How to transfer stock to 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: Waived.
- 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:

- For transferring Hong Kong stocks: Once the counterparty broker transfers out the stock, Victory Securities will credit the stock into the client's account within 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.

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

Process for Transferring Stocks to Victory Securities:

The transfer process involves two steps:

- 1. Notify Victory Securities about the stock transfer.
- 2. Notify the counterparty broker to transfer out the stocks

- 1. Notify Victory Securities about the stock transfer:
- 1.1 Application Methods:
- (A) Fill out a paper form.
- (B) Apply online.
- 1.2 Fill in the Stock Transfer Information
- 1.2.1 Provide the name and account number of the securities account.
- 1.2.2 Fill in the details of the stocks to be transferred:

Select "Receive" in the instruction category.

Indicate the corresponding market for the stock.

Provide the stock name and code.

Specify the quantity of stocks to be transferred.

Payment instruction:

FOP: No payment required.

DVP: Settlement amount must be filled in.

If multiple stocks are to be transferred, repeat the above steps for each stock.

- 1.2.3 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.
- 1.2.4 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

• WHATSAPP: (852) 5498-9438

1.2.5 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 3133.

2. Notify the Counterparty Broker to Transfer Out Stocks

Clients should contact the broker handling the stock transfer-out request. Since notification methods vary by broker, please follow the specific requirements of the counterparty broker. Once both brokers confirm the stock transfer details, the stocks will be credited to the client's account within 1–2 business days.

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

A. Fill Out a Paper Form [Sample]

A. Fill Out a Paper Form [Sample]



Victory Securities Company Limited勝利證券有限公司 - Member of 8540.HK 11/F, Yardiny Commercial Building, 3 Commanght Road West, Sheung Wan, Hong Kong 香港干球建西3號便利西鄉大廈11樓

Date: DD/MM/YYYY

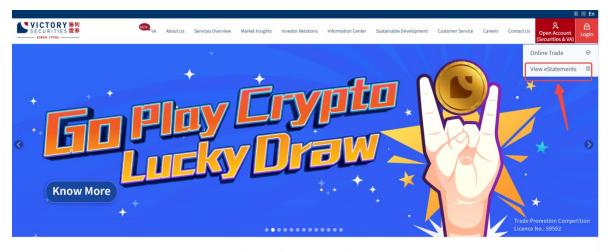
T: (852) 2525 2437 | D: (852) 2523 2303 | F: (852) 2810 7616 | www.victorysec.com.hk

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

Account Name(s) 服戶名稱	(客戶名標	海)			
Account No. 販戶號碼	(客戶帳戶	5號碼)	Instruction Type		(8
Products Market 產品市場	香港 Global 環球	■ Bonds 債券	Expected Value/ Sett 預期執行/安收日期	tiement Date (預計	日期)
I/we hereby instruct your company to with details as follows: 本人/吾等指					held with your company,
Name of Produc 產品名稱	ts	Product Code 產品機號	Quantity 數量	Payment Instruction 付款指示#	Fees (For internal use)
· 例: VICTORY	SEC	08540	5000	無需付款	
2				□FOP 請填寫金額	
3				FOP DVP	
4				FOP	
3				FOP	
# FOP=Free of Payment (母須付倉	炊交收), DVP= Delivery	versus Payment (貨銀對付交收)	- Dir	Total:
Counterparty's information 數字				81	
Name of Counterparty 变收對手名稱	Man.			S Participant ID 交收對手中央結算機	副使 / DTC Number
對方券商名稱				向對方券商查詢)	
Counterparty Contact 文教教手專係單 對方聯絡人電話	IE.		對方聯絡人習	Address 交收對手與權 巨重的	
Counterparty Securities Account Nam	ne 交收對手證券戶口名稱			ties Account No. 交收對手證券戶口	抗竭
客戶名稱			各戶帳戶號的	碼 (對方券商)	
Settlement details 交收資訊					
	es Company Limited 公司		Contacts 聯絡 Cie	earing Department Tel: 2523 3133	
CCASS Participa 中央結算續號	nt ID B01445		En	nail: clearing@victorysec.com.	hk
Note 注意					
1.Please tick where applicable. 请在通當 2.The transfer of securities must be to as 證券的轉移必須以相同名號的戶口-识 3.Please note that your Securities Accou 法工意在本公司的證券/Pic AACO 4.Please refer to the Securities Services 有關上述文权的手續費請參閱級務部	n account of same name, i.e 印實質權益並無變動。 nt Name and/or Number wi 反號碼將會交予對手以便靠 Charges leaflet for the trans	III be provided to the o 执行交收指示。 action charges involve	ounterparty for settleme d, if any.	int.	
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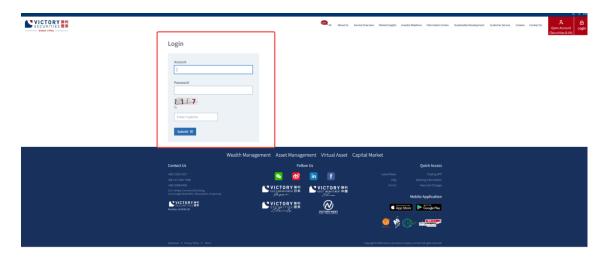
Signature(s) of Account Holder(s)戶口持有人簽署

- B. Online Application Please follow the illustrated guide below to complete the process on the Victory Securities website:
- 1: Log in to the Victory Securities website or App: https://www.victorysec.com.hk/zh-hk?utm_source=EMT_Google&utm_medium=EMT_SEM&utm_campaign=Brand

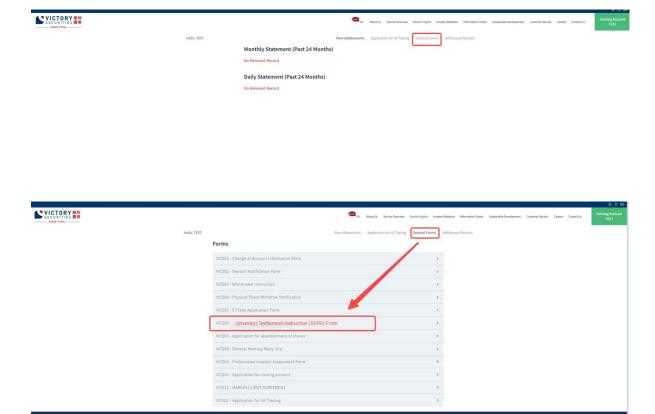


Services Overview

Choose "View eStatements"



Input "Account", "Password" and Enter Captcha



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

Step 2, Fill and submit "(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 here by request your company to ACCEPT the following securities/bonds transfer instruction related to my/our securities account to the following securities account tomaintained with your company. 本人/百等現請求貴公司接輪關於本人/百等證券帳戶之證券/儀券轉移指示,詳列如下: Please select where appropriate 講選擇適用者 TEST Instruction Type * 指示類別 ■ Transfer In 轉入 □ Transfer Out 轉出 Securities A/C No. 證券賬戶號碼 Expected Settlement Date * 預期交收日期 ■ HK 香港 □ Global 環球 □ Bonds 債券 Products Market * 產品市場 2025/03/01 ⊕ Name of Products 產品名稱 Product Code * 產品編號 Quantity * 數量 Payment Instruction# * 付款指示 CKH HOLDINGS 100 # FOP=Free of Payment (毋須付款), DVP= Delivery versus Payment (貨銀對付) *Must be completed 必須填寫

Counterparty's CC/ Participant ID 交收對手中央結算編分 DTC Number			
Counterparty Contac 交收對手聯絡電話	ct *		
Counterparty E-mail Address * 交收對手攀箱			
Counterparty Securi Account Name 交收對手證券戶口名和			
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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)

2.Log in to the Victory Securities App

