

3.5 Depository Services**3.5.3 Transfer service for Multi-counter Eligible Securities**

Investor Participants may request for the transfer of Multi-counter Eligible Securities from one stock code of Multi-counter Eligible Securities of an Issuer to another stock code of Multi-counter Eligible Securities of the same Issuer provided that the securities concerned are of the same class.

3.5.3.1 Procedure

Investor Participants should submit a **duly completed and signed Multi-counter Transfer Instruction Input Request Form** to our Customer Service Center (“CSC”) or through other means as HKSCC may specify from time to time. The form should be stamped with the company chop of the Investor Participant (if applicable). Upon successful execution of the transfer, copy of the ‘Multi-counter Transfer Instruction Input Request Form’ with input details printed on the form will be returned to the Investor Participants for record.

Important Notes :

- Investor Participants should make sure that there is sufficient number of shares in their stock accounts available for transfer before they submit Multi-counter Transfer Instruction Input Request Forms to the CSC.
- Multi-counter Transfer Instruction Input Request Form must be submitted to Customer Service Center between 09:00 am and 3:00 pm, Monday to Friday, except public holidays, for same day transfer.
- If there is sufficient number of shares in the Investor Participant’s stock account available for transfer, the requested Multi-counter Transfer Instruction will be effected immediately by HKSCC upon receipt of the form at CSC. If there is insufficient number of shares in Investor Participant’s stock account available for transfer at the time the form is submitted to the CSC, the Multi-counter Transfer Instruction will be rejected and will be treated as invalid. Investor Participants who wish to effect the transfer will be required to submit a Multi-counter Transfer Instruction Input Request Form again when there is sufficient number of shares in their stock account.
- Any Multi-counter Transfer Instruction Input Request Form that reaches our Customer Service Center after 3:00pm on any Business Day will be treated as a next day instruction and will be processed on the next Business Day.
- Investor Participants can enquire about their available balances after the completion of their Multi-counter Transfer Instructions through the “Enquire Stock Balance” function of either the CCASS Internet System or the CCASS Phone System. Investor Participants who have selected to receive an activity statement can refer to the “Stock Movement” section of the statement for the completed Multi-counter Transfer Instructions. The activity statement will be generated at day end and will be mailed to relevant Investor Participants on the next Business Day following the successful execution of Multi-counter Transfer Instructions.

¹ Brokers / Custodians means Brokers or Custodians which are CCASS Participants