# **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 1726 / 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]





11/F, Yardey Commer 香港干諾遊問3號億利	dal Building, 3 Conna  商業大賽11模	9 79 P0 32 YO - Member of 85- ught Road West, Sheung We (852) 2810 7616   <u>www.vlc</u>	in, Hong Kong		Date: 日期:	dd/mm/	/уууу
(Investor) S	ettlement	Instruction (S	/ISI) Form (	投資者)交收指示	示表格		
Account Name	(s) 賬戶名稱	客戶名稱					
Account No. 服	戶號碼	客戶賬戶	號碼	Instruction Type 排		Fransfer Out 轉出	
Products Market ∄	品市相 ■ HK 7	î淮 □ Global 環球	☐ Bonds 債券	Expected Value/ Sett 預期執行/交收日期	tiement Date	(預計	日期)
		ACCEPTS the following t 、貴公司接納關於本人/				ur securities account	held with your company,
	Name of Product 產品名解	is .	Product Code 商品编號	Quantity 數量		ent Instruction   鉄指示#	Fees (For internal use)
¹ 例…VI	CTORY S	SEC	08540	5000	■FOP □DVP	無需付款	
2					FOP B	青填寫金額	
3					□FOP □DVP		
4					□FGP □DVP		
5					FOP DVP		
# FOP=Free of Pay	ment (母須付高	(交收), DVP= Deliver	y versus Payment (	(貨銀對付交收)			Total:
Counterparty's in	formation 對手資	RUR					
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Settlement details	2.收資訊						
Hong Kong 香港	Victory Securitie 勝利證券有限公	s Company Limited		Contacts 聯絡 Ms	s. Tsoi / Mr. Li	u Tel: 2523 1726	i / 2523 3133
	CCASS Participar 中央結算編號	B01445		En	nail: clearing	@victorysec.com.	hk
Note 注重							
證券的轉移必須以 3.Please note that you 請注意您在本公司 4.Please refer to the 5	rities must be to an 相同名稱的户口·切 ur Securities Accoun 的證券/户口姓名及 Securities Services C	的能力加上視應。 account of same name, is 暗質機能並採機動。 6 Name and/or Number w 处號與將會交子對手以便 harges leaflet for the tran 費表。 (https://sec.victor	rill be provided to the o 執行交收指示。 saction charges involve	ounterparty for settleme	nt.		

**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 [# any] in consideration of the services rendered and expenses incurred.

本人/哲等確認上述證券的實益擁有權不會因進行本交收指示頁更改。本人/哲等顧意對以上指示承操所有責任。請從本人/哲等於賞公司戶口內托除本人/哲等現授權因提供服務頁產生所當之費用。收費及支出。

## 客戶簽署

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

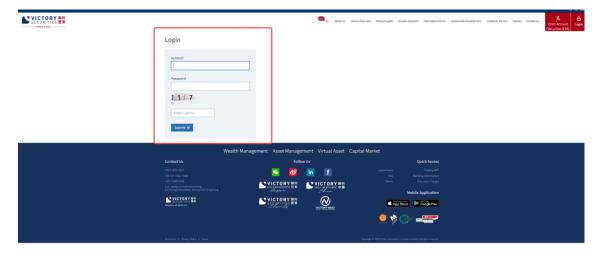
For Internal Use Only	1		
For CS/ Compliance D	epartment	For Clearing Departme	ent
Verified Signature:	Approved by:	Processed by:	Approved by:
Value/ Settlement	Date		

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: <a href="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</a>

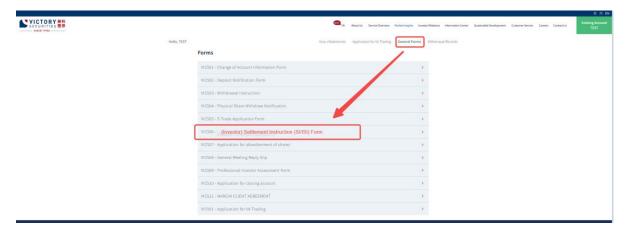


## Choose "View eStatements"



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**



Counterparty's CC/ Participant ID 交收對手中央結算編引 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			
Counterparty Securi Account No. 交收對手證券戶口號B			
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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)