

Asset Transfer-in Notice (External Investment asset only)

澳豐資產轉讓通知 (只限投資資產)

Please complete the form using a BLACK PEN and Print in clear Capital LETTERS
(請用黑色原子筆並大寫填寫表格)

Date 日期: _____
(DD/MM/YYYY)

Asset Transferor's Details 資產轉讓人資料

| | | |
|-------------------------------|----------------------------------|--|
| Asset Transferor's 資產轉讓人 | Joint Asset Transferor's 聯名資產轉讓人 | Asset Transferor's authorized person(s) / Trustee 資產轉讓人授權代表 / 信託人 |
| Print Name 姓名 (請用正楷) | _____ | _____ |
| Passport / ID Number 護照/身分證號碼 | _____ | _____ |
| Phone Number 聯絡電話 | _____ | _____ |

Assets Transferee's Account Details 資產承讓人戶口資料

| | | | | | | | | | | | |
|--|----------------------|----------------------|----------------------|----------------------|--|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| Receiving Account Number 承讓資產戶口號碼 | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Name of the First Account Holder 戶口第一持有人姓名 | Surname 姓 | | Given Name 名 | | Name in Chinese (if applicable) 中文姓名(如適用) | | | | | | |
| Name of the Second Account Holder 戶口第二持有人姓名 | Surname 姓 | | Given Name 名 | | Name in Chinese (if applicable) 中文姓名(如適用) | | | | | | |
| Name of the Corporate Account Holder 法人戶口名稱 | Surname 姓 | | Given Name 名 | | Name in Chinese (if applicable) 中文名稱(如適用) | | | | | | |

Details of Transferring Asset 轉讓資產資料

| | | | | | | |
|---|----------------------------------|-----------------------------------|---|--------------------------------------|---|----------------------|
| Type of Asset 資產類別 | <input type="checkbox"/> Fund 基金 | <input type="checkbox"/> Stock 股票 | <input type="checkbox"/> Structured Product 結構性產品 | <input type="checkbox"/> | Name of Stock Exchange / Name of Issuer 交易所名稱 / 發行機構名稱 | _____ |
| Name of Asset / Listed company / Structured product / Name of the fund 資產名稱/上市公司名稱/產品名稱/基金名稱 | _____ | | | | ISIN Code / Stock Tick Number / Ref. Number (if applicable) 國際證券號碼 / 上市公司編號 / 參考編號 (如適用) | |
| Asset Currency 資產貨幣 | <input type="checkbox"/> USD 美元 | <input type="checkbox"/> EUR 歐元 | <input type="checkbox"/> AUD 澳幣 | <input type="checkbox"/> HKD 港元 | <input type="checkbox"/> JPY 日元 | _____ |
| Transfer Asset Amount (Number of shares / units / notes) 過帳資產數額 (股份/單位/票據數量) | In Numbers (請填數字) | | Unit of the Asset 資產單位 | | | Valuation date 估值日期: |
| _____ | | | <input type="checkbox"/> Unit(s) 單位 | <input type="checkbox"/> Share(s) 股份 | <input type="checkbox"/> Note(s) 票據 | _____ |
| Name of Asset Administration Company 資產管理公司名稱 | | | _____ | | | DD / MM / YYYY |
| Holding Account Name 持貨人帳戶姓名 | | | Holding Account Number 持貨帳戶號碼 | | | _____ |
| Name of Contact Person 資產管理公司聯絡人 | | | Contact Telephone 聯絡人電話 | | Contact Email 聯絡人電郵 | |
| Is your asset held in nominee account, omnibus account or other associate's account? 請問閣下的資產是否經由代名人帳戶、綜合帳戶或其他形式帳戶持有? | | | <input type="checkbox"/> No 否 | | <input type="checkbox"/> Yes 是 | |
| Name of Nominee Company / Omnibus 代名人公司 / 綜合帳戶公司名稱 | | | If your answer is "Yes", please provide the following information 假如勾選“是”請提供以下資料 | | | |
| _____ | | | _____ | | | |
| Holding Account Name 持貨人帳戶姓名 | | | Holding Account Number 持貨帳戶號碼 | | | _____ |
| Name of Contact Person 代名人公司 / 綜合帳戶公司聯絡人 | | | Contact Telephone 聯絡人電話 | | Contact Email 聯絡人電郵 | |
| _____ | | | _____ | | _____ | |

Client's Declaration 顧客聲明:

- I/We hereby agree and authorize that AYERS Alliance Financial Group Limited ("AAFAG") may from time to time receive the amount of asset above mentioned by my/our AAFAG account provided always that the above notification has been given by me/us or the person(s) authorized by me/us; 本人/吾等謹此同意並授權AAFAG, 在本人/吾等或獲本人/吾等授權人士發出上述之資產轉讓通知後, AAFAG可以本人/吾等在AAFAG之戶口接收上述指定數額之轉讓資產;
- I/We agree that AAFAG shall not be obliged to issue the confirmation notice for the above Asset Transfer-in Notice to me/us; 本人/吾等同意AAFAG無須發出上述戶口的資產轉讓通知之確認通知書予本人/吾等;
- I/We understand that AAFAG has absolute discretion to refuse to act on any asset transfer-in notice submitted from me/us or the authorized person(s) if any compliance, laws, government rules and regulations is breached. In such event, AAFAG will notify me/us accordingly, but AAFAG accepts no responsibility for any loss or delay which may occur in the refusal of executing and/or accepting the asset transfer, transmission and/or application of funds or (in the case of remittance by telegraphic transfers) for any error, omission or mutilation which may occur in the transmission of any message or for its misinterpretation when received; 本人/吾等明白倘違反任何規定, 法例, 政府規則及規例, 則AAFAG擁有絕對酌情權拒絕按照本人/吾等或獲授權人士發出之任何資產轉讓通知行事。在此情況下, AAFG亦會就此知會本人/吾等, 但AAFAG概不就拒絕執行及/或接受轉讓、轉送及/或運用資金時可能發生之任何損失, 延誤或(如為電匯匯款)傳送任何訊息時可能發生之任何錯誤、遺漏、殘缺不全或收取訊息時之錯誤理解承擔責任;
- I/We agree to indemnify AAFAG against any actions, proceedings, claims and/or demands that may arise in connection with such loss, delay, error, omission, mutilation or misinterpretation; 就上述損失, 延誤, 錯誤, 遺漏, 殘缺不全或錯誤理解可能引發之任何法律行動, 訴訟, 索償及/或索求款項, 本人/吾等同意向AAFAG作出彌償保證;
- I/We declare and confirm that the ultimate beneficiary owner of the asset mentioned above is me/us and there is no third party has any interest in the asset mentioned above; 本人/吾等聲明及確認, 本人/吾等為上述資產之最終全權擁有者, 並保證上述資產沒有第三者擁有任何權益;
- This Asset Transfer-in Notice given by me/us or by my/our authorized person is not related directly or indirectly to money laundering, any terrorist activity or any other purpose whatsoever that is illegal or prohibited by any competent authority, either in Cyprus or elsewhere. I/We undertake to procure and produce to AAFAG, immediately upon demand, such information about the trading record(s) in respect of the asset mentioned above (if any) as may be required by AAFAG from time to time; 本人/吾等或獲本人/吾等授權人士所發出之此項資產轉讓通知與洗黑錢, 任何恐怖活動, 對塞浦路斯或其他地方之任何主管機關而言屬非法或其禁止之行為一概無直接或間接關連。因應AAFAG可能不時之要求, 本人/吾等承諾在緊隨獲AAFAG之要求後, 立即取得並提供上述資產之交易記錄或其他相關文件予AAFAG;
- I/We understand that that if there are insufficient assets in my/our account on three consecutive payment occasions, AAFAG may cancel, revert my/our instruction without prior advice to me/us and all expense, cost derived from such cancellation, reverse will be borne by me/us and a charge may be levied at AAFAG's discretion; 本人/吾等明白倘本人/吾等之戶口於連續三個付款時間並無足夠資產, 則AAFAG可在無須事先通知本人/吾等之情況下取消、還原本人/吾等之資產轉讓通知, 而且由此引起之費用、成本均全數由本人/吾等負責, AAFAG亦可酌情徵收費用;
- I/We understand that any charge levied (including commission and stamp duty) may be debited to my/our account mentioned above; 本人/吾等明白任何收費(包括佣金及印花稅)可在上述本人/吾等之戶口扣除;
- In the event of inconsistencies between the Chinese and English versions of this Client's Declaration, the English version shall apply and prevail. 本顧客聲明之中文版本如有歧義, 則以英文版為準。

Assets Transferee's Account Holder's /authorized person(s) signature(s) (Company chop is required for corporate account)
資產承讓人戶口持有人/授權代表人簽署(公司戶需蓋上公司印章)

X

X

Name of Signatory (ies)
簽署人姓名
(For any account is signed by an Attorney.)
適用於戶口是由獲授權人簽署