

# Transfer Your Account to Charles Schwab

## 將您的帳戶轉存到嘉信理財

www.schwab.com.hk | +852-2101-0500

- Use this form to transfer securities and/or funds from another financial institution (e.g., a broker, mutual fund company, or insurance company) to your Schwab Hong Kong U.S. Dollar Account.  
請用這份申請表將您在其他金融機構(例如證券經紀公司、互惠基金公司或保險公司)所擁有的證券及/或其他資金轉存到您的香港嘉信理財美元帳戶。
- To transfer securities and/or funds from your Charles Schwab & Co., Inc. account to your Charles Schwab Hong Kong, Ltd. account, please send a Letter of Authorization (LOA) to Charles Schwab, Hong Kong, Ltd.  
欲從嘉信理財公司之帳戶轉存股票及/或資金至嘉信理財香港有限公司之帳戶，請先遞交授權書至嘉信理財香港有限公司。
- If you are in possession of physical securities or wish to deliver a cheque to us, please contact us at (852) 2101-0500.  
如您實物持有股票或需遞交支票予我們，請致電(852) 2101-0500。
- **If you're opening a Schwab account, please attach the completed application to this form.**  
**如您正開設嘉信帳戶，請連同填妥的帳戶開設申請表一併寄上。**

### 1. Tell Us About Your Accounts

#### 帳戶資料

Schwab respects your privacy. We will use the information you provide to process your transfer of account request. Read about Schwab's privacy policy at www.schwab.com.hk. The name(s) and title of the account should be identical to those on your Schwab account. If not, complete Section 4. In addition, attach a copy of your most recent statement (dated within 90 days).

嘉信尊重您的個人私隱。因此，我們對您在此申請表內所提供的資料只會應用於完成您轉戶要求的有關範圍之內。有關嘉信個人私隱權保護政策詳情，請查閱我們的網址www.schwab.com.hk。帳戶持有人姓名及帳戶名稱必須與您的嘉信帳戶資料相同。否則，請填妥第4部份。另請附上最近期的月結單副本(90日之內)。

#### Schwab Account 嘉信帳戶

Account Holder 帳戶持有人	Last name 姓	First 名	Middle
Additional Account Holder 其他帳戶持有人	Last name 姓	First 名	Middle
Your Schwab Account Number (If you are opening a new account, leave blank.) 您的嘉信帳戶號碼(如您申請開設新帳戶，請留空此欄。)			
Social Security/Tax ID Number (If applicable) 社會安全號碼/繳稅號碼(如適用)		Daytime Telephone Number 日間聯絡電話	

#### Account You Are Transferring (Attach a copy of your most recent statement.)\* 您要轉存的帳戶(請附上您最近期的月結單副本)

Name of Firm Currently Holding Your Account 您要轉存的帳戶所在的機構名稱	
Your Account Number 您的帳戶號碼	Account Registration 帳戶註冊
Name(s) and Title of Account You Are Transferring (as shown on your statement)* 您要轉存帳戶的持有人姓名及帳戶名稱(須與帳戶月結單上的顯示吻合)*	
Transferring Firm's Telephone Number 轉存機構聯絡電話	

\*Third-party transfer is not permitted. 不允許第三方移轉。

<b>FOR CHARLES SCHWAB HONG KONG USE ONLY</b> 香港嘉信理財職員專用	
Letter of Acceptance — To the prior custodian: Please be advised that Charles Schwab & Co., Inc. will accept the above-captioned account as the successor custodian.	
Successor Custodian Authorized Signature	Date
<input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Corporate	

Charles Schwab, Hong Kong, Ltd. is registered with the Securities & Futures Commission ("SFC") to carry out the regulated activities in dealing in securities and advising on securities under registration CE number ADV256.

嘉信理財香港有限公司於香港證券及期貨事務監察委員會(「證監會」)註冊進行證券交易並就證券提供意見的受規管活動，其中央編號為ADV256。



**2. Specify Your Type of Transfer to Schwab** Choose option A or B.

請確認轉存至嘉信帳戶的類別 請選擇A或B部份。

**A.  Brokerage, Trust Company, or Dividend Reinvestment Plan Account Transfer** Select the appropriate option and sign Section 3.

證券投資經紀公司、信託基金或股息再投資計劃帳戶轉存 請選擇適當項目並簽署第3部份。

Transfer my **entire** account in kind. (Check this box and skip to Section 3.) 轉存我的**整個**實物帳戶。(在此方格填上"√", 然後直接填寫第3部份。)

Transfer **only** the following assets from my account. (Check this box, fill in the table below, and continue to Section 3.) 從帳戶轉存**僅僅**以下資產。(在此方格填上"√", 然後填妥下表格並簽署第3部份。)

Description of Asset 資產種類 (Money market, stocks, bonds, etc.) (Partial transfers only) (貨幣市場、股票、債券等) (僅部份轉存)	Quantity 數量 (Number of shares or "ALL") (註明轉存股數或全部轉存["ALL"])	Description of Asset 資產種類 (Money market, stocks, bonds, etc.) (Partial transfers only) (貨幣市場、股票、債券等) (僅部份轉存)	Quantity 數量 (Number of shares or "ALL") (註明轉存股數或全部轉存["ALL"])

**B.  Mutual Fund Company Transfer** Do NOT complete this section if you've selected option A.

Complete the table below and continue to Section 3. Please use a separate Transfer Your Account form for each mutual fund company. Indicate below how you would like your shares transferred and your dividends and capital gains credited. If you do not make a selection, Schwab will transfer all shares requested in kind and reinvest your dividends and capital gains distributions. If dividend reinvestment is not available at Schwab for the shares you are transferring, Schwab will automatically pay all future dividends and capital gains distributions in cash.

**互惠基金公司帳戶轉存** 若已選擇A部份, 請勿填寫此部份。

填妥以下表格並直接填寫第3部份。請使用單獨的轉存帳戶表格填寫每一互惠基金公司。在下方說明您想如何轉存股份及存入股息及資本收益。如沒有說明您的選擇, 嘉信將以股票形式轉存您所要求的所有實物股份, 並再投資您的股息及資本收益。如嘉信不提供您所轉存股份的股息再投資服務, 則嘉信將自動以現金支付所有未來股息及資本收益。

Description of Assets/Name of Mutual Funds 資產種類 / 互惠基金名稱	Symbol 標誌	Quantity (Number of shares or "ALL") 數量 (註明轉存股數或全部轉存["ALL"])	Transfer of Assets (Check one.) 轉存資產 (請選一項)		Fund Account Number (if held at fund company) 基金帳戶號碼 (若持有於基金公司)	Mutual Fund Dividend/Gain Option 互惠基金 股息 / 資本收益選擇	
			In-Kind 實物股份	Sell 賣出		Reinvestment 再投資	Cash 現金

**3. Authorization to Transfer**

**授權轉存**

Attach a complete copy of your most recent statement for each account you are transferring to Schwab. Note that all account holders' signatures are required on this form.

請為每一個轉存至嘉信的帳戶提供最近期帳戶月結單的完整副本。請注意所有帳戶持有人均須於此表格上簽署。

**To Delivering Firm:** Unless otherwise indicated in the instruction in Section 2, please transfer all assets in my account to Charles Schwab, Hong Kong, Ltd. ("Schwab"). I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of the Financial Industry Regulatory Authority (FINRA) or other designated examining authority. Unless otherwise indicated in the instruction in Section 2, I authorize Schwab to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian. I understand that Schwab will contact me with respect to the disposition of any assets in my securities account that are nontransferable. I authorize Schwab to deduct any outstanding fees due from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due, I authorize Schwab to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in ST

**致遞送機構:** 除非以上第2部份另有指示, 請將本人帳戶內全部資產轉進嘉信理財香港有限公司(「嘉信」)。本人了解, 按照紐約證券交易所第412條例、美國金融業監管局(FINRA)的類似條例, 或其他指定審核機構等時限規定, 有些帳戶內的資產也許不能及時轉帳, 不論被罰款與否。除非本人在表格的第2部份另有指示, 本人授權嘉信變賣帳戶內任何無法轉帳的專有貨幣市場基金, 並將其餘額轉給承接受託人。本人了解, 嘉信會通知我有關處置本人證券帳戶內任何無法轉帳的資產。本人授權嘉信從本人帳戶的餘額中扣除尚欠的服務收費。如果本人帳戶中沒有餘額或款項不足, 嘉信有權變現本人帳戶資產, 以支付本人餘欠款項。如果嘉信實物持有本人帳戶內的憑證或其他證券合同等, 則本人指示嘉信將以上憑證與所需免稅證明以良好的送達形式轉給承接



**3. Authorization to Transfer (Continued)**

**帳戶資料(續上頁)**

Schwab's physical possession, I instruct Schwab to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian to transfer them in their name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, Schwab will cancel all open orders for my account on its books.

**Fees:** If the assets I am transferring are considered nonstandard assets at Schwab (such as limited partnerships), I understand that I will be charged set-up and maintenance fees.

I understand that fractional shares of stocks are nontransferable, and I agree that any fractional shares will be liquidated by the delivering firm upon the transfer of the whole shares. The delivering firm may or may not charge a fee for this liquidation.

I understand that the delivering firm may or may not assess account fees for the transfer and/or termination of my account with them.

**Mutual Fund Dividends and Capital Gains (Account Transfers via ACAT Only):** I understand that my delivering broker may provide Schwab with mutual fund dividends and capital gains distribution instructions for each mutual fund position so that Schwab may implement these instructions. If the same position is already held in my Schwab account, the dividend instructions will default to the current Schwab choice. In the event that the instructions are not provided by the delivering broker or the dividend and/or capital gains distribution option requested is not available at Schwab, the instructions will default to reinvest (unless reinvestment isn't available, in which case dividends and capital gains will be paid in cash).

**Liquidations:** I understand that buying and selling securities during the account transfer process may complicate and delay my transfer. Some firms may even "freeze" an account that is in the process of being transferred, meaning that no trades will be permitted until the transfer is complete. As a result, I should avoid trading during the transfer process. If I am concerned about not being able to sell my stock during the transfer process, I should consider selling and waiting until I have received the proceeds before entering the transfer request.

**I understand in the event of any conflict or inconsistency between the English terms of the contract and Chinese translation, the English version shall prevail.**

受託人名下, 讓其於本人指示時予以能以其名義出售。本人也了解嘉信一旦收到這份轉帳書後, 將會取消本人帳戶中所有尚待執行的委託訂單。

**費用:** 如果嘉信認定本人轉入之資產為非標準資產(例如有限合夥股份), 本人了解本人會被徵收開戶與保管費用。

本人了解, 因為碎股無法轉存, 本人同意遞送機構在轉帳時結算所有碎股。此結算手續收費與否, 端視遞送機構而定。

本人明白遞送機構會否為本人處理轉戶和/或撤銷帳戶的手續而收費, 亦視遞送機構而定。

**互惠基金股息及資本收益(只限透過ACAT進行的帳戶轉存):** 本人明白本人的遞送機構可能提供嘉信各互惠基金持倉的股息及資本收益分派指令, 以至嘉信可執行這些指令。若本人的嘉信帳戶已持有相同的持倉, 則股息指示將自動被設為當前的嘉信選擇。如果遞送機構並未提供該指令, 或嘉信不提供所要求的股息及/或資本收益分派的選擇權, 那麼指令將自動被設為再投資(如果沒有再投資選項, 則當中的股息及資本收益將以現金支付)。

**平倉:** 本人明白於帳戶轉存過程中買入及沽出證券可以令轉存複雜化及延遲。部份機構可能甚至「凍結」轉存中的帳戶, 即在轉存手續完成前, 該帳戶不能進行任何交易。因此, 本人應避免於轉存過程中進行買賣。如本人願考慮到轉存過程中未能沽出股票, 則應考慮先沽出, 並待本人獲得收益後才要求轉存。

本人明白若英文合約內容與中文翻譯本有任何分歧和異議, 當以英文合約為準。

**By signing below, I acknowledge that I have read and understood this form in its entirety.**

本人在下方簽署, 表示確認已詳閱及明白此表格的全部內容。

**Signature(s) and Date(s) Required 簽署及日期(必須填寫)**

**X**

Account Holder Signature  
帳戶持有人簽署

Print Name  
請以正楷填寫姓名

Date (mm/dd/yyyy)  
日期(月/日/年)

**X**

Additional Account Holder Signature  
其他帳戶持有人簽署

Print Name  
請以正楷填寫姓名

Date (mm/dd/yyyy)  
日期(月/日/年)

Medallion Signature Guarantee (for Charles Schwab Use Only)  
簽署證明印章(只供嘉信理財使用)

Medallion Signature Guarantee (for Charles Schwab Use Only)  
簽署證明印章(只供嘉信理財使用)



**4. Discrepancies of Account Name and Type** Complete this section if the account name(s) and/or type you are transferring do not match your Schwab account.

帳戶持有人姓名及類別之差異 若轉存的帳戶名稱及/或類別與您的嘉信帳戶不符, 則必須填寫。

I/We hereby authorize the transfer of my/our account being held at the firm listed above registered as

(Account name(s)/type at delivering firm. For example: First Name, Last Name, Joint Account)

to my/our account at Schwab registered as \_\_\_\_\_  
(Account name(s)/type at Charles Schwab, Hong Kong, Ltd. For example: First Name, Last Name, Joint Account)

本人/吾等在此授權將所持於上列機構並以 \_\_\_\_\_ 登記的本人/吾等帳戶轉存至  
(於遞送機構的帳戶名稱/類別, 例如: 姓、名、聯名帳戶)

嘉信以 \_\_\_\_\_ 登記的本人/吾等帳戶。  
(於嘉信理財香港有限公司的帳戶名稱/類別, 例如: 姓、名、聯名帳戶)

**Signature(s) and Date(s) Required 簽署及日期(必須填寫)**

**X**  
Joint Account Holder Signature  
聯名帳戶持有人簽署  
Print Name  
請以正楷填寫姓名  
Date (mm/dd/yyyy)  
日期(月/日/年)

**X**  
Joint Account Holder Signature  
聯名帳戶持有人簽署  
Print Name  
請以正楷填寫姓名  
Date (mm/dd/yyyy)  
日期(月/日/年)

**Receiving Firm Information 接收機構資料**

**Name and Address 名稱及地址**  
International Account Solutions  
Charles Schwab & Co., Inc.  
P.O. Box 982601  
El Paso, TX 79998-2601, USA

**Overnight Mailing Address 翌日速遞郵寄地址**  
International Account Solutions  
Charles Schwab & Co., Inc.  
1945 Northwestern Drive  
El Paso, TX 79912-1108, USA

**Tax ID Number 稅務證明號碼**  
94-1737782

**Schwab Clearing Number 嘉信結算號碼**  
0164

**For Delivering Firm Use Only 只供遞送機構使用**

**All DTC-Eligible Securities 所有合存托公司(DTC)資格之證券**  
All deliveries MUST include client name and Schwab account number. Deliver to DTC Clearing Number 0164, Code 40  
所有交收必須列明客戶姓名及嘉信帳戶號碼。轉存至存托公司(DTC)結算號碼0164, 編碼40

**Dividend Reinvestment or Closed-End Mutual Funds 股息再投資或封閉型互惠基金**  
All deliveries MUST reference client name and Schwab account number. The client's Schwab account number must not be included in the mailing address. Do not establish an account in the name of Charles Schwab & Co., Inc. FBO (for benefit of) the client. Issue a certificate for all whole shares, liquidate all fractional shares, and discontinue dividend reinvestment.  
所有交收必須列明客戶姓名及嘉信帳戶號碼。客戶的嘉信帳戶號碼不可包括於郵寄地址。請勿以Charles Schwab & Co., Inc. FBO 的名義開立帳戶。就所有完整股份發出證書, 沽出所有碎股並停止股息再投資。

**Physical Delivery of Securities 證券的實物交收**  
All deliveries MUST reference client name and Schwab account number.  
所有交收必須列明客戶姓名及嘉信帳戶號碼。

**Name and Address 名稱及地址:**  
International Account Solutions  
Charles Schwab & Co., Inc.  
P.O. Box 982601  
El Paso, TX 79998-2601, USA

**Overnight Mailing Address 翌日速遞郵寄地址:**  
International Account Solutions  
Charles Schwab & Co., Inc.  
1945 Northwestern Drive  
El Paso, TX 79912-1108, USA

**Fed Book-Entry Securities (e.g., Treasury Notes) 聯邦記帳式證券(例如: 國庫票據)**  
All deliveries MUST include client name and Schwab account number.  
所有交收必須包括客戶姓名及嘉信帳戶號碼。

Bank of New York Mellon  
ABA #: 021000018  
BK OF NYC/CSCHWAB  
FBO: 8-digit customer A/C # and name 8 位數字客戶帳戶號碼及姓名

**Liquidate Money Fund and transfer cash according to instructions listed in the next section, titled "Fed-Wired Monies." 清算貨幣基金並根據下一節「聯邦匯款系統貨幣」的指示轉存現金。**

**Fed-Wired Monies (Please wire U.S. dollars.) 聯邦匯款系統貨幣(請電匯美元)**  
Pay by value-dated authenticated wire transfer to: 以交收日認證的電匯轉帳支付予:  
Citibank, N.A.,  
New York, NY  
USA  
Swift Address Swift地址: CITIUS33  
ABA Number ABA號碼: 021 000 089  
FBO: Charles Schwab & Co., Inc.  
211 Main Street  
San Francisco, CA 94105  
USA  
Account Number 帳戶號碼: 4060-7595  
For the Account of "Your Name" 「您的姓名」下的帳戶  
Account Number 帳戶號碼: "Your Schwab Account Number" 「您的嘉信帳戶號碼」

**Foreign Securities 外國證券**  
All deliveries MUST include client name and Schwab account number.  
Call 1-877-686-1937 (inside the U.S.) or +1-415-667-8400 (outside the U.S.) for delivery instructions.  
所有交收必須包括客戶姓名及嘉信帳戶號碼。  
有關交收指示, 請致電1-877-686-1937 (美國境內)或+1-415-667-8400 (美國境外)。



## 5. Frequently Asked Questions

### 客戶常見的問題

#### How long will it take?

Depending on the type of securities, a typical transfer will take approximately three weeks. However, some may take six weeks or longer.

Please remember that while we make every effort to ensure a swift transfer, the actual transfer time depends on how quickly securities are liquidated and released or transferred by the financial institution currently holding your investment. If you are requesting a security to be sold, and you wish to control the timing of your sell order, you must contact the financial institution currently holding your securities to place your order.

#### Will I be charged a fee?

An exit fee may be charged by your previous financial institution upon receiving your transfer request.

#### Are my funds transferable?

##### These assets can usually be transferred directly:

- Stocks and bonds
- Mutual funds (To inquire whether your funds can be transferred to Schwab, call (852) 2101-0500.)
- Unit investment trusts
- Options (Pre-approval is necessary to trade options at Schwab.)
- Registered limited partnerships and promissory notes (Set-up and maintenance fees apply.)
- Master limited partnerships and exchange-traded REITs
- Ginnie Mae and Fannie Mae certificates

##### These assets must be converted to cash:

- Money market funds
- Mutual funds not available at Schwab
- Commodities
- Foreign currency options
- Most private-placement limited partnerships
- Investment products offered exclusively by other institutions

#### 轉戶申請需時多久?

視乎證券類別而定, 通常轉戶申請手續需要三星期左右, 但亦有可能需時六星期或更久, 才能完成轉戶手續。

我方會盡快為客戶辦妥轉戶手續, 但完成轉戶手續的時間長短, 視乎目前持有閣下證券的金融機構能否迅速地賣出、遞交或轉存閣下的證券。如果您要求賣出證券, 而又希望控制賣出的時間, 您必須聯絡目前持有您的證券的金融機構作下單賣出。

#### 我需支付服務費嗎?

您的金融機構在接到轉戶申請時, 可能會收取轉戶手續費。

#### 我的資金可以轉存嗎?

##### 以下列舉的資產通常可以直接轉存:

- 股票及債券
- 互惠基金(請致電(852) 2101-0500, 查詢您的互惠基金是否可以轉存到嘉信。)
- 單位信託投資
- 期權(期權交易必須得到嘉信的預先批准。)
- 註冊有限合夥股份及期票(會徵收開戶與保管費用。)
- 擁有決策權的有限合夥股份及在證交所交易的房地產投資信託(REIT)
- Ginnie Mae及Fannie Mae證書

##### 以下列舉的資產必須以現金轉存:

- 貨幣市場基金
- 嘉信沒有提供之互惠基金
- 期貨
- 外幣期權
- 大部份私人配售的有限合夥股份
- 其他機構提供的獨有投資項目

## 6. Transfer Your Account

### 轉存您的帳戶

#### Checklist for a Successful Transfer

- Use a separate form for each account you are transferring. Photocopies are acceptable.
- Transfer should occur between “like” accounts, i.e., a joint registered account should transfer to a joint account at Schwab. (See Section 4 for additional instructions.)
- Attach a copy of your most recent statement for each account you are transferring.
- Complete all information and have all account holders sign.
- Mail your completed form to the address specified in the cover letter or call us for the appropriate address.
- Visit [www.schwab.com.hk](http://www.schwab.com.hk) for the status of your transfer.

#### 成功轉戶申請一覽表

- 請為每一個需要轉戶的帳戶填寫個別的申請表格。副本可被接納。
- 帳戶間的轉存應類別「相似」。例如: 以聯名帳戶註冊的帳戶必須轉存至一個嘉信聯名帳戶。(請參閱第4部份的說明。)
- 請為各申請轉存的帳戶附上一份最近期的帳戶月結單副本。
- 請填妥整申請表格, 並須所有帳戶持有人簽署。
- 請將填妥的轉戶申請表格寄往信函上所列明之地址, 或致電我們以索取正確地址。
- 請登入[www.schwab.com.hk](http://www.schwab.com.hk)查詢轉戶申請狀況。



## 6. Transfer Your Account (Continued)

### 轉存您的帳戶 (續上頁)

#### Types of Transfers

##### A. Brokerage Company Transfers

- For dividend reinvestment on your stock, please call (852) 2101-0500 after your transfer is complete.

##### B. Mutual Fund Company Transfers

- If dividend reinvestment is not available for your shares, Schwab will automatically pay all future dividends and capital gains distributions in cash.
- Requests to sell mutual fund positions are dependent upon the delivering firm receiving and processing the request and may take several weeks to complete. If your fund is not transferable as shares, you may consider initiating a redemption at the fund company and requesting that it deliver cash to your Schwab account for a faster transfer.

#### Important Transfer Information

- For additional forms, call (852) 2101-0500 or [www.schwab.com.hk](http://www.schwab.com.hk).
- Contingent orders will not be accepted. Schwab will not accept or honor any oral or written instructions from you to purchase or sell securities with the proceeds of the cash and/or transferred securities before we have actual receipt of your assets and the transfer process is complete.

#### 轉存帳戶類別

##### A. 證券投資公司帳戶轉存

- 如您想股息再投資，在轉帳手續完成後，請致電(852) 2101-0500。

##### B. 互惠基金公司帳戶轉存

- 如果您的持股不允許股息再投資，嘉信會自動以現金來支付所有未來的股息及資本收益的分派。
- 出售互惠基金持倉的手續可能須經幾週才能完成，依遞送機構處理速度而定。如果您的基金不允許以股份轉存，您可考慮向互惠基金公司申請將股份贖回成現金，並將現金存入您的嘉信帳戶內，以便更快地完成轉存。

#### 轉存帳戶須知

- 請致電(852) 2101-0500或瀏覽[www.schwab.com.hk](http://www.schwab.com.hk)以索取額外申請表。
- 條件委託的投資交易指示將不獲接受。在轉帳手續未辦妥或在我方未確實收到您的轉帳資產前，嘉信不會接納或處理您以該轉帳所收益的現金和／或證券進行證券交易，無論交易指示是口述或書面通知。



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