securities Name / Issue Details 基金名稱/債券名稱/發行簡稱 (ISIN / Issue No. 發行編號)	No. of Units / Face Value 單位數目/票面價		
<input type="checkbox"/> <b>Transfer the above holdings 轉賬以上結存</b>			
<input type="checkbox"/> <b>From another financial institution to my/our above account number</b> 由本人 / 吾等其他金融機構之戶口號碼至以上之戶口號碼 (Not applicable to Equity Linked Investment Services 不適用於股票掛鈎投資服務)			
<input type="checkbox"/> <b>To another financial institution from my/our above account number</b> 至本人 / 吾等其他金融機構之戶口號碼 (Not applicable to Equity Linked Investment Services 不適用於股票掛鈎投資服務)			
<input type="checkbox"/> <b>To my/our other Standard Chartered account number</b> from my/our above account number 至本人 / 吾等之其他渣打戶口號碼			
<input type="checkbox"/> <b>To another Standard Chartered account number designated by me/us</b> 至本人 / 吾等指定之其他渣打戶口號碼 (For Private Banking client only 只適用於私人銀行客戶)			
<b>Transfer Charge 轉賬費用:</b> I/We confirm and acknowledge that a <b>total transfer charge</b> of the amount specified will be levied on the above stated fund(s)/issue(s) and will be debited against my/our Standard Chartered account. 本人 / 吾等核實及確認本人 / 吾等列明之轉戶費用並由本人 / 吾等之渣打戶口支付。			
<b>Total Transfer Charge in HKD:</b> 合共轉戶費用 (港幣)			
<b>Purpose of transfer 轉賬目的：</b> (Mandatory to provide for transfer with change of ownership 如轉賬涉及持有人變化，即必需填寫+)			
<input type="checkbox"/> Consolidation of holdings for family purpose 因家庭需要集中結存			
<input type="checkbox"/> Ease of management 方便管理			
<input type="checkbox"/> Others (please specify) 其他 (請註明) : _____			
+ Change of ownership of the above holdings is only accepted for transfer to other Standard Chartered accounts. 以上涉及持有人變化的結存轉賬，只適用於轉賬至客戶的其他渣打戶口。			
Client Declarations 客戶聲明			
I/We have already read and fully understood the terms and conditions detailed overleaf and agree to be bound by them. 本人 / 吾等已閱讀，並完全明白及同意遵守背頁列明之條款及細則。			
For Individuals 個人客戶：		For Non-Individual Clients* 非個人客戶*：	
		Approving/Authorised Signatory 批准簽署人/獲授權簽署人簽署	
		Approving/Authorised Signatory (if applicable) 批准簽署人/獲授權簽署人簽署(如適用)	
Primary Account Holder's/ Authorised Signatory's** Signature 戶口持有人/獲授權簽署人**簽署	Joint Account Holder's/Authorised Signatory's** Signature (if applicable) 聯名戶口持有人/獲授權簽署人**簽署 (如適用)	Name 姓名: HKID/Passport No.: 香港身份證/護照號碼 Company Chop (if applicable): 公司蓋章(如適用):	Name 姓名: HKID/Passport No.: 香港身份證/護照號碼
* For Non-Individual Client who is sole-proprietorship / partnership / limited company / corporation / association or society 非個人客戶包括獨資經營公司/合夥商行/有限公司/法團/社團			
** Just for Private Banking only 只適用於私人銀行			

Transfer - 戶口轉賬

1. For Investment Fund transfer, the transfer charge is levied on each stated fund(s) to be transferred to another account of the Bank and/or to other financial institution.  
如基金戶口轉賬，銀行將收取轉賬費用基於每項列明之基金轉至其他銀行基金投資戶口及 / 或其他金融機構戶口。
2. In respect of the unit trusts transferred-in, the Bank will use the latest unit price available to the Bank on the transfer completion date to calculate the accumulated value.  
就轉入之指定基金而言，銀行將會以銀行於轉戶完成日所獲得最趨時之基金單位價格計其轉入累積總值。
3. For Debt Securities transfer, the transfer charge will be debited and the Bank is not required to refund such transfer fee to me/us if the relevant holding transfer request is subsequently cancelled or the transfer cannot be effected for any reason whatsoever.  
如債券戶口轉賬，銀行將收取轉賬費用。如有關結存轉賬指示被取消或因任何原因未能生效，銀行亦無需退還此費用。
4. For all kinds of payments in connection with the above transaction and/or the above holdings, you are authorised to transfer from/to the settlement account according to the Bank's latest record without any further instruction.  
銀行有權將所有關於上述結存之款項存入交收 / 結算戶口（以銀行之記錄為準）或在該戶口內扣除而無須作任何通知。
5. I/We understand that the above request is subject to your approval and agree that you shall not be liable if the holding transfer is not successful.  
本人 / 吾等明白上述指示尚待銀行批准並同意銀行不需對未能生效之結存轉賬承擔任何法律責任。
6. I/We acknowledge that the Bank did not perform any due diligence on, or assess the suitability of, the transfer in products. I/We have previously determined that the transfer in products and the associated risks are suitable for me/us in light of my/our investment objective, risk appetite, investment experience, circumstances and resources and I/we have not relied on the Bank in any way in making any of my/our prior decisions in relation to the transfer in products.  
本人/吾等確認知悉銀行並沒有就轉入之產品進行盡職調查或合適度評估。本人/吾等先前已確定在已考慮本人/吾等相關的投資目標、風險取向、投資經驗、個人因素和資源狀況下，此轉入之產品和相關的風險是適合本人/吾等，以及本人/吾等並沒有以任何方式依賴銀行以作出先前相關產品轉入之決定。
7. I/We acknowledge that I/we may not be able to subsequently subscribe for the transferred-in unit trusts via the Bank in case the relevant unit trusts are no longer open for subscription from the Bank.  
本人/吾等確認知悉在轉入基金以後，如銀行不再銷售有關基金，本人往後將不可能再透過銀行增加認購該/該等基金。
8. Where inconsistency exists between the English and Chinese version in this form, the English version shall prevail.  
如本文件英文與中文版本有歧異，以英版本為準。

**For Bank Use Only 銀行專用**

Branch code	Sales Code & EASI ID	Fax to ISOC (Fax No.: 2535 7503)		
Signature Verified	Signing No. ( )	Signature Verified	Input by	Input Verified by