

# **How to transfer stock out from Victory**

Before applying for a stock transfer, please note the following reminders:

Client Details: The client's details (account name and account number) in Victory Securities, and stock transfers to the same-name account only.

Stock Transfer Fees (per stock):

- Victory Securities Handling Fee: HKD300 per stock
- CCASS Fee: Charged at 0.002% of the settlement amount per transaction (minimum HKD 2, maximum HKD 100).
- Delivery Versus Payment (DVP): HKD 150 per transaction.

Stock Transfer Time:

- Transferring Out Hong Kong Stocks: 1–2 Business Days
- For non-Hong Kong stocks: The counterparty broker will need to confirm the client's identity. The transfer process may take longer, estimated at 3–5 business days.

Transfer timelines are for reference only and depend on the actual processing time of both brokers.

Transferring Stocks from Victory Securities to Another Broker

The process involves two steps:

1. Notify the counterparty broker to transfer in the stocks.
2. Notify Victory Securities to transfer out the stocks

1. Notify the Counterparty Broker to Transfer In the Stocks

The client should contact the counterparty broker and submit a stock transfer-in application. As notification methods may vary across brokers, please follow the specific requirements of the counterparty broker.

2. Notify Victory Securities to Transfer Out the Stocks:

2.1 Application Methods:

(A) Fill out a paper form.

(B) Apply online.

Please be patient as staff from both parties will follow up and process your stock transfer request.

## 2.2 Fill in the Stock Transfer Information

2.2.1 Provide the name and account number of the securities account.

2.2.2 Fill in the details of the stocks to be transferred out:

1. Select "Deliver" in the instruction category.
2. Specify the corresponding market for the stock.
3. Stock Name and Code
4. Quantity of Stocks to Be Transferred Out
5. Payment Instruction:
  - a. FOP : No payment required.
  - b. DVP: Settlement amount must be filled in.
6. For multiple stocks, repeat the above steps for each stock.

2.2.3 Fill in the Counterparty Broker's Information and Your Details with the Counterparty

1. Name of the counterparty.
2. CCASS Code/DTC Number of the counterparty.
3. Contact phone number of the counterparty.
4. Email address of the counterparty.
5. Name of securities account with the counterparty.
6. Account number of securities account with the counterparty.

2.2.4 Confirm the Information and Submit the Instruction

Verify the stock transfer information mentioned above and ensure its accuracy before submitting the instruction. Clients can submit their applications through the following channel:

- By Mail: Victory Securities Limited, with a note "Settlement Department."
- Fax: (852) 2810-7616
- Email: [clearing@victorysec.com.hk](mailto:clearing@victorysec.com.hk)
- WHATSAPP: (852) 5498-9438

2.2.5 Request for Withdrawal Application

Clients may contact us via email or by phone during office hours (9:00 AM to 6:00 PM) at +852 2523 1726 / 2523 3133.

After completing the above steps, staff from both parties will follow up and process your stock transfer request.

# A. Fill Out a Paper Form [Sample]



Victory Securities Company Limited 勝利證券有限公司 - Member of SFC  
 11/F, Yardley Commercial Building, 3 Connaught Road West, Sheung Wan, Hong Kong  
 香港干諾道西3號德利商業大廈11樓  
 T: (852) 2525 3437 | D: (852) 2523 2105 | F: (852) 2810 7616 | [www.victorysec.com.hk](http://www.victorysec.com.hk)

Date: dd/mm/yyyy  
 日期:

## (Investor) Settlement Instruction (SI/ISI) Form (投資者)交收指示表格

Account Name(s) 賬戶名稱

客戶名稱

Account No. 賬戶號碼

客戶賬戶號碼

Instruction Type 指示類別

☐ Transfer In 轉入 ☒ Transfer Out 轉出

Products Market 產品市場

☒ HK 香港 ☐ Global 環球 ☐ Bonds 債券

Expected Value/ Settlement Date  
 預計執行/交收日期

(預計日期)

I/we hereby instruct your company to ACCEPTS the following transfer instructions for securities/bonds related to my/ our securities account held with your company, with details as follows: 本人/吾等指示貴公司接納關於本人/吾等證券賬戶之證券/債券轉移指示, 詳列如下:

Name of Products 產品名稱	Product Code 產品編號	Quantity 數量	Payment Instruction 付款指示 #	Fees (For internal use)
1 例 - VICTORY SEC	08540	5000	<input checked="" type="checkbox"/> FOP 無需付款 <input type="checkbox"/> DVP	
2			<input type="checkbox"/> FOP 請填寫金額 <input checked="" type="checkbox"/> DVP	
3			<input type="checkbox"/> FOP <input type="checkbox"/> DVP	
4			<input type="checkbox"/> FOP <input type="checkbox"/> DVP	
5			<input type="checkbox"/> FOP <input type="checkbox"/> DVP	
# FOP=Free of Payment (毋須付款交收), DVP= Delivery versus Payment (貨銀對付交收)				Total:

### Counterparty's information 對手資訊

Name of Counterparty 交收對手名稱

對方券商名稱

Counterparty's CCASS Participant ID 交收對手中央結算編號 / DTC Number

例 - B01445 (可向對方券商查詢)

Counterparty Contact 交收對手聯絡電話

對方聯絡人電話

Counterparty E-mail Address 交收對手郵箱

對方聯絡人電郵

Counterparty Securities Account Name 交收對手證券戶口名稱

客戶名稱

Counterparty Securities Account No. 交收對手證券戶口號碼

客戶賬戶號碼 (對方券商)

### Settlement details 交收資訊

Hong Kong 香港

Victory Securities Company Limited

勝利證券有限公司

CCASS Participant ID B01445

中央結算編號

Contacts 聯絡

Ms. Tsui / Mr. Liu Tel: 2523 1726 / 2523 3133

Email: [clearing@victorysec.com.hk](mailto:clearing@victorysec.com.hk)

### Note 注意

- Please tick where applicable. 請在適當的地方加上勾號。
- The transfer of securities must be to an account of same name, i.e. no change of beneficial ownership. 證券的轉移必須以相同名稱的戶口, 即實益權益並無變動。
- Please note that your Securities Account Name and/or Number will be provided to the counterparty for settlement. 請注意您的本公司證券戶口姓名及號碼將會交予對手以便執行交收指示。
- Please refer to the Securities Services Charges leaflet for the transaction charges involved, if any. 有關上述交收的手續費請參閱服務收費表。 (<https://sec.victorysec.com.hk/zh-hk/help/fee>)

### Declaration 聲明

I/we confirm there is no change of beneficial ownership through effecting this settlement instruction. I/we am/are willing to assume full responsibility of this instruction. Please debit my/our above account for payment of all fees, charges (if any) in consideration of the services rendered and expenses incurred. 本人/吾等確認上述證券的實益擁有權不會因進行本交收指示而更改。本人/吾等願意對以上指示承擔所有責任。請從本人/吾等的貴公司戶口內扣除本人/吾等現授權因提供服務而產生之費用、收費及支出。

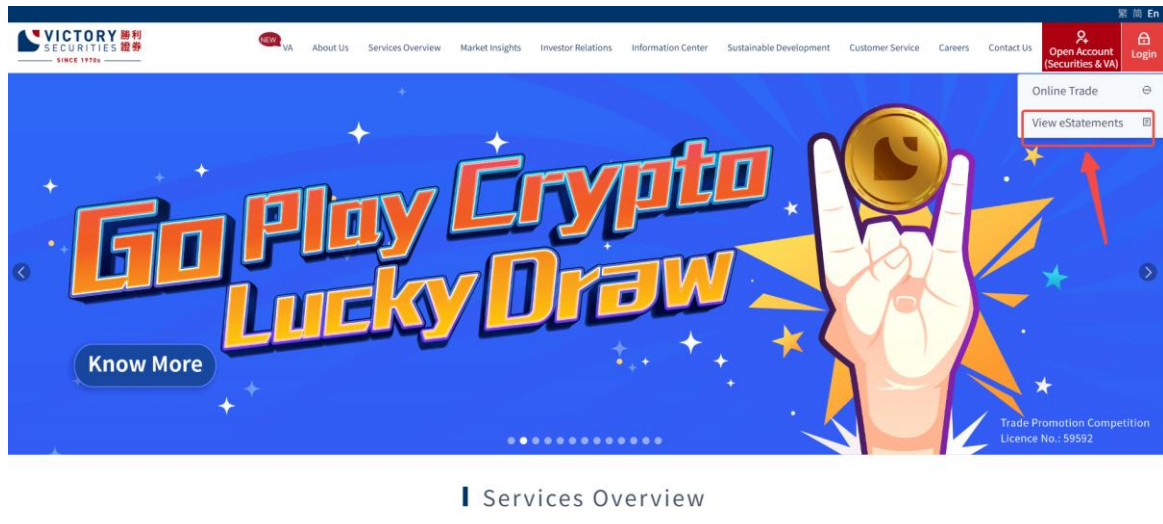
客戶簽署

Signature(s) of Account Holder(s) 戶口持有人簽署

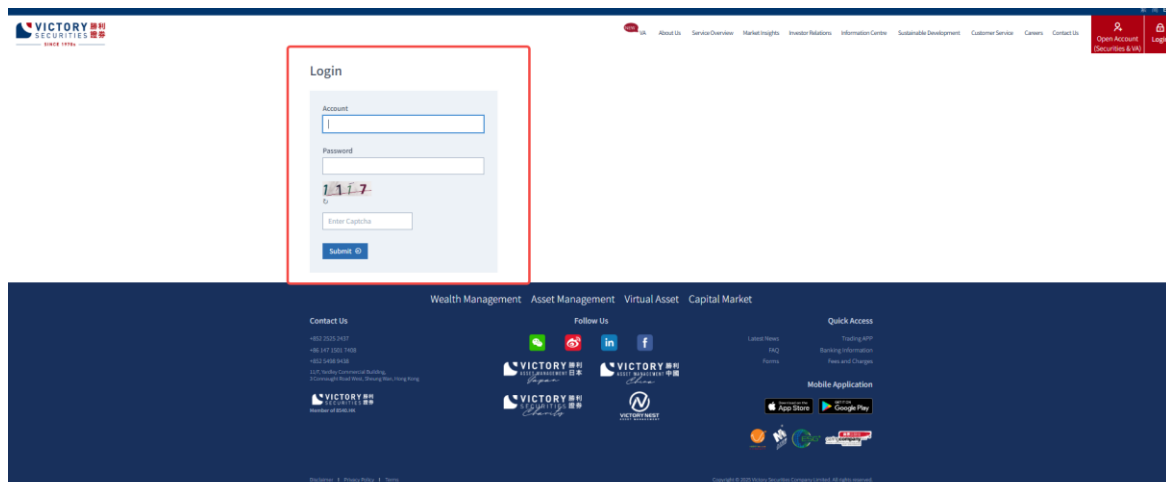
For Internal Use Only			
For CS/ Compliance Department		For Clearing Department	
Verified Signature:	Approved by:	Processed by:	Approved by:
Value/ Settlement Date			

B. Online Application Please follow the illustrated guide below to complete the process on the Victory Securities website:

Step 1: Log in to the Victory Securities website: [https://www.victorysec.com.hk/zh-hk?utm\\_source=EMT\\_Google&utm\\_medium=EMT\\_SEM&utm\\_campaign=Brand](https://www.victorysec.com.hk/zh-hk?utm_source=EMT_Google&utm_medium=EMT_SEM&utm_campaign=Brand)



Choose “View eStatements”



Input “Account”, “Password” and Enter Captcha

**VICTORY SECURITIES** SINCE 1976

UK About Us Service Overview Market Insights Investor Relations Information Centre Sustainable Development Customer Service Careers Contact Us Existing Account TEST

Hello, TEST

View eStatements Application for VA Trading **General Forms** Withdrawal Records

**Monthly Statement (Past 24 Months)**  
No Relevant Record

**Daily Statement (Past 24 Months)**  
No Relevant Record

**Forms**

VICS01 - Change of Account Information Form	>
VICS02 - Deposit Notification Form	>
VICS03 - Withdrawal Instruction	>
VICS04 - Physical Share Withdraw Notification	>
VICS05 - E-Trade Application Form	>
<b>VICS06 - (Investor) Settlement Instruction (SI/ISI) Form</b>	>
VICS07 - Application for abandonment of shares	>
VICS08 - General Meeting Reply Slip	>
VICS09 - Professional Investor Assessment Form	>
VICS10 - Application for closing account	>
VICS11 - MARGIN CLIENT AGREEMENT	>
VICW01 - Application for VA Trading	>

Choose “ VICS06 - (Investor) Settlement Instruction (SI/ISI) Form”

General Forms

(Investor) Settlement Instruction (SI/ISI) Form  
(投資者) 交收指示表格

I/We hereby request your company to ACCEPT the following securities/bonds transfer instruction related to my/ our securities account maintained with your company.

本人/吾等現請求貴公司接納關於本人/吾等證券賬戶之證券/債券轉移指示, 詳列如下: Please select where appropriate 請選擇適用者

Securities Account Name 證券賬戶名稱	TEST		
Securities A/C No. 證券賬戶號碼	TEST	Instruction Type * 指示類別	<input checked="" type="checkbox"/> Transfer In 轉入 <input type="checkbox"/> Transfer Out 轉出
Expected Settlement Date * 預期交收日期	2025/03/01	Products Market * 產品市場	<input checked="" type="checkbox"/> HK 香港 <input type="checkbox"/> Global 環球 <input type="checkbox"/> Bonds 債券
Name of Products 產品名稱	Product Code * 產品編號	Quantity * 數量	Payment Instruction# * 付款指示
CKH HOLDINGS	1	100	<input checked="" type="checkbox"/> FOP <input type="checkbox"/> DVP
			<input type="checkbox"/> FOP <input type="checkbox"/> DVP
			<input type="checkbox"/> FOP <input type="checkbox"/> DVP
			<input type="checkbox"/> FOP <input type="checkbox"/> DVP
			<input type="checkbox"/> FOP <input type="checkbox"/> DVP

# FOP=Free of Payment (毋須付款), DVP= Delivery versus Payment (貨銀對付) \*Must be completed 必須填寫

Name of Counterparty * 交收對手名稱	<input type="text"/>		
Counterparty's CCASS Participant ID 交收對手中央結算編號/ DTC Number	<input type="text"/>		
Counterparty Contact * 交收對手聯絡電話	<input type="text"/>		
Counterparty E-mail Address * 交收對手郵箱	<input type="text"/>		
Counterparty Securities Account Name 交收對手證券戶口名稱	<input type="text"/>		
Counterparty Securities Account No. 交收對手證券戶口號碼	<input type="text"/>		

**Note 注意**

1. Please tick where applicable. 請在適當的地方加上剔號。
2. The transfer of securities must be to an account of same name, i.e. no change of beneficial ownership. 證券的轉移必須以相同名稱的戶口，即實益權益並無變動。
3. Please note that your Securities Account Name and/or Number will be provided to the counterparty for settlement. 請注意您在本公司的證券/戶口姓名及號碼將會交予對手以便執行交收指示。
4. Please refer to the Securities Services Charges leaflet for the transaction charges involved, if any. 有關上述交收的手續費請參閱服務收費表。 (<https://sec.victorysec.com.hk/zh-hk/help/fee>)

**Declaration 聲明**

☒ I/We confirm there is no change of beneficial ownership through effecting this settlement instruction. I/we am/are willing to assume full responsibility of this instruction. Please debit my/our above account for payment of all fees, charges (if any) in consideration of the services rendered and expenses incurred.  
本人/吾等確認上述證券的實益擁有權不會因進行本交收指示而更改。本人/吾等願意對以上指示承擔所有責任。請從本人/吾等於貴公司戶口內扣除本人/吾等現授權因提供服務而產生所需之費用、收費及支出。

**Settlement details**

**Company Particulars**

Name	Victory Securities Company Limited (CCASS ID: B01445)		
Address	Room 1101-03, 11/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong		
Hotline	(852) 2525-2437		

**Contacts**

Operation	Name	Tel	Email
	Ms. Tsui	(852) 2523 1726	clearing@victorysec.com.hk
	Mr. Liu	(852) 2523 3133	

Step 2, Fill and submit “(Investor) Settlement Instruction (SI/ISI) Form”

## General Forms



表格正在處理中... 請稍候

## General Forms



表格已成功遞交，我們將盡快處理您的申請，謝謝  
(如需更改/取消申請, 請致電+852 2525 2437聯絡我們)