

# APPLICATION FORM



認購表格

FSSA China All Cap Fund (the "Fund")

首域盈信中國全市值基金 (「基金」)

First Sentier Asian Bridge Fund (the "Fund")

首源亞洲鐵橋基金 (「基金」)

Please read the 'Notes' and 'Declarations' before completing this Form. Fill in the subscription details requested below in English. (\*Optional fields, in the case of Home, Daytime and Mobile telephone numbers at least one number must be provided). 填寫本表格前，請先閱讀「附註」及「聲明」。以英文填寫下文所需的認購詳情。(\*可選擇是否填寫：如為住宅電話、日間電話及流動電話號碼，則必須最少提供其中一項)。

In this Form, Offering Document(s) shall mean the current offering document applicable to the Fund(s) in respect of which this application is being made. 於本表格內，發售文件指本次認購的基金現時適用的發售文件。

Terms defined in the Offering Documents in relation to the Fund(s) shall, unless the context requires otherwise, bear the same meaning herein. 除文義另有所指外，發售文件內就基金所界定的詞彙與本認購表格者具相同涵義。

If we solicit the sale of or recommend any financial product to you, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause. 假如我們向閣下招攬銷售或建議任何金融產品，該金融產品必須是經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條款或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

If you have any questions relating to your application, please contact the Trustee and Registrar - HSBC Institutional Trust Services (Asia) Limited (Hotline: (852) 2269 2571 or Email: fsihk.transfer.agency.hk@hsbc.com.hk) on Monday to Friday. 閣下如對閣下的申請有任何疑問，請於星期一至星期五聯絡受託人及過戶處——滙豐機構信託服務(亞洲)有限公司(熱線：(852) 2269 2571 或電郵：fsihk.transfer.agency.hk@hsbc.com.hk)。

## FIRST APPLICANT 第一申請人

Last Name 姓 \_\_\_\_\_ Given Name(s) 名 \_\_\_\_\_  Mr 先生  Mrs 太太  Ms 女士

Nationality \_\_\_\_\_ Citizenship (please detail all countries of citizenship) \_\_\_\_\_

國籍 \_\_\_\_\_ 公民戶籍 (請詳述所有國家的公民戶籍) \_\_\_\_\_

Date of Birth 出生日期 \_\_dd日 / \_\_mm月 / \_\_yy年 Country of Birth 出生國家 \_\_\_\_\_ \*City/Town of Birth 出生城市 / 市鎮 \_\_\_\_\_

ID/Passport No. 身份證 / 護照號碼 \_\_\_\_\_

\* Home Tel No Country code 住宅電話 國家號碼 \_\_\_\_\_ Area code 地區號碼 \_\_\_\_\_ No. 號碼 \_\_\_\_\_

\* Daytime Tel No Country code 日間電話 國家號碼 \_\_\_\_\_ Area code 地區號碼 \_\_\_\_\_ No. 號碼 \_\_\_\_\_

\* Mobile No Country code 流動電話 國家號碼 \_\_\_\_\_ No. 號碼 \_\_\_\_\_

\* Fax No Country code 傳真號碼 國家號碼 \_\_\_\_\_ Area code 地區號碼 \_\_\_\_\_ No. 號碼 \_\_\_\_\_

\* E-mail Address 電郵地址 \_\_\_\_\_

Residential Address (all documents issued in respect of the holding will be posted to the first applicant of joint-name holders, P.O. Box will not be accepted for both Residential and Permanent Address) 住宅地址 (所有就投資而刊發的文件均會寄往聯名持有人的第一申請人，郵政信箱概不獲接納為住宅及永久地址)

Post Code 郵政編碼 \_\_\_\_\_ Country 國家 \_\_\_\_\_

Permanent Address (if different from Residential Address) 永久地址 (如與住宅地址不同) \_\_\_\_\_

Post Code 郵政編碼 \_\_\_\_\_ Country 國家 \_\_\_\_\_ Occupation 職業 \_\_\_\_\_

## Tax Residency 稅務上的常駐國家

Please list below your country/ies of tax residency and applicable Tax ID/TIN (if applicable, continue on a blank sheet and attach to this form.)

請在以下填寫閣下的稅籍國及適用稅務識別號碼/納稅人識別號碼(TIN)(如適用，請以白紙繼續填寫並將其夾附於本表格。)

Tax Resident Country 稅務常駐國家  Tax ID/TIN\*\* 稅務識別號碼/納稅人識別號碼(TIN)\*\*

Tax Resident Country 稅務常駐國家  Tax ID/TIN\*\* 稅務識別號碼/納稅人識別號碼(TIN)\*\*

Tax Resident Country 稅務常駐國家  Tax ID/TIN\*\* 稅務識別號碼/納稅人識別號碼(TIN)\*\*

\*\*A Tax ID/TIN is a Tax Identification Number which is issued by your country of residence for tax purposes.

\*\*稅務識別號碼/納稅人識別號碼(TIN)為閣下居住的國家就稅務而言所發出的納稅識別號碼。

## Foreign Account Tax Compliance Act ("FATCA") Status 海外賬戶稅收合規法案 ("FATCA") 狀況

(Please tick appropriate box) (請在適當方格內填上✓號)

I am a Specified United States Person per the FATCA definition (per the guidance under the declaration section of this form)  Yes 是  No 否

根據 FATCA 定義，本人為特定美國人士 (依照本表格聲明部份指引)

## Source of Funds (to be invested) 投資資金來源

Source of Funds (to be invested) 投資資金來源  (you may choose more than one) (可選擇一個或以上)	<input type="checkbox"/> Salary Income 工資收入 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Gift 禮物 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Business Income / profits / dividends 營業收入 / 利潤 / 股息 <input type="checkbox"/> Sale of investments 投資收益 <input type="checkbox"/> Sale of property / fixed assets 出售物業 / 固定資產 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____
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**Source of Wealth (Total assets) 財富來源 (總資產)**

Source of Wealth (Total assets) 財富來源 (總資產)  (you may choose more than one) (可選擇一個或以上)	<input type="checkbox"/> Salary Income 工資收入 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Gift 禮物 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Business Income / profits / dividends 營業收入/利潤/股息 <input type="checkbox"/> Sale of investments 投資收益 <input type="checkbox"/> Sale of property / fixed assets 出售物業/固定資產 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____
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**SECOND APPLICANT 第二申請人**

**Last Name 姓** \_\_\_\_\_ **Given Name(s) 名** \_\_\_\_\_  **Mr 先生**  **Mrs 太太**  **Ms 女士**

**Nationality 國籍** \_\_\_\_\_ **Citizenship (please detail all countries of citizenship) 公民戶籍 (請詳述所有國家的公民戶籍)** \_\_\_\_\_

**Date of Birth 出生日期** \_\_dd 日 / \_\_mm 月 / \_\_yy 年 **Country of Birth 出生國家** \_\_\_\_\_ **\*City/Town of Birth 出生城市/市鎮** \_\_\_\_\_

**ID/Passport No. 身份證/護照號碼** \_\_\_\_\_

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**Post Code 郵政編碼** \_\_\_\_\_ **Country 國家** \_\_\_\_\_

**Permanent Address (if different from Residential Address) 永久地址 (如與住宅地址不同)** \_\_\_\_\_

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**Tax Residency 稅務上的常駐國家**

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Tax Resident Country 稅務常駐國家		Tax ID/TIN** 稅務識別號碼/納稅人識別號碼(TIN)**	
Tax Resident Country 稅務常駐國家		Tax ID/TIN** 稅務識別號碼/納稅人識別號碼(TIN)**	
Tax Resident Country 稅務常駐國家		Tax ID/TIN** 稅務識別號碼/納稅人識別號碼(TIN)**	

\*\*A Tax ID/TIN is a Tax Identification Number which is issued by your country of residence for tax purposes. 稅務識別號碼/納稅人識別號碼(TIN) 為閣下居住的國家就稅務而言所發出的納稅識別號碼。

**Foreign Account Tax Compliance Act ("FATCA") Status 海外賬戶稅收合規法案 ("FATCA") 狀況**

(Please tick appropriate box) (請在適當方格內填上 ✓ 號)

I am a Specified United States Person per the FATCA definition (per the guidance under the declaration section of this form)  Yes 是  No 否

根據 FATCA 定義, 本人為特定美國人士 (依照本表格聲明部份指引)

**Source of Funds (to be invested) 投資資金來源**

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**Source of Wealth (Total assets) 財富來源 (總資產)**

Source of Wealth (Total assets) 財富來源 (總資產)  (you may choose more than one) (可選擇一個或以上)	<input type="checkbox"/> Salary Income 工資收入 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Gift 禮物 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Business Income / profits / dividends 營業收入/利潤/股息 <input type="checkbox"/> Sale of investments 投資收益 <input type="checkbox"/> Sale of property / fixed assets 出售物業/固定資產 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____
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**CORPORATE APPLICANT ONLY 謹適用於公司申請人**

**Company Name** 公司名稱 \_\_\_\_\_  
**Place of Incorporation** 成立地點 \_\_\_\_\_ **Contact Person** 聯絡人 \_\_\_\_\_  Mr 先生  Mrs 太太  Ms 女士  
**Date of Incorporation** 註冊成立日期 \_\_\_\_\_ **Registration/ Incorporation number** 註冊 / 成立編號 \_\_\_\_\_  
**Nature of Business** 業務性質 \_\_\_\_\_  
**Type of Corporate** 公司類型  regulated financial institution 受監管的金融機構  nominee company 代名人公司  
 listed company 上市公司  government / public body 政府 / 公共機構  investment vehicle 投資工具  
 corporate customer 公司客戶  trust 信託  others, please specify 其他,請說明: \_\_\_\_\_  
**Daytime Tel No. Country code** 日間電話 國家號碼 \_\_\_\_\_ **Area code** 地區號碼 \_\_\_\_\_ **No.** 號碼 \_\_\_\_\_  
**Fax No. Country code** 傳真號碼 國家號碼 \_\_\_\_\_ **Area code** 地區號碼 \_\_\_\_\_ **No.** 號碼 \_\_\_\_\_  
**Registered Address** 通訊地址 \_\_\_\_\_

\_\_\_\_\_ **Country** 國家 \_\_\_\_\_  
**Post Code** 郵政編碼 \_\_\_\_\_ **E-mail Address** 電郵地址 \_\_\_\_\_

**Tax Residency 稅務上的常駐國家**

Please list below your country/ies of tax residency and applicable Tax ID/TIN (if applicable, continue on a blank sheet and attach to this form.)

請在以下填寫閣下的稅籍國及適用稅務識別號碼 / 納稅人識別號碼 (TIN) (如適用, 請以白紙繼續填寫並將其夾附於本表格。)

<b>Tax Resident Country</b> 稅務常駐國家	<input type="text"/>	<b>Tax ID/TIN**</b> 稅務識別號碼/納稅人識別號碼(TIN)**	<input type="text"/>
<b>Tax Resident Country</b> 稅務常駐國家	<input type="text"/>	<b>Tax ID/TIN**</b> 稅務識別號碼/納稅人識別號碼(TIN)**	<input type="text"/>
<b>Tax Resident Country</b> 稅務常駐國家	<input type="text"/>	<b>Tax ID/TIN**</b> 稅務識別號碼/納稅人識別號碼(TIN)**	<input type="text"/>

\*\*A Tax ID/TIN is a Tax Identification Number which is issued by your country of residence for tax purposes. If no country of tax residency, please provide countries of effective management.  
 \*\*稅務識別號碼/納稅人識別號碼(TIN)為閣下居住的國家就稅務而言所發出的納稅識別號碼。如果並無稅務上的常駐國家, 請提供實際管理的國家。

**Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")  
 海外賬戶稅收合規法案 ("FATCA") 及共同申報準則 ("CRS")**

**Global Intermediary Identification No. ("GIIN") 全球中介機構識別號碼 ("GIIN")** \_\_\_\_\_

(Please select your entity status) (請選擇 閣下的實體狀況)

- Participating Foreign Financial Institution 參與的海外金融機構   
 Registered Deemed Compliant Foreign Financial Institution 已註冊的視作合規海外金融機構 (other than Reporting Model 1 Financial Institutions) (以版本一報告的金融機構除外)   
 US Financial Institution 美國金融機構   
 Direct Reporting Non-Financial Foreign Entity 直接報告的非金融海外實體   
 Sponsored Entity 保薦機構   
 Sponsoring entity's name 保薦機構名稱 \_\_\_\_\_  
 Trustee Documented Trust 受託人管理的信託基金   
 Trustee's name 受託人名稱 \_\_\_\_\_

If the entity status and GIIN have been provided please proceed to section F, Common Reporting Standard below.  
 如已提供實體狀況及 GIIN, 請繼續填寫以下 F 節共同申報準則。

If you have not provided your entity status and GIIN above, you need to select  only ONE of the following categories and provide the requested information 如閣下並無於上文提供實體狀況及 GIIN, 須選擇下列其中一項及填上  號, 並提供所需資料

**A. United States Persons 美國人士**

Yes 是  No 否

If you answered "Yes" then please provide the entity's US Taxpayer Identification Number ("TIN") (if not already provided) 如答案為「是」, 請提供實體的美國納稅人識別號碼 ("TIN") (如尚未提供) \_\_\_\_\_

Are you a Specified United States Person? 閣下是否為特定美國人士? Yes 是  No 否

If the entity is a United States Person this section is now complete. Please proceed to section F, Common Reporting Standard below. If not, proceed to section B below.  
 如實體是美國人士, 即已填妥本節。請繼續填寫以下 F 節共同申報準則。否則, 請繼續填寫以下 B 節。

**B. Financial Institution (A custodial or depository institution, an investment entity or a specified insurance company for FATCA purposes)  
 金融機構 (就 FATCA 而言為託管或存款機構、投資實體或特定保險公司)**

Please tick your status below:

請在以下勾選 閣下的狀況:

- IGA Foreign Financial Institution IGA 海外金融機構   
 Registered Deemed Compliant Foreign Financial Institution 已註冊的視作合規海外金融機構   
 Certified Deemed Compliant Foreign Financial Institution 經認證的視作合規海外金融機構   
 Non-Participating Foreign Financial Institution 不參與的海外金融機構

If you have ticked a FATCA status above, please proceed to section F, Common Reporting Standard below. If not, proceed to section C below.  
 如閣下已勾選以上的 FATCA 狀況, 請繼續填寫以下 F 節共同申報準則。否則, 請繼續填寫以下 C 節。

**C. Non-Financial Entity (NFE) 非金融實體**

Are you an Active NFE (including an Excepted NFE as defined in FATCA) Yes 是  No 否

閣下是否活躍非金融實體 (包括屬例外的非金融海外實體, 定義見 FATCA)

If yes, please proceed to Subscription Details. If no, is your entity's primary business activity investing?

如是, 請繼續填寫認購詳情。如否, 閣下的實體是否以投資作為主要業務?

Select "Yes" if: 如為下列者, 請選擇「是」: Yes 是  No 否

- The entity earns more than 50% of its total income from investment activities; for example, rent, interest or dividends or
- 實體所賺取的總收入的 50% 以上來自投資活動, 如租金、利息或股息; 或
- More than 50% of the entity's assets produce or are held for producing investment income
- 實體資產的 50% 以上可產生投資收入或用作持有以產生投資收入

If yes, proceed to section G Controlling Person section below. If no, proceed to Section D.

如是，請繼續填寫以下 G 節控權人士一節。如否，請繼續填寫以下 D 節。

- D. **Government Entity, Central Bank, International Organisation** (Exempt Beneficial Owners under FATCA)  
政府實體、中央銀行、國際組織 (FATCA 下的獲豁免實益擁有人) Yes 是  No 否

If yes, please proceed to Subscription Details. If no, proceed to section E below.

如是，請繼續填寫認購詳情。如否，請繼續填寫以下 E 節。

- E. **Listed Public Company or Subsidiary of a Listed Public Company**  
上市公司或上市公司的附屬公司 Yes 是  No 否

If yes, please proceed to Subscription Details. If no, proceed to section F below.

如是，請繼續填寫認購詳情。如否，請繼續填寫以下 F 節。

- F. **Common Reporting Standard (CRS)** 共同申報準則  
Are you an Investment Entity as defined in CRS 閣下是否 CRS 定義的投資實體 Yes 是  No 否

If no, proceed to Subscription Details. If yes, are you located in a Non-Participating Jurisdiction (as defined in CRS)

如否，請繼續填寫認購詳情。如是，閣下是否位於非參與司法權區 (定義見 CRS) Yes 是  No 否

If yes, are you managed by another financial institution and is 50% or more of your gross income derived from investing, reinvesting or trading in financial assets? Yes 是  No 否

閣下是否由另一金融機構管理，以及總收入 50% 或以上來自投資、再投資或買賣金融資產

If yes, proceed to section G Controlling Person section below. If no, proceed to Subscription Details.

如是，請繼續填寫以下 G 節控權人士一節。如否，請繼續填寫認購詳情。

- G. **Controlling Person Section** 控權人士章節  
Please complete this section in respect of each Controlling Person of the entity. Controlling Persons means the individual(s) who exercise control over an entity. For companies and similar legal persons this will include individuals that directly or indirectly beneficially own 25% or more of the value or voting rights in relation to the entity. If there are no individuals who exercise control over the entity through ownership or other means, then the Controlling Persons will be the individual(s) who hold the position of senior managing official. For trusts and other similar legal arrangements, Controlling Persons will include the settlor, the trustee(s), the protector (if any), the beneficiaries and any other individual exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, such term means persons in equivalent on similar positions. 請就實體的每名控權人士填寫本節。控權人士指對實體行使控制的個人。就公司及類似法人而言，這包括直接或間接實益擁有實體 25% 或以上價值或投票權的個人。如果並無個人透過擁有權或其他方式對實體行使控制，則控權人士為任職高級管理人員的個人。就信託及其他類似法律安排而言，控權人士包括財產授予人、受託人、保護人 (如有)、受益人以及對信託行使最終實際控制的任何其他個人。就信託之外的法律安排而言，該詞指在相似狀況具有相等身份的人士。

Full name 全名	Full residence address including postcode and country (and mailing address, if different) 詳細住址包括郵政編碼及國家 (及郵寄地址，如不同)	Country/Countries of Tax residence 稅籍國	Tax ID/TIN 稅務識別號碼/TIN	Date of Birth 出生日期

#### Source of Funds (to be invested) 投資資金來源

Source of Funds (to be invested) 投資資金來源  (you may choose more than one) (可選擇一個或以上)	<input type="checkbox"/> Client money 客戶資金 <input type="checkbox"/> Business Income / profits / dividends 營業收入利/潤/股息 <input type="checkbox"/> Sale of investments 投資收益 <input type="checkbox"/> Sale of property / fixed assets 出售物業/固定資產 <input type="checkbox"/> Cash flow generated from company operations 經營產生的現金流 <input type="checkbox"/> Loan funding 貸款資金 <input type="checkbox"/> Injection of funds from owner / parent company 公司擁有人/母/公司注資 <input type="checkbox"/> Investment by ultimate beneficial owner / partner 實益擁有人/合夥人的投資 <input type="checkbox"/> Intra-group financing 集團內部融資 <input type="checkbox"/> Others (please specify) 其他 (請註明): <hr/>
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#### Source of Wealth (Total assets) 財富來源 (總資產)

Source of Wealth (Total assets) 財富來源 (總資產)  (you may choose more than one) (可選擇一個或以上)	<input type="checkbox"/> Business Income / profits / dividends 營業收入/利潤/股息 <input type="checkbox"/> Sale of investments 投資收益 <input type="checkbox"/> Sale of property / fixed assets 出售物業/固定資產 <input type="checkbox"/> Cash flow generated from company operations 經營產生的現金流 <input type="checkbox"/> Loan funding 貸款資金 <input type="checkbox"/> Injection of funds from owner / parent company 公司擁有人/母/公司注資 <input type="checkbox"/> Investment by ultimate beneficial owner / partner 實益擁有人/合夥人的投資 <input type="checkbox"/> Intra-group financing 集團內部融資 <input type="checkbox"/> Others (please specify) 其他 (請註明): <hr/>
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#### SUBSCRIPTION DETAILS 認購詳情

Applicants wishing to purchase Units in a Fund(s) to the value of the cash amount at the price ruling on acceptance of this application and upon the terms of the Offering Document(s) of the Fund(s). 申請人茲根據基金的發售文件的條款，按本次認購時接納的價格購買基金的單位。

Name of Fund 基金名稱

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Currency / Amount 貨幣/款額

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PAYMENT METHOD 付款辦法**

## Telegraphic Transfer 電匯

Currency 貨幣	Bank 銀行	Account 戶名	AccountNo. 戶口號	SwiftBIC Swift 地址	SortCode 分類編號
HK\$ 港元	HongKong and Shanghai Banking Corporation Limited 1 Queen's Road, Central, Hong Kong	HSBC Institutional Trust Services (Asia) Limited – First Sentier Investors	511-119356-003		
US\$ 美元	HongKong and Shanghai Banking Corporation Limited 1 Queen's Road, Central, Hong Kong	HSBC Institutional Trust Services (Asia) Limited – First Sentier Investors	502-692379-201		
GBP 英鎊	HSBC Bank plc., Institutional Banking, PO Box 181, 27-32 Poultry, London, EC2P 2BX, U.K.	HSBC Institutional Trust Services (Asia) Limited – First Sentier Investors	57207570		40-05-15
EURO 歐羅	HSBC Bank plc., Institutional Banking, PO Box 181, 27-32 Poultry, London, EC2P 2BX, U.K.	HSBC Institutional Trust Services (Asia) Limited – First Sentier Investors	57207562		40-05-15
RMB* 人民幣*	HongKong and Shanghai Banking Corporation Limited 1 Queen's Road, Central, Hong Kong	HSBC Institutional Trust Services (Asia) Limited – First Sentier Investors	741-243992-209	(Beneficiary A/C 收款人賬戶) HSBCHKHHGCC	

\* In case of RMB payments made from outside of Hong Kong, please remit via correspondent bank "Bank of China (Hong Kong) Limited" with Swift BIC "BKCHHKHH838" 如有人民幣款項從香港以外地區匯入，請通過代理銀行「中國銀行（香港）有限公司」進行匯款，Swift 地址為「BKCHHKHH838」。

Note: Please state clearly on the remittance advice – [Re: Name of the Fund] and [Ref: Name of the Applicant]

A copy of a telegraphic transfer advice must be enclosed with your Application Form

注意：請於匯款通知書上清楚註明「認購基金名稱」及「申請人名稱」。電匯通知書副本必須隨認購表格一併交回。

**PAYMENT OF REDEMPTION PROCEEDS 支付贖回款項**

All proceeds of redemptions of Units will be paid directly to the following account unless contrary instructions are given at the time of redemption. This instruction applies to all Units in any Fund(s) acquired at any time.

除非在作出贖回指示時另作付款安排，所有贖回單位之所得款項將直接付予以下銀行賬戶。此授權適用於任何時候買入任何基金的所有單位。

If this Section is not completed or the applicants need to change the payment bank account, signed original instruction will be required to release redemption proceeds. For joint-name holders, if there is no indication to the contrary, the beneficiary will be all registered Unitholders unless specified otherwise and NO third party payment will be made.

倘未填妥本部份或需更改付款賬戶，則需要收到簽妥之付款指示正本，才可以發放贖回款項。至於聯名持有人，客戶如無特別指示，所有登記單位持有人將成為有關戶口的收款人，並不准許付款予第三者。

If no currency is indicated, payment will be made in the base currency of the relevant Units. Redemption proceeds will only be returned to an account held in the name of the registered Unitholder(s). No third party payments will be made.

如無指示，將以有關單位之計算貨幣支付。贖回所得款項僅會退回以登記單位持有人名稱持有的戶口。概不作任何第三方付款。

Currency of payment 支付貨幣： HKD 港元  GBP 英鎊  AUD 澳元  USD 美元  EURO 歐羅  RMB 人民幣

**Bank Account Details 付款戶口資料：**

Name of Account Holder 戶口持有人姓名 \_\_\_\_\_

Bank Name 銀行名稱 \_\_\_\_\_

Swift Code 代碼 \_\_\_\_\_ ABA No. ABA 編號 \_\_\_\_\_ Chip UID No. Chip UID 編號 \_\_\_\_\_

IBAN No. IBAN 編號 \_\_\_\_\_ Sort Code (only for GBP) 分類編號（僅適用於英鎊） \_\_\_\_\_

Bank Address 銀行地址 \_\_\_\_\_

Account No. 戶口號碼 \_\_\_\_\_

Correspondent Bank Details 代理銀行資料 \_\_\_\_\_

**INCOME DISTRIBUTION METHOD (IF APPLICABLE) 股息派發方式 (如適用)**

Note that not all Fund(s) issue distributing Units - please refer to the Offering Document(s) in relation to the Fund(s). 並非所有基金均設有派息單位，詳情請參閱有關基金的發售文件。

If the following section is not completed, income distributions (if any) will be automatically reinvested into further Units of the same class of the same Fund(s). If you complete the section below but insert no currency, the currency of the class of Unit will be used. If you choose a currency different to that in which the Unit is denominated, costs of currency conversion will be payable by you.

如申請人選擇不填妥以下部分，派發的收益（如有）將自動再投資於同一基金的同類別單位。若閣下填妥以下部分，但未填上貨幣，則以該單位類別的標值貨幣為準。若閣下選擇與該單位標值貨幣有別的另一貨幣，閣下須支付貨幣兌換費用。

For joint-name holders, if there is no indication to the contrary, the beneficiary will be all registered Unitholders unless specified otherwise. For all accounts, NO third party payment will be made.

至於聯名持有人，如無特別指示，所有登記單位持有人將成為有關戶口的收款人。就所有賬戶而言，並不准許付款予第三者。

Distribution Method 派息方式

by reinvesting into the same class of the same Fund(s) 將收益再投資於同一基金之同一類別

by cheque 以支票支付

by Telegraphic Transfer 以電匯支付  Pay to the above Bank Account 存入上述銀行戶口  Pay to the Bank Account as below 存入下列銀行戶口

Currency of payment 支付貨幣： USD 美元  HKD 港元  RMB 人民幣

Name of Account Holder 戶口持有人姓名 \_\_\_\_\_

Bank Name 銀行名稱 \_\_\_\_\_

Swift Code 代碼 \_\_\_\_\_ ABA No. ABA 編號 \_\_\_\_\_ Chip UID No. Chip UID 編號 \_\_\_\_\_ IBAN No. IBAN 編號 \_\_\_\_\_

Bank Address 銀行地址 \_\_\_\_\_

Account No. 戶口號碼 \_\_\_\_\_

Correspondent Bank Details 代理銀行資料 \_\_\_\_\_

## NOTES

1. First Sentier Investors (Hong Kong) Limited (CE No. AAJ693) is licensed for, Type 1 (Dealing in Securities), Type 4 (Advising on Securities and Type 9 (Asset Management) regulated activities under the Securities and Futures Ordinance. It is licensed to deal and advise on securities, and to provide asset management services.
2. First Sentier Investors (Hong Kong) Limited may amend the terms of this Application Form and may reissue such terms, in whole or in part, to you at any time upon notice.
3. Fees and charges payable to First Sentier Investors (Hong Kong) Limited are detailed in the Offering Document(s).
4. Risk Disclosure Statements
  - The prices of securities fluctuate, sometimes dramatically. The price of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities.
  - Client assets received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.
5. The minimum value of Units per Fund(s) that an applicant may subscribe for and hold varies according to the Fund(s) you are investing in, Unitholders should check the Offering Document(s).
6. The total money due and the completed Application Form should be returned to the Trustee and Registrar through which your application was passed. On acceptance of your application, a subscription contract or contract note showing the number and class of Units allocated and the total money due will be sent to you.
7. The Fund(s)/Manager reserves the right to scale down subscriptions where the full contract amount has not been received. Any charges on telegraphic transfers are the responsibility of the applicant.
8. All Units are issued in non-certificated form.
9. Full names for all holders must be given. If there is insufficient space in the Form please attach a separate sheet. A maximum of four persons may be joint-name holders of Unit.
10. If this Form is signed under a notarised power of attorney, such power of attorney or a duly certified copy thereof must accompany this Form.
11. Transaction is completed upon receipt of the original Application Form and relevant anti-money laundering documentation.
12. No application (including any transfer application) will be processed until all required information has been provided by the applicant. The Manager reserves the right to reject any application at its sole discretion.
13. Certain Hong Kong regulations may require the Fund(s)/Manager to collect and/or disclose certain information about each investor and certain related persons and their investments in the Fund(s) to the Inland Revenue Department and/or other tax authorities overseas. These regulations (as amended or replaced from time to time) were enacted pursuant to an intergovernmental agreement signed by Hong Kong with the United States to implement the US Foreign Account Tax Compliance Act ("FATCA") and a multilateral agreement to be signed between Hong Kong and various jurisdictions to implement a similar regime known as the OECD Common Reporting Standard ("CRS", and together with FATCA and other similar regimes, the "AEOI regimes"). The Manager may have future obligations under similar AEOI regimes in the future. All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOI regimes of an investment in the Fund(s).

## DECLARATIONS

1. I/We understand and accept that having received and considered the Offering Document(s) this application is made solely on the terms and conditions of the Offering Document(s) and subject to the provisions of the constitutive documents of the Fund(s) and the material contracts disclosed in the Offering Document(s).
2. I/We hereby undertake and agree to accept any number of Units in respect of which this Application may be accepted. I/We understand that the Fund(s)/Manager reserves the right to restrict or prevent the ownership of Units by any person, firm or corporation including but not limited to the circumstances outlined in the Offering Document(s).
3. Furthermore I/We acknowledge that the Fund(s)/Manager reserves the right to reject at its absolute discretion any application for Units in a Fund(s).
4. I/We declare that I/we am/are not a United States Person(s) as defined in the Offering Document(s) and that I/we am/are not acting on behalf of a United States Person(s) nor do I/we intend selling or transferring any Units which I/we may purchase to any person who is a United States Person.
5. Unless otherwise specified I/We are not a "Specified United States Person" under the tax laws of the U.S.\*\* or a non-U.S. entity with one or more Specified United States Persons as (i) "substantial United States owners" defined in the U.S. Tax Withholding and Reporting regulations under the Foreign Account Tax Compliance Act ("FATCA") or (ii) "Controlling Persons" for the purpose of CRS.  
\*\* For this purpose, a "Specified United States Person" will include, subject to certain exceptions, (A) an individual who is a citizen or resident of the U.S., (B) a partnership or corporation (including any entity treated as a partnership or corporation for U.S. tax purposes, such as a limited liability company) organised in or under the laws of the U.S. or any state of the U.S. (including the District of Columbia), (C) any estate the income of which is subject to U.S. tax regardless of its source, and (D) any trust if (i) a court within the U.S. is able to exercise primary supervision over the administration of the trust and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.  
I/We declare that I/we do not intend to sell or transfer any Units which I/we may purchase to any person who is a Specified United States Person.
6. I/We are not a person resident or otherwise located in Canada.
7. I/We confirm that I/we have the authority to make the investment pursuant to this Form whether the investment is my/our own or is made on behalf of another person or institution.
8. I/We confirm that I/we am/are 18 years of age or over.
9. I/We have made arrangements for payment of the amount set out above in accordance with the payment instructions detailed above and in the Offering Document(s) and acknowledge that should my/our application be accepted in respect of a lesser amount than is set out above, there shall be repaid to me/us any remaining amount without interest. I/We undertake not to revoke any arrangements made for the payment of the amount set out above. I/We undertake that if payment is being made by cheque, the cheque will be met on first presentation.
10. I/We acknowledge that redemption proceeds may not be paid out until the original of the Application Form used on initial subscription together with all documentation required by either the Fund(s)/Manager/Trustee and Registrar including all documentation required for anti-money laundering purposes has been received by the Trustee and Registrar.
11. I/We declare that I/we am/are/will not, by virtue of this application or the holding of any Units, be in breach of the laws and regulations of any competent jurisdiction and agree that if this holding could, in the opinion of the Manager cause the Fund(s) some financial, legal or fiscal disadvantage to indemnify the Fund(s)/Manager/Trustee and Registrar and the Unitholders of the Fund(s) for any loss suffered by them as a result of my/our acquiring or holding Units.
12. Applicable to joint-name holders: I/We direct that on the death of one of us the Units for which we hereby apply be held in the name of and to the order of the survivor(s) of us or the executors and/or administrator of such survivor.
13. I/We agree (i) to provide such representations at such times as the Fund(s)/Manager/Trustee and Registrar may reasonably request, and (ii) to provide on request such certifications, documents or other evidence as the Fund(s)/Manager/Trustee and Registrar may reasonably require to substantiate such representations.
14. I/We agree to provide on request in a timely manner any information or documentation in relation to myself/ourselves as the Fund(s)/Manager/Trustee and Registrar and their respective agents may deem necessary or desirable to comply with any applicable law, regulation, intergovernmental agreement, fiscal or tax requirements (whether statutory or not) including, without limitation, any reporting or other obligations and/or to prevent the withholding of tax under the AEOI regimes.
15. I/We agree to notify the Fund(s)/Manager/Trustee and Registrar immediately if I/we become aware that any of the representations herein are no longer complete and accurate in any respect and agree immediately either to sell or to tender to the Fund(s)/Manager/Trustee and Registrar for redemption a sufficient number of Units as required by the Fund(s).
16. I/We understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Units in the Fund(s) by me/us shall be governed by them.
17. I/We acknowledge that the Fund(s)/Manager may, in accordance with the provisions of the Offering Document(s) compulsorily redeem my/our Units in the Fund(s) if I/We acquire or are holding such Units in breach of the requirements or in the circumstances detailed in the Offering Document(s) of the Fund(s), whether at the point of my/our investment or thereafter; and I/We undertake to observe and be bound by any such decision by the Fund(s)/Manager and agree that the Fund(s)/Manager shall not assume liability for any losses arising from a compulsory redemption of any of my/our Units in the Fund(s).
18. I/We hereby authorise the Fund(s)/Manager and their respective agents to disclose to any relevant tax authority, competent department or authority of the government or administration of Hong Kong or other countries (collectively, the "Government Authorities") any information (including our tax status, identity, residency or other personal and payment information), documents or self-certifications provided by me/us to the Fund(s)/Manager. To the extent permitted by law, I/we agree to waive any provision of any data protection, privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would otherwise prevent the Fund(s)/Manager's compliance with the AEOI regimes or any other applicable laws, including, but not limited to, my/our provision of any requested information and/or documentation. I/we shall have no claim against the Fund(s)/Manager (or their respective agents from time to time) for any losses, liabilities, costs or expenses suffered by me/us as a result of the proper use or disclosure of such information or documentation to any of the Government Authorities or for any actions or omissions taken by any of them in connection with the Fund(s)/Manager's compliance with the AEOI regimes. I/We confirm that all the information provided by us in this Application Form and as otherwise provided by me/us to the Fund(s)/Manager shall remain valid and I/We also undertake to immediately notify the Fund(s)/Manager of any changes to such information as soon as reasonably possible.

## 附註

1. 首源投資 (香港) 有限公司 (中央編號: AAJ693) 持有牌照, 可進行證券及期貨條例下第1類 (證券買賣)、第4類 (就證券提供意見) 及第9類 (資產管理) 受規管活動。公司獲發牌買賣證券、就證券提供意見, 以及提供資產管理服務。
2. 首源投資 (香港) 有限公司可隨時在通知後修改本申請表格的條款, 並向閣下再次發出有關條款 (全部或部分)。
3. 應付首源投資 (香港) 有限公司的費用及收費的詳情載於發售文件。
4. 風險披露聲明
  - 證券價格有時可能會非常波動。證券價格可升可跌, 甚至變成毫無價值。買賣證券未必能夠賺取利潤, 反而可能會招致損失。
  - 持牌人或註冊人在香港以外地方收取或持有的客戶資產, 是受到有關的海外司法管轄區的適用法律及規則所監管的。這些法律及規則與《證券及期貨條例》(香港法例第571章) 及根據該條例訂立的規則可能有所不同。因此, 有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。
5. 申請人可認購及持有的每項基金的單位最低額會根據閣下所投資的基金而有所不同。單位持有人應查閱發售文件。
6. 申請人應將繳款總額及填妥的認購表格交回受託人及過戶處, 以便處理有關申請。申請一經接納, 申請人將會收到一份詳列獲分配單位數目及類別以及應繳款總額的認購合約或合約票據。
7. 如未獲單位十足的申請金額, 基金/基金經理有權縮減認購數目。一切電匯手續費概由申請人承擔。
8. 所有單位均以無股票形式發行。
9. 所有持有人均須提供全名。若表格空位不敷填寫, 請另紙填寫。聯名單位持有人最多不得10超過四名。
10. 若本表格乃由認可授權書授權簽署, 該授權書或其經正式核證副本則必須隨附本表格。

11. 交易程序以收妥認購表格正本及有關反清洗黑錢文件後方算完成。

12. 申請人於提交一切所需資料前, 概不會處理任何申請 (包括任何轉讓申請)。基金經理保留權利可全權酌情拒絕任何申請。
13. 若于香港的規例可能規定基金/基金經理收集及/或向稅務局及/或其他海外稅務當局披露有關每名投資者及若干相關人士及彼等於基金投資的若干資料。該等規例 (不時修訂或替代) 根據香港與美國為實施美國海外賬戶稅收合規法案 (「FATCA」) 而簽訂的跨政府協議以及香港與多個司法權區為實施稱為經合組織共同申報準則 (「CRS」) 的類似制度而簽訂的多邊協議 (CRS 連同FATCA及其他類似制度, 統稱「AEOI (稅收自動資料交換) 制度」)。日後根據類似的AEOI 制度, 基金經理可能有日後的責任。所有有意投資人士應就在AEOI制度下投資於基金的可能後果及分類諮詢本身的顧問。

## 聲明

1. 本人/我們明白及接納於收取及考慮發售文件後, 本次申請僅根據發售文件的條款及條件作出, 並須受基金的成立文件以及發售文件內所披露各重大合約的條款所規限。
2. 本人/我們謹承諾及同意接納本次申請所獲接受的單位數目。本人/我們明白基金/基金經理保留權利, 可限制或防止任何人士、商號或公司擁有單位, 包括 (但不限於) 發售文件所概述的情況。
3. 此外, 本人/我們承認基金/基金經理保留權利, 可全權酌情拒絕基金單位的任何申請。
4. 本人/我們聲明本人/我們並非美國人士 (定義見發售文件), 而本人/我們亦非代表美國人士行事。本人/我們亦不擬將可能購得的任何單位出售或轉讓予任何美國人士。
5. 除非另有指明, 本人/我們根據美國稅務法律並非「特定美國人士」\*\*或有一名或多名特定美國人士為其(i)主要美國擁有人 (定義見海外賬戶稅收合規法案 (「FATCA」) 項下的美國預扣稅及報告規定) 或(ii)「控權人士」(就 CRS 而言) 的非美國實體。  
\*\*就此而言, 受若干例外情況所限, 「特定美國人士」將包括A為美國公民或居民的個人、(B)在美國或其任何州份 (包括哥倫比亞特區) 或根據美國或其任何州份的法律組織的合夥企業或法團 (包括就美國稅務而言被視為合夥企業或法團的任何實體, 例如有限責任公司)、(C)有關收入 (不論來源) 均須繳納美國稅項的任何遺產及(D)任何信託基金, 倘(i)美國境內法院能夠對信託基金的行政管理行使主要監管權及(ii)一名或多名美國人士有權控制信託基金的所有重大決定。本人/我們聲明本人/我們不擬將本人/我們可能購得的任何單位出售或轉讓予身為特定美國人士的任何人士。
6. 本人/我們並非為居住於加拿大的人士或其他位於加拿大的人士。
7. 本人/我們確認本人/我們有權根據本表格作出投資, 不論投資是否屬本人/我們本身的投資或代表另一名人士或機構所作出的投資。
8. 本人/我們確認, 本人/我們已年滿 18 歲。
9. 本人/我們已遵照上文及發售文件所詳述的付款指示安排支付上文所載款項, 並承認若申請獲接納的款額少於上文所載者, 則有關方面將不計利息將有關款額退還本人/我們。本人/我們承諾不會撤回任何就支付上文所載款項而作出的安排。本人/我們承諾, 若以支票付款, 則支票將於首次提呈過戶時兌現。
10. 本人/我們承認, 所有贖回款項須待受託人及過戶處接獲首次認購所用認購表格正本, 連同基金/基金經理/受託人及過戶處要求的所有文件, 包括一切反清洗黑錢文件後方會支付。
11. 本人/我們聲明, 本人/我們現在或將來均不會因本次申請或持有任何單位而違反任何擁有合法管轄權的司法權區的法律及規則, 並同意若基金經理認為此舉會令基金在財政、法律或稅務上蒙受任何損失, 會就基金/基金經理/受託人及過戶處及基金的單位持有人因本人/我們購入或持有單位而蒙受的損失而作出彌償。
12. 適用於聯名持有人: 本人/我們指示若我們其中一人去世, 我們共同申請的單位將由尚存者、或該尚存者的遺囑執行人及/或行政管理人的名義持有及全權處理。
13. 本人/我們同意: (i) 於基金/基金經理/受託人及過戶處要求的時間提供其可能合理要求的陳述, 及(ii)應基金/基金經理/受託人及過戶處的可能合理要求提供的證明書、文件或其他證據以作為該等陳述的佐證。
14. 本人/我們同意應要求及時提供基金/基金經理/受託人及過戶處及其各自代理為遵守任何適用的法例、規則、跨政府協議、財政或稅務規定 (不管是否屬法定規定) 包括但不限於AEOI制度下任何報告或其他責任及/或避免預扣稅而視為需要或適宜的有關本人/我們的任何資料或文件。
15. 本人/我們同意, 若獲悉本表格內任何陳述在任何方面不再完整及準確時, 本人/我們會立即知會基金/基金經理/受託人及過戶處, 並立即同意就基金所需贖回足夠數目的單位或交回基金/基金經理/受託人及過戶處。
16. 本人/我們明白, 本表格內所作的聲明及保證屬持續性質, 而本人/我們對其後對基金的單位作出的一切認購均受其監管。
17. 本人/我們承認, 倘本人/我們購買或正持有的有關單位違反基金的發售文件所詳述的規定或情況 (不論是為本人/我們投資時或其後), 則基金/基金經理可根據發售文件的條款強制贖回本人/我們於基金的單位; 及本人/我們承諾遵守及受基金/基金經理所作出的任何有關決定所約束, 並同意基金/基金經理毋須就強制贖回本人/我們於基金的任何單位所造成的任何損失承擔責任。
18. 本人/我們謹此授權基金/基金經理及其各自代理向香港或其他國家的任何相關稅務機關、主管部門或政府或行政部門 (統稱「政府機關」) 披露由本人/我們向基金/基金經理提供的任何資料 (包括稅務地位、身份、居留地或其他個人及付款資料)、文件或自我證明。在法律容許的範圍內, 本人/我們同意, 豁免免妨礙基金/基金經理遵守AEOI 制度或任何其他適用法例的任何司法權區的任何資料保護、私隱、銀行保密的條文或其他法例或規例及/或任何保密協議、安排或諒解的條款, 包括但不限於本人/我們提供任何所要求的資料及/或文件。就本人/我們因基金/基金經理為遵守AEOI制度而恰當使用或向任何政府機關披露上述資料或文件或採取或不採取任何行動而蒙受的任何損失、身份、成本或開支, 本人/我們無權向基金/基金經理 (或彼等各自不時的代理) 申索。本人/我們確認, 我們於本認購表格所提供的資料及其他由本人/我們向基金/基金經理提供的資料均屬有效, 且本人/我們亦承諾, 如有關資料有任何更改, 將合理地盡快知會基金/基金經理。

19. I/We, hereby confirm that the Fund(s)/Manager/Trustee and Registrar are each authorised and instructed to accept and execute any instructions including subscription and/or redemption instructions, instructions relating to payment of redemption proceeds, given by me/us by facsimile. I/We acknowledge that facsimile instructions are not a secure means of communication, and are aware of the risks involved. I/We hereby indemnify the Fund(s)/Manager/Trustee and Registrar and agree to keep each of them indemnified, against any loss of any nature whatsoever arising to each of them as a result of any of them acting on facsimile instructions. The Fund(s)/Manager/Trustee and Registrar may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. I/We acknowledge that if I/We request the Trustee and Registrar to pay redemption proceeds to an account or bank the details of which differ from those held on file I/We understand that payment cannot be affected until such time as an original instruction requesting this change is forwarded by me to the Trustee and Registrar, together with any other documentation as may be required by the Trustee and Registrar, including that required for anti-money laundering purposes. Similarly, I/We understand that while an initial application will be actioned upon receipt of a facsimile I/We undertake to confirm this by forwarding an original copy of the completed Application Form used on initial subscription as soon as practicable.
20. I/We acknowledge that due to anti-money laundering requirements operating within their respective jurisdictions, the Fund(s)/Manager, the Trustee and Registrar will require further information or documentation relating to the applicants identity before the application can be processed or redemptions paid. I/We acknowledge that the Fund(s)/Manager/Trustee and Registrar may revoke my/our application, return all subscription monies and/or refuse to issue Units or refuse to process redemption requests if there has been any delay and/or failure by me/ us to provide the Trustee and Registrar with all the information and documentation requested by the Trustee and Registrar to verify, among others, my/ our identity. Furthermore, I/We acknowledge that subsequent subscriptions for Units may not be processed until the original Application Form and all anti-money laundering documentation have been received from me / us. I/We agree to indemnify and hold harmless the Fund(s)/ Manager/Trustee and Registrar against any loss arising due to the failure to process this application or request for redemption if such information and documentation as has been requested by any of the said parties has not been provided by me/us.
21. I/We understand that redemption payment instructions sent by telegraphic transfer to my/our designated account in my/our name are sent at my/our risk insofar as the onus to provide bank account details rests solely on me/us.
22. I/We declare that the completed data in this Form remains valid, until my/our notification to the Fund(s)/Manager/Trustee and Registrar on any changes.
23. I/We confirm that I/We have read the Offering Document, as applicable for the Fund(s) in respect of which application will be made.
24. I/We hereby consent to electronic delivery of notices, communications and reports to the e-mail address provided in this Form ("Internet Communications"). I/We acknowledge that it is not possible to secure and maintain confidential Internet Communications, that any such Internet Communications can be delivered to a wrong address or that delivery of the same may not be timely, that any such Internet Communications are capable of being intercepted by third parties at any time and accordingly that the confidentiality, security and integrity of any Internet Communications cannot be assured. I/We shall not hold the Fund(s)/Manager/Trustee and Registrar or any director, officer, employee or agent thereof, liable now or at any time for any damage, financial or otherwise, which I/We may suffer as a result of any of the matters outlined above with respect to any Internet Communications effected between the Fund(s) or the Trustee and Registrar and me/ us or otherwise by reason of any third party receiving, gaining access to, obtaining, altering or distorting any information or documentation transmitted via Internet Communications or by reason of any other inaccuracy, imperfection, lack of quality, ineffective transmission, delay, alteration or distortion howsoever arising affecting such Internet Communications or in respect of any other document, financial data or other information prepared, circulated, or otherwise processed by the Trustee and Registrar. I/We shall indemnify and keep indemnified the Fund/Manager/Trustee and Registrar or any director, officer, employee or agent thereof against all losses, costs, damages, claim, demands, and expenses (including claims or demands whatsoever taken or made by any internet service provider) which any of them may suffer or incur by reason of sending or dealing with any Internet Communications in respect of me/us.
25. I/We hereby certify that I am/we are aware of the risks involved in the proposed investment as set out in the Offering Document(s).
26. I/We agree that the information supplied on the Application Form and through other (written or oral communications from time to time in connection with my/our subscription for Units or as Unitholder(s) of the Fund(s) including any information which I/We supply, by whatever means, that relates to me/us or a third party individual ("Personal Data") may be held by the Fund(s), the Manager and other relevant service providers appointed in respect of the Fund(s) (including the Trustee and Registrar) and their duly appointed delegates (including their employees, officers, directors or agents) and will be used for the purposes of providing me/us with various services in relation to our Units, including without limitation, matching for the purpose of processing or verifying my/our data, processing my/our subscriptions and investments in the Fund(s), the completion/ maintenance of information on the investor registers, carrying out my/our instructions and/or responding to enquiries purported to be given by me/us on my/our behalf, performance of anti-money laundering, counter terrorist financing and know-your-client checks and related processes, dealing with any matters in relation to my/ our holdings of Units, investor communications (including the mailing and/or emailing of financial reports and notices), and observing any legal, governmental or regulatory requirements of any relevant jurisdictions. All such information may be retained after my/our Units in the Fund(s) have been transferred/redeemed or upon the termination of the relevant Fund(s) in accordance with applicable laws.
27. I/We confirm that all the information made by me/us in this Application Form shall remain valid and I/We also undertake to immediately notify you in writing if there is any change in my/our registration details above in the subsequent years.
28. I/We agree to compensate the Fund(s)/Manager/Trustee and Registrar and their respective agents from time to time for any losses or expenses arising in connection with a breach of the above declarations and agreements and/or my/our actions or failure to provide any information or documents requested by any of them to comply with the AEOI regimes or other laws or regulations.
29. I/We acknowledge that if I/We provide information and documentation that is in any way misleading, or fail to provide the Fund(s)/Manager/Trustee and Registrar and their respective agents with the requested information and documentation necessary in either case to satisfy the obligations of the Fund(s)/ Manager under the AEOI regimes, the Fund(s)/ Manager/Trustee and Registrar reserves the right to take any action and/or pursue such remedies as permitted by law and/or the constitutive documents of the Fund(s), at its disposal.

## INDEMNITY

I/We hereby agree to indemnify and hold harmless each of the Fund(s)/Manager/Trustee and Registrar (each an "Indemnified Party") from any claims, demands, proceedings, liabilities, damages, losses, costs and expenses directly or indirectly suffered or incurred by such Indemnified Party arising as a result of the declaration made herein being untrue or as a result of my/our failure to notify the Fund(s)/Manager/Trustee and Registrar of a change in my/ our status which would render the declaration contained herein untrue subsequent to the date of this declaration.

19. 本人/我們謹此確認，基金/基金經理/受託人及過戶處已各自獲授權及指示，可接納及執行本人/我們以傳真方式發出的任何指示，包括認購及/或贖回指示、有關支付贖回款項的指示。本人/我們承認傳真指示並非安全的通訊方式，亦知悉所牽涉風險。本人/我們謹保證並同意，基金/基金經理/受託人及過戶處任何一方若因為根據傳真指示行事而蒙受任何損失，本人/我們會向彼等作出彌償。基金/基金經理/受託人及過戶處可依賴其真誠相信為真確或經由獲正式授權人士簽署的任何通知、同意、要求、指示或其他文據並視之為定論，且無須就據之行事而承擔任何責任。本人/我們承認，若本人/我們要求受託人及過戶處將贖回款項存入資料有別於記錄在案的賬戶或銀行，本人/我們明白，有關方面在要求此項更改的指示正本（連同受託人及過戶處可能要求（包括反清洗黑錢所需者）的任何其他文件）轉交受託人及過戶處前，均不會將款項存入該賬戶或銀行。同樣，本人/我們明白，儘管有關方面會在收到以傳真提出的首次申請後採取行動，本人/我們，會盡快轉交首次認購時所用的填妥申請表正本以作覆實。

20. 本人/我們承認，基於各自所屬司法權區所推行的針對反清洗黑錢規定，基金/基金經理、受託人及過戶處將要求申請人進一步提交身份證明資料或文件後，方處理申請或支付贖回金額。本人/我們承認，如本人/我們遲交及/或未能向受託人及過戶處提供受託人及過戶處要求的所有資料及文件，以核實（其中包括）本人/我們的身份，基金/基金經理/受託人及過戶處可撤銷本人/我們的申請、退回所有認購款項及/或拒絕發行單位或拒絕處理贖回要求。此外，本人承認，本人/我們提交認購表格正本及所有反清洗黑錢文件前，其後單位申請可能不獲處理。本人/我們同意，基金/基金經理/受託人及過戶處若因本人/我們並未提供任何一方所要求的資料及文件而未能辦理或贖回要求申請以致蒙受任何損失，本人/我們保證上述各方不受影響並向彼等作出彌償。

21. 本人/我們明白其須承擔以電匯方式匯往本人/我們的指定戶口的贖回付款指示的風險，而本人/我們須對提供銀行戶口詳情承擔全部責任。

22. 本人/我們聲明，在本表格內所填寫的資料將屬正確，如有任何更改，本人/我們會立即通知基金/基金經理/受託人及過戶處。

23. 本人/我們確認，惟本人/我們會閱讀適用於所認購基金的發售文件。

24. 本人/我們謹此同意通知、通訊及報告以電子形式發送至於本表格提供的電郵地址（「互聯網通訊」）。本人/我們承認，不可能保證及維持互聯網通訊的機密；任何該等互聯網通訊均可能發送至錯誤的地址或未能準時發送；任何該等互聯網通訊可隨時被第三方截取，故此不能保證任何互聯網通訊的機密性、安全性及完整性。本人/我們現時或於任何時候，均不會對本人/我們因基金或受託人及過戶處與本人/我們之間的任何互聯網通訊，因上述任何事件，或因任何第三方收取、打開、取得互聯網通訊、修改或篡改經互聯網通訊傳送的任何資料或文件，或因任何其他不論如何導致的不準確、不完整、不完善、無效的傳送、延誤、修改或篡改而對有關互聯網通訊造成影響，或受託人及過戶處編製、發放或以其他方式處理的任何其他文件、財務資料及其他資料而蒙受的任何損害、財務或任何其他性質的損害，要求基金/基金經理/受託人及過戶處或其任何董事、高級職員、僱員或代理負責。就基金/基金經理/受託人及過戶處或其任何董事、高級職員、僱員或代理若因向本人/我們發出或處理任何互聯網通訊以致面臨的一切損失、法律費用、損害賠償、索償、要求及法律支出（包括任何互聯網服務供應商所採取或作出的任何索償或要求），本人/我們保證上述各方不受影響並向彼等作出彌償。

25. 本人/我們謹此證明，本人/我們知悉發售文件所載的建議投資所涉及之風險。

26. 本人/我們同意，本認購表格所提供的資料及透過其他（書面或口述）的通訊方式不時就本人/我們認購單位或作為基金的單位持有人所提供的資料（包括以任何方式提供與本人/我們或第三方個人有關的任何資料（「個人資料」））可由基金、基金經理及其他就基金所委任的相關服務供應商（包括受託人及過戶處）及其正式委任的代表（包括其僱員、高級職員、董事或代理）持有，並將用於向本人/我們提供有關我們的單位的各項服務，包括但不限於為處理或核實本人/我們的資料的配對、處理本人/我們對基金的認購及投資、完成/保存投資者名冊上的資料、執行本人/我們的指示及/或回覆據稱由本人/我們代表本人/我們發出的查詢、執行反洗黑錢、反惡意融資及認識客戶檢查及相關過程、處理任何與本人/我們持有單位相關的事宜、投資者通訊（包括郵寄及/或電郵財務報告及通告），及遵守任何相關司法管轄權區的任何法律、政府或監管規定。所有該等資料或會於本人/我們的基金單位被轉讓/贖回後或於相關基金終止後根據適用法律予以保留。

27. 本人/我們確認，本人/我們於本認購表格所提供的一切資料均屬有效，且本人/我們亦承諾，如上述本人/我們的登記資料於日後有任何更改，將立即以書面方式通知閣下。

28. 就因違反上述聲明及協議及/或本人/我們的行動或未能提供基金/基金經理/受託人及過戶處及彼等各自不時的代理任何一方為遵守AEOI制度或其他法例或規例而要求的任何資料或文件而產生的損失或開支，本人/我們同意向彼等作出賠償。

29. 本人/我們承認，倘本人/我們提供的資料及文件在任何方面誤導或未能向基金/基金經理/受託人及過戶處及其各自代理提供要求的為履行基金/基金經理於AEOI制度下責任所需資料及文件，則基金/基金經理/受託人及過戶處保留權利：採取任何行動及/或採取其可採取的法律及/或基金組成文件容許的補救方法。

## 賠償保證

本人/我們茲同意，基金/基金經理/受託人及過戶處（各為「獲彌償保障者」）若因本表格內所作聲明有失實之處或聲明日期後基金/基金經理/受託人及過戶處未獲本人/我們通知情況變更而導致本表格所載聲明變為失實而直接或間接引起的任何索償、要求、訴訟、法律責任、損害賠償、損失、開支及費用，本人/我們保證向獲彌償保障者作出賠償，並使之免受損失。

## DIRECT MARKETING 直銷

(For companies and other recognised legal entities)

I/We agree that the information supplied on the Application Form and otherwise from time to time in connection with my/our subscription for Units in the Fund(s) may also be used to provide a marketing database for product and market research or to provide information for the despatch of information on other products or services to me/us from members of the First Sentier Investors Group (the "Group"), which may contact me/us by post, telephone, facsimile, e-mail or other available method for such purposes. I/We hereby acknowledge that I/we am/are aware that I/we have the right to revoke any consent to the use of my/ our information for the purposes set out in this paragraph by notice in writing to the Data Protection Officer.

(就公司及其他認可法人實體而言)

本人/我們同意，認購表格所提供的資料及有關本人/我們認購基金單位不時提供的資料可被用於產品的市場推廣資料庫及市場研究用途，或用作首源投資集團（「貴集團」）的成員公司以郵遞、電話、傳真、電郵或其他方法就有關用途向本人/我們派發產品或服務資料之用。本人/我們謹此承認，本人/我們知悉本人/我們有權向資料保障主任發出書面通知以撤銷有關就本段所載的目的使用本人/我們的資料的同意。

(For individual applicants only)

I/We confirm that I/we have carefully reviewed and understood the Personal Information Collection Statement set out in Appendix A of the Application Form including that my/our Personal Data may be used by the Group for direct marketing purposes.

(僅就個人申請人而言)

本人/我們確認，本人/我們已細閱及了解認購表格附錄甲所載的個人資料收集聲明，包括本人/我們的個人資料可被貴集團用作直銷用途。

Please tick ("✓") the box below (as appropriate) if you do not wish your Personal Data to be used in direct marketing:

如閣下不欲將個人資料用作直銷用途，則可於下列方格內填上✓號（如適用）

I do not wish my/our Personal Data to be used by the Group for direct marketing purposes.

本人不欲本人/我們的個人資料被貴集團用作直銷用途。

## SIGNATURE(S) 簽署

Acknowledgement by client:

- I/we have received, read and understood the Offering Document, Risk Disclosure Statement contained in this Application Form, and I/We have also been invited to ask questions and take independent advice in respect of any questions I may have.
- I/We understand that investment involves risks.
- I/We accept and understand the "Notes" and "Personal Information Collection Statement" within this Application Form.
- I/We hereby make all the declarations listed under "Declarations" within this Application Form.
- All joint-name applicants must sign this Form. A corporation should sign under the hand of a duly authorized official.

客戶確認：

- 本人已接獲、閱讀及了解發售文件、本申請表格的風險披露聲明；而本人已獲邀請提出問題，以及就本人可能存有的任何問題尋求獨立意見。
- 本人/我們明白投資涉及風險。
- 本人/我們接受及明白本認購表格的「附註」及「個人資料收集聲明」。
- 本人/我們現作出本認購表格的所有「聲明」。
- 所有聯名申請人均須簽署本表格。公司應由正式獲授權的高級職員親筆簽署。

### For joint-name holders (if applicable)

We, having applied to be registered joint-name holders, hereby authorise the Fund(s)/Manager/Trustee and Registrar (as the case may be) of the relevant Fund(s) to act or rely on any redemption/switching requests or other instructions of any kind whatsoever in relation to our holdings of any or all the Units registered in our joint names which redemption/switching requests or other instructions have been signed by

聯名持有人（如適用）：

經申請成為登記聯名持有人後，我們謹此授權基金/基金經理/有關基金的受託人及過戶處（視情況而定）採取行動或依賴任何贖回/轉換要求或有關我們以共同名義登記的任何或全部單位的任何其他指示，而贖回/轉換要求或其他指示已由

any one of our signatory

all signatories

我們任何一人簽署

所有人簽署

This authorisation shall remain in force until notice of revocation thereof by us in writing is received by the Fund(s)/Manager/Trustee and Registrar (as the case may be) and all other relevant parties.

是項授權將一直有效，直至基金/基金經理/受託人及過戶處（視情況而定）及所有其他有關各方接獲我們的書面撤銷通知為止。

1<sup>st</sup> Applicant 第一申請人

2<sup>nd</sup> Applicant 第二申請人

Corporate Applicant 公司申請人

Agent's Stamp 代理人蓋章

Signature 簽署

Signature 簽署

Signature & Chop 簽署及蓋章

Date 日期 \_\_\_\_\_



The Declaration below should **ONLY BE COMPLETED AND SIGNED IF THE INVESTOR IS NOT** an Institutional Professional Investor or a Corporate Professional Investor (as defined under the Securities and Futures Ordinance in HK) which have passed the CPI Assessment.

### Declaration by First Sentier Investors (Hong Kong) Limited's licensed representative:

I have provided the applicant(s) a copy of the Offering Document(s) and the Risk Disclosure Statement contained in this Application Form, and have invited the applicant(s) to read the Risk Disclosure Statement, ask questions and take independent advice in respect of any questions the applicant(s) may have.

[to be signed and date by the licensed representative] 【由持牌代表簽署及註明日期】

Name & Signature 名稱及簽署

CE no. 中央編號

Date 日期

## APPENDIX A 附錄甲

### PERSONAL INFORMATION COLLECTION STATEMENT

(only applicable to subscribers who are individuals)

#### A. Introduction

This Personal Information Collection Statement ("PICS") sets out the manner and purposes of the collection of your Personal Data in connection with the Application Form.

#### B. Definitions

Terms used herein unless otherwise defined shall have the same meaning as in the Application Form. The terms "we", "us" and "our" used in this PICS shall mean members of the Group.

#### C. Use of Personal Data and Direct Marketing

- Your Personal Data supplied on the Application Form and otherwise from time to time may be used for the purposes set out in the Application Form. In addition, we may use your Personal Data in the direct marketing of one of more of the following products and/or services provided/offered by us:
  - collective investment schemes managed, advised, distributed or promoted by us;
  - asset management, investment advisory, wealth management or any other investment related services;
  - other investment opportunities; and
  - any other financial or investment products or services (collectively referred to as "Direct Marketing Purposes").
- Provision of the Personal Data is voluntary. However, failure to supply the Personal Data may result in us or the service providers of the Fund(s) being unable to accept and/or process your application for Units or to provide the related services in connection with your subscription for Units and/or as Unitholder(s) of the Fund(s).
- Your Personal Data supplied on the Application Form and from time to time including your name, address, telephone numbers, facsimile numbers, e-mail address and other contact details and information may be used for the purposes set out in paragraph 1 above.
- We may not use your Personal Data for Direct Marketing Purposes unless we have received your consent for such use.
- You may, at any time and without charge, request that we cease using your Personal Data for Direct Marketing Purposes by writing to our Data Protection Officer at Level 6, Three Exchange Square, 8 Connaught Place, Central, Hong Kong.**

#### D. Transfer of Personal Data for Use in Direct Marketing

We may not provide your Personal Data to third party companies in the wealth management industry including, but not limited to, financial advisers, brokers, custodians, and administrators the ("Transferred Data Users") for use by the Transferred Data Users in direct marketing unless we have received your consent for such provision.

#### E. Access to Personal Data

- Under the Personal Data (Privacy) Ordinance of Hong Kong (as amended from time to time) ("Ordinance"), you are entitled to request us to:
  - respond to you as to whether we hold any of your Personal Data and provide access to such data;
  - correct any Personal Data relating to you which is inaccurate;
  - describe our policies and practices in relation to Personal Data and inform you of the kinds of Personal Data held by us.In accordance with the terms of the Ordinance, we have the right to charge a reasonable fee for the processing of any data access or correction request.
- Requests for access to and/or correction of the Personal Data and/or for information concerning our policies and practices and the kinds of Personal Data held by us are to be addressed in writing to our Data Protection Officer at Level 25, One Exchange Square, 8 Connaught Place, Central, Hong Kong.

以下聲明僅於投資者並非機構專業投資者或已通過法團專業投資者評估的法團專業投資者（定義見香港證券及期貨條例）的情況下須予填妥及簽署。

### 首源投資（香港）有限公司持牌代表的聲明：

本人已向申請人提供一份發售文件，以及本申請表格所載的風險披露聲明，並邀請申請人閱讀風險披露聲明，提出問題，以及就申請人可能存在的任何問題尋求獨立意見。

### 個人資料收集聲明

(僅適用於個別認購人士)

#### A. 簡介

本個人資料收集聲明載列就認購表格收集閣下的個人資料的方式及用途。

#### B. 釋義

除非另有界定，否則本聲明內所用詞彙與認購表格所用的詞彙具有相同涵義。本個人資料收集聲明所用的「我們」及「我們的」均指本集團的成員公司。

#### C. 使用個人資料及直銷

- 閣下於認購表格所提供的個人資料及不時所提供的個人資料可能會被用作認購表格的用途。此外，我們可能將閣下的個人資料用作下列由我們所提供/給予的一項或多項產品及/或服務的直銷用途：
  - 由我們管理、建議、分銷或推廣的集體投資計劃；
  - 資產管理、投資諮詢、財富管理或任何其他投資相關的服務；
  - 其他投資機會；及
  - 任何其他金融或投資產品或服務（統稱為「直銷用途」）。
- 個人資料的提供屬自願性質，惟倘未能提供所需個人資料，則可能導致我們或基金的服務供應商無法接納及/或處理閣下的單位申請，亦未能就閣下認購單位及/或作為基金的單位持有人向閣下提供相關服務。
- 閣下於認購表格所提供的個人資料及不時所提供的個人資料（包括姓名、地址、電話號碼、傳真號碼、電郵地址及其他聯絡方式及資料）可能會被用作上文第1段所載的用途。
- 於未經閣下同意的情况下，我們不可將閣下的個人資料用作直銷用途。
- 閣下可隨時以書面方式向資料保障主任（地址為香港中環康樂廣場八號交易廣場第三座六樓）要求我們終止使用閣下的個人資料作直銷用途，且毋須支付任何費用。

#### D. 轉移個人資料以用於直銷

除非我們已得到閣下的同意，否則我們不會向財富管理業內的第三方公司（包括但不限於財務顧問、經紀、託管人及行政代理人（「轉讓資料使用者」））提供閣下的個人資料以供其用作直銷用途。

#### E. 取得個人資料

- 根據香港個人資料（私隱）條例（經不時修訂）（「條例」），閣下有權要求我們：
  - 回覆閣下我們是否持有閣下任何的個人資料及讓閣下查閱有關資料；
  - 更正任何有關閣下的不準確個人資料；
  - 指出我們有關個人資料的政策及慣例，以及通知閣下我們所持個人資料的類別。根據條例的條款，我們有權就處理任何查閱或更正資料的要求收取合理費用。
- 如閣下要求查閱及/或更正個人資料及/或要求取得有關政策及慣例的資料及我們所持有的個人資料類別，則可以書面方式向資料保障主任提出，地址為香港中環康樂廣場八號交易廣場第一座二十五樓。

## RETURN THE FORM TO 表格交回

**HSBC Institutional Trust Services (Asia) Limited**  
**3/F Tower 2 & 3, HSBC Centre**  
**1 Sham Mong Road**  
**Kowloon, Hong Kong**  
**Attention: Transfer Agency**  
**Fax: (852) 3409 1062**

Note:  
Certified true copy is accepted from an independent suitable certifier, such as director or officer of an intermediary (an authorised institution or licensed corporation) or other professional person such as certified public accountant, lawyer, notary public or chartered secretary. The certifier should sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity. The certifier must indicate that the document is a true copy of the original and that the photo is a true likeness of the individual. Where documents are not in English, a notarised translation is required.

**滙豐機構信託服務（亞洲）有限公司**  
**香港九龍**  
**深旺道1號**  
**滙豐中心2&3座3樓**  
**收件人：過戶代理**  
**傳真：(852) 3409 1062**

附註：  
接納來自合適的獨立認證人（例如中介機構（認可機構或持牌法團）的董事或高級職員或其他專業人士（例如職業會計師、律師、公證人或持許秘書）的正本的經認證副本。認證人應簽署副本文件並註明日期（於下方以正楷清楚地列印其姓名）及註明其職務或身份。認證人須表明文件是正本的真實副本，及相片反映個人的真實樣貌。如文件並非英文，須提供經公證的譯本。