Letter of Authorization —
Transfer Assets Between Schwab Accounts
授權書 ─ 嘉信理財帳戶間轉帳

嘉信理財

charles SCHWAB

· To give us time to process your request for a transfer, we must receive your request prior to 2:00 p.m. Hong Kong time on the date of the proposed transfer.
為確保有充足時間辦理閣下之轉帳指示，請必須於香港時間下午2:00前遞交轉帳表格以作同日辦理。

· We may need to verify your instructions with you prior to processing your request. To avoid delay, please complete all required fields and provide all telephone numbers requested in Section 1.
我們或需在辦理轉帳前，確認閣下之指示。為避免延誤，請填妥所有必須填充部分，並提供第一節中所要求的所有電話號碼。

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1. This Is My Written Authorization to Transfer Assets as Described in Section 2 and 3 本人現以書面授權轉帳列於第二及第三節之資產

FROM 由

Schwab Account Number 嘉信理財帳戶編號_____

Account Holder's Name 帳戶持有人姓名_____

Daytime Telephone Number 日間聯絡電話_____   Alternate Telephone Number 其他聯絡電話_____
(where you can be reached immediately 可以即時聯絡)

TO 致 (Third-party transfer is not permitted.) (不允許第三方移轉。)

Schwab Account Number 嘉信理財帳戶編號_____

Account Holder's Name 帳戶持有人姓名_____

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2. Select Transfer Options 轉帳選擇

TRANSFER 轉帳

☐ All assets (cash balance and security position[s]) 所有資產（現金結存及證券持倉）

☐ Please close this account simultaneously 請同時結束此帳戶

☐ Cash amount* 美元現金* US$_____

☐ Security position(s) 證券持倉_____   Shares of 股 _____

_____   Shares of 股 _____

_____   Shares of 股 _____

_____   Shares of 股 _____

*Funds must be cleared by the transfer date. Please call +852-2101-0500 if you need to sell securities to cover this amount.
資金必須在轉帳日期內結算妥。如需沽出證券以作轉帳，請致電+852-2101-0500。

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3. Move Assets to One or More Schwab Accounts and Choose a Cost Basis Method
將資產移至一個或一個以上的嘉信 帳戶，並選擇一種成本基礎法

- **When moving non-cash assets, please ensure you understand and specify which cost basis method you would like us to use prior to processing. If an alternative cost basis method or specific lot instructions are not listed in the table on page 3, the shares will be moved using the originating account's cost basis method, which can be found on Schwab.com>Service>Account Settings after account login.**
  移動非現金資產時，請在嘉信開始處理前，確認您瞭解您希望嘉信採用的成本基礎法，並加以指定。若有第 2 頁的表格上沒有列出的其他成本基礎法 或特定的股數指示，將採用原始帳戶的成本基礎法移動股份。若有第 2 頁的表格上沒有列出的其他成本基礎法或特定的股數指示，將採用原始帳戶的成本基礎法移動股份。請在登入帳戶後，前往 Schwab.com.hk (嘉信香港網) > 服務 > 帳戶設定，搜尋原始帳戶採用的成本基礎法。

- Schwab's default cost basis method for **stocks, bonds and ETFs** uses identified lots with the FIFO cost basis method described below. If instructions are provided to journal a partial quantity, the remaining shares will be adjusted using the account's default cost basis method.
  嘉信為股票、債券和交易所買賣基金 (ETF) 預設的成本基礎法，採用下述先進先出法 (FIFO)為成本基礎以指定股數。若有指示需記錄一部份的數量，其 餘股份將採用帳戶預設的成本基礎法加以調整。

- Schwab's default cost basis for **mutual funds** is average cost, and lots cannot be specified if this method is currently used.
  嘉信為共同基金預設的成本基礎法為平均成本。若採用這個方法將無法指定股數。

- Moving non-cash assets out of a custodial account is prohibited. 禁止從監護人帳戶內移動非現金資產。

- The non-cash assets being moved are not part of a private securities transaction. 被移動的非現金資產不是私人證券交易的一部份。

- Cost Basis methods 成本基礎法:

  - **First In-First Out (FIFO):** The first lot acquired is the first lot moved. If lots are missing cost basis, these lots will be moved first.
    先進先出法 (FIFO)：第一批買進的股數將是第一批被移除的股數。若有股數未指定成本基礎法，將先移除這批股數。

  - **Last In-First Out (LIFO):** The last lot acquired is the first lot moved, regardless if lots are missing cost basis.
    後進先出法 (LIFO)：若有股數未指定成本基礎法，將最後買進的股數最先移除。

  - **High Cost Lot (HCLOT):** For long positions, the lot with the highest cost is moved first; for short positions, the lot with the lowest cost is moved first. Lots with missing cost basis will be moved after lots with known cost basis are moved.
    高成本股數法 (HCLOT)：若為多頭庫存，成本最高的股數最先移除；若為空頭庫存，成本最低的股數最先移除。先移除成本基礎法已知的股數，再移除未指定成本基礎法的股數。

  - **Low Cost Lot (LCLOT):** For long positions, the lot with the lowest cost is moved first; for short positions, the lot with the highest cost is moved first. If lots are missing cost basis, these will be moved first.
    低成本股數法 (LCLOT)：若為多頭庫存，成本最低的股數最先移除；若為空頭庫存，成本最高的股數最先移除。若有股數未指定成本基礎法，將最先未指定的股數移除。

  - **Tax Lot Optimizer (TLO):** Even though lots are selected and sold with the objective of taking losses first (short term then long term) and gains last (long term then short term), any shares moved will be processed at the High Cost Lot Method (HCLOT). Lots with missing cost basis will be moved after lots with known cost basis are moved.
    稅務股數最佳化 (TLO)：儘管股數的選取與賣出是以先承受損失先（先短期後長期），後享受獲利（先長期後短期），所有被移除的股份均以高成本股數法處理。先移除成本基礎法已知的股數，再移除未指定成本基礎法的股數。

- We can split each lot with an equal proportional allocation of cost basis to each receiving account, known as **"Pro Rata."**
  我們可以依照成本基礎法，將每一批股數分割成均等的數量，分配給每一個接受股份的帳戶。這種作法稱之為**「按比例分配」**。

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List each receiving account and each asset to be moved by either the number or percentage of shares or percentage of the account. 列出所有的接收帳戶與欲移除的資產,可列出欲移動的股份數量或百分比,或帳戶百分比。

- **If you would like the cost basis split "Pro Rata," you must indicate "Pro Rata" in the Alternative Cost Basis Method column.** 若您想要採用「按比例」的成本基礎法,您必須在「其他成本基礎法」一列中說明您要選取「按比例」。
- We <u>will not</u> create fractional shares from whole shares. When splitting an asset, please designate the account that will receive the odd share amount. 我們<u>不會</u>把整股分成碎股。分割資產時,請指定零股數將由哪一個帳戶接收。
- If splitting and moving an asset <u>with existing fractional</u> shares, please specify the exact share allocation between accounts. 若分割及移動<u>目前含有碎股的資產</u>時,請指定各個帳戶之間明確的股份配置。
- Generally, we can only move Municipal bonds in minimum increments of $5,000 and most other bonds in $1,000 increments. In some cases, we will not be able to split existing bond positions. 通常我們移動市政債券最少要以 $5,000 唯一單位,多數其他債券則是以 $1,000 為單位。在部份情況下,我們將無法分割現有的債券庫存。

Only complete this section if you <u>do not</u> want us to apply the cost basis method on the originating account when moving shares, or if you want to move specific lot(s). 若您<u>不希望</u>我們在移動您原始帳戶的股份時套用成本基礎法,或您希望指定欲移動的股數時,請填寫這個部份。

Receiving Account Number(s) 收款帳戶號碼	In the Name of (Please print.) 收款人 (請清楚填寫。)	Asset (Symbol, CUSIP, etc.) 資產 (代號、CUSIP等)	# of Shares # 股份數量 (e.g., 5 shares) (例如：5股) % of Shares 佔股份百分比 % (e.g., 5%) (例如：5%) Available Cash 可動用現金 (e.g., $100) (例如：$100) % of Account 佔帳戶百分比 % (e.g., 50%) (例如：50%)	Alternative Cost Basis Method for each asset or account (FIFO, LIFO, HCLOT, LCLOT) or "Pro Rata" (Please print.) 每一個資產或帳戶採用的其他成本基礎法(先進先出法、後進先出法、高成本先出法、低成本先出法)或「按比例」(請清楚填寫。)	OR 或	List each lot's information below. 請在下方列出各批股數的資訊。 (Please validate each lot by using cost basis information on Schwab.com.) (請採用 Schwab.com 上取得的成本基礎資訊驗證每一批股數。)		
						Acquired Date 取得日期 (mm/dd/yy) (月月/日日/年年)	Quantity 數量	Cost Basis per Share/ Bond 每股/債成本基礎
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Read and Sign Below 請詳閱下方文件並簽署:

I acknowledge and agree that I am instructing Schwab to move (or transfer) cash or securities to another account. I acknowledge that Schwab will not be responsible for changes in the value of assets that may occur while assets are being transferred.

I further understand and acknowledge that: (1) there are or could be tax consequences as a result of the above instructions; (2) I have not received tax or legal advice from Schwab; and (3) I should consult with a tax and/or legal advisor before providing cost basis lot instructions as set out above.

By signing below, I acknowledge that I have read and understood the terms of the above instructions and agree that these instructions are binding regardless of any other agreements between me and the recipient(s) of these assets. By signing below, I agree to indemnify and hold harmless Schwab, its affiliates, and their directors, officers, employees, attorneys and agents from any and all claims, actions, costs, and liabilities, including attorney's fees arising out of or relating to: (1) their reliance on this Form, and (2) Schwab's execution of my instructions.

我瞭解並同意我指示嘉信將現金或證券移動（或移轉）至至另一個帳戶。我瞭解，上述資產在轉移的過程中，資產價值若出現變化，嘉信不對資產價值的變化承擔責任。

我進一步瞭解及確認：(1) 上述指示可能連帶產生稅務問題 (2) 我沒有收到來自嘉信的法務或稅務建議 (3) 在我提供如上所述之成本基礎股數指示前，應諮詢稅務及/或法律顧問。

本人僅此簽署，表示我確認已閱讀並瞭解上述稅務與法務建議，確認我已經閱讀上述指示的條件，並同意這些指示具有約束力，不受我與資產接收人之間任何其他協議所影響。本人僅此簽署，我同意賠償嘉信、嘉信的相關機構及高階管理人員、辦公人員、僱員、律師及代理人，免於所有任何的賠償、訴訟、成本與債務之責任，包含因下列事項而產生或與之相關而導致的律師費用。(1) 對本表格之依賴及 (2) 嘉信執行我的指示。

Account Holder's Signature 帳戶持有人簽署	Joint Account Holder's Signature 聯名帳戶持有人簽署
Name 姓名 Date 日期	Name 姓名 Date 日期

Area Below for Schwab Use Only 下方為嘉信理財職員專用

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