

## 認購表格

## First Sentier Investors Global Umbrella Fund plc (“Company”)

## 首源投資環球傘子基金有限公司（「本公司」）

## (an umbrella fund with segregated liability between sub-funds) (子基金互相獨立的傘子基金)

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, and a “Fund” shall mean a sub-fund of the Company. 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，而「基金」則指本公司的子基金。

Terms defined in the Offering Documents in relation to the Company shall, unless the context requires otherwise, bear the same meaning herein. 除文義另有所指外，發售文件內就本公司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，該金融產品必須是我們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。本協議的其他條文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 HSBC Institutional Trust Services (Asia) Limited (Hotline: (852) 2269 2571 or Email: firstsentierqueries@hsbc.com) 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滙豐機構信託服務（亞洲）有限公司（熱線：(852) 2269 2571 或電郵：firstsentierqueries@hsbc.com）。

## 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)**

<b>Source of Wealth (Total assets)</b> 財富來源(總資產)  <i>(you may choose more than one)</i> <i>(可選擇一個或以上)</i>	<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** \_\_\_\_\_ **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** \_\_\_\_\_

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

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

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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)**	

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\* 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**

<b>Source of Funds (to be invested)</b> 投資資金來源  <i>(you may choose more than one)</i> <i>(可選擇一個或以上)</i>	<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)**

<p><b>Source of Wealth (Total assets)</b> 財富來源 (總資產)</p> <p><i>(you may choose more than one)</i> <i>(可選擇一個或以上)</i></p>	<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 僅適用於公司申請人**

**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)。

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. 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 (other than Reporting Model 1 Financial Institutions) 已註冊的視作合規海外金融機構 (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 no, 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 (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 NFFE as defined in FATCA)

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)

Yes 是  No 否

If yes, please proceed to section F, Common Reporting Standard. If no, is your entity's primary business activity investing?

如是，請繼續填寫以下 F 節共同申報準則。如否，閣下的實體是否以投資作為主要業務？

Yes 是  No 否

Select "Yes" if: 如為下列者，請選擇「是」：

- 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?

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

Yes 是  No 否

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 or 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

<p><b>Source of Funds (to be invested)</b> 投資資金來源</p> <p>(you may choose more than one) (可選擇一個或以上)</p>	<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):
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## Source of Wealth (Total assets) 財富來源 (總資產)

<b>Source of Wealth (Total assets)</b> 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): _____
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## SUBSCRIPTION DETAILS 認購詳情

Applicants wishing to purchase Shares in a Fund 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 Company. 申請人茲根據本公司的發售文件，按本次認購時接納的價格購買基金的股份。

Name of Fund 基金名稱

Currency / Amount 貨幣/款額

_____	_____
_____	_____
_____	_____

## PAYMENT METHOD 付款辦法

Telegraphic Transfer 電匯

Correspondent Bank 代理銀行				Beneficiary Bank 收款銀行			
Currency 貨幣	Name 名稱	Swift Code Swift 代碼	ABA Code ABA 代碼	Name 名稱	Swift Code Swift 代碼	Beneficiary Name 收款人名稱	IBAN IBAN
USD 美元	HSBC Bank USA, N.A.	MRMDUS33	021001088	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs USD HBCE IE	FR7630056005480548003098473
AUD 澳元	HSBC Bank Australia Ltd	HKBAU2SSYD		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs AUD HBCE IE	FR7630056005480548003104293
CHF 瑞士法郎	Credit Suisse Schweiz	CRESCHZZ80A		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs CHF HBCE IE	FR7630056005480548003106815
Euro 歐元				HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs EUR HBCE IE	FR7630056005480548003100122
GBP 英鎊	HSBC Bank plc, London	MIDLGB22		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs GBP HBCE IE	FR7630056005480548003099734
HKD 港元	HSBC Hong Kong	HSBCHKHCHKH		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs HKD HBCE IE	FR7630056005480548003102741
JPY 日圓	Hong Kong & Shanghai Banking Corp Tokyo	HSBCJPJT		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs JPY HBCE IE	FR7630056005480548003101480
RMB 人民幣	HSBC Hong Kong	HSBCHKHCHKH		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs RMB HBCE IE	FR7630056005480548003109628
SGD 新加坡元	HSBC Singapore	HSBCSGSG		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs SGD HBCE IE	FR7630056005480548003108367
SEK 瑞典克朗	SEB Stockholm	ESSESESS		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs SEK HBCE IE	FR7630056005480548003110792
CAD 加元	HSBC Bank Canada	HKBCCATT		HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs CAD HBCE IE	FR7630056005480548003105554

## PAYMENT OF REDEMPTION PROCEEDS 支付贖回款項

All proceeds of redemptions of Shares will be paid directly to the following account unless contrary instructions are given at the time of redemption. This instruction applies to all Shares in any First Sentier Funds of the Company acquired at any time.

除非在作出贖回指示時另作付款安排，所有贖回股份之所得款項將直接付予以下銀行賬戶。此授權適用於所有任何時候買入任何首源基金的股份。

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 Shareholders 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，所有登記股份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 Shares. Redemption proceeds will only be returned to an account held in the name of the registered Shareholder(s). No third party payments will be made.

如無指示，將以有關股份之計算貨幣支付。贖回所得款項僅會退回以登記股東名稱持有的戶口。概不作任何第三方付款。

**Currency of payment 支付貨幣:**  USD 美元  AUD 澳元  CHF 瑞士法郎  EURO 歐元  GBP 英鎊  HKD 港元  JPY 日圓  RMB 人民幣 \*  SGD 新加坡元

**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** \_\_\_\_\_

\*Not available for Hong Kong retail investors 不供香港散戶投資者使用



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

Note that not all Funds issue distributing Shares – please refer to the Offering Document(s) in relation to the Company.

並非所有基金均設有派息股份，詳情請參閱有關本公司的發售文件。

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

如申請人選擇不填妥以下部分，所有基金所派發的收益（如有）將自動再投資於同一基金的同類別股份。若閣下填妥以下部分，但未填上貨幣，則以該股份類別的標值貨幣為準。若閣下選擇與該股份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 Shareholders 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，所有登記股東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 將收益再投資於同一基金的同類別股份

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

**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), Types 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 re-issue 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. Please refer to the Offering Document(s) for the minimum initial subscription, minimum holdings and currency for the Fund and Share Class you are subscribing to.
6. The total money due and the completed Application Form should be returned to the dealing office in Hong Kong through which your application was passed. On acceptance of your application, a subscription contract or contract note showing the number and class of Shares allocated and the total money due will be sent to you.
7. The Company / Manager / Fund / Investment 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 Shares 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 Share.
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 Company / Manager / Fund / Investment Manager to collect and/or disclose certain information about each investor and certain related persons and their investments in the Fund 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 Company / Fund / Investment 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.

## DECLARATIONS

14. 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 Company and the material contracts disclosed in the Offering Document(s).
15. I / We hereby undertake and agree to accept any number of Shares in respect of which this Application may be accepted. I / We understand that the Company / Manager / Investment Manager reserves the right to restrict or prevent the ownership of Shares by any person, firm or corporation including but not limited to the circumstances outlined in the Offering Document(s).
16. Furthermore I / We acknowledge that the Manager reserves the right to reject at its absolute discretion any application for Shares in a Fund.
17. 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 Shares which I / We may purchase to any person who is a United States Person.
18. Unless otherwise specified I / We are not a "Specified United States Person" under the tax laws of the U.S.\*\*\* or a non-U. 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 purposes 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 Shares which I / We may purchase to any person who is Specified United States Person.
19. I / We are not a person resident or otherwise located in Canada.
20. I / We confirm that I / We have the authority to make the investment pursuant to this Form whether the investment is my / our own name or is made on behalf of another person or institution.
21. I / We confirm that I / We am/are 18 years of age or over.
22. 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.
23. 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 the Company, the Manager, the Administrator and Registrar (or its delegate) and the Hong Kong Representative including all documentation required for anti-money laundering purposes has been received by the Administrator.
24. I / We declare that I / We am / are / will not, by virtue of this application or the holding of any Shares, be in breach of the laws and regulations of any competent jurisdiction and agree that if this holding could, in the opinion of the Directors / Manager / Investment Manager cause the Fund some financial, legal or fiscal disadvantage to indemnify the Company / Manager / Directors / Investment Manager, the Depository, the Administrator and Registrar (or its delegate), the Hong Kong Representative (as the case may be) and the Shareholders of the Fund(s) for any loss suffered by them as a result of my / our acquiring or holding Shares.
25. Applicable to joint-name holders: I / We direct that on the death of one of us the Shares 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.
26. I / We agree (i) to provide such representations at such times as the Company / Manager / Investment Manager may reasonably request, and (ii) to provide on request such certifications, documents or other evidence as the Company / Manager / Investment Manager may reasonably require to substantiate such representations.
27. I / We agree to provide on request in a timely manner any information or documentation in relation to myself/ ourselves as the Company / Manager / Fund / Investment Manager and their respective agents/ delegate 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 prevent the withholding of tax under the AEOI regimes.
28. I / We agree to notify the Company / Manager / Investment Manager 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 Company / Manager / Fund / Investment Manager for redemption a sufficient number of Shares as required by the Company.
29. I / We understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in the Fund by me / us shall be governed by them.
30. I / We acknowledge that the Company may, in accordance with the provisions of the Prospectus compulsorily redeem my / our Shares in the Fund(s) if I / We acquire or are holding such Shares in breach of the requirements or in the circumstances detailed in the Prospectus 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 Company and agree that the Company / Manager / Investment Manager shall not assume liability for any losses arising from a compulsory redemption of any of my / our Shares in the Fund.
31. I / We hereby authorise the Company / Manager / Fund / Investment Manager and their respective agents to disclose to any relevant tax authority, competent department or authority of the government or administration of Ireland and 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 Company / Manager / Fund / Investment 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 Company / Manager / Fund / Investment 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 Company / Manager / Fund / Investment 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 Company / Manager / Fund / Investment 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 Company / Manager / Fund / Investment Manager shall remain valid and I / We also undertake to immediately notify the Company / Manager / Fund / Investment 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 (全部或部份)。
  3. 應付首源投資 (香港) 有限公司之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。買賣證券未必一定能夠賺取利潤, 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通用法律及規例所監管的。這些法律及規例與《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. 有關閣下認購的基金及股份類別的最低初步認購額、最低持股量及貨幣, 請參閱發售文件。
  6. 申請人應將繳款總額及填妥的認購表格交回香港辦事處, 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股份數目及類別以及應繳款總額的認購合約或合約乘據。
  7. 如未獲充足的認購金額, 本公司/基金經理/基金/投資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. 所有股份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。聯名股份持有人最多不得超過四名。
  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. 交易程序以收受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. 若干香港的規例可能規定本公司/基金經理/基金/投資經理收集及/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將與多個司法管轄區為實施稱為綜合組織共同申報準則 (「CRS」) 的類似制度而簽訂的多邊協議 (CRS 等同 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, 本公司/基金/投資經理可能有日後的責任。所有有意投資人士應就在 AEOI 制度下投資基金的可能後果及分類諮詢本身的顧問。
- ## 聲明
14. 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, 並須受貴公司的成立文件以及發售文件內所披露各重大合約的條文所規限。
  15. 本人/我們謹承諾及同意接納本次申請所能獲接受的股份數目。本人/我們明白貴公司/基金經理/投資經理保留權利, 可限制或防止任何人士、商號或公司擁有股份, 包括 (但不限於) 發售文件所概述的情況。
  16. 此外, 本人/我們承認基金經理保留權利, 可全權酌情拒絕基金股份的任何申請。
  17. 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/我們亦不擬將本人/我們可能購得的任何股份出售或轉讓予任何美國人士。
  18. 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則) 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/我們可能購得的重大任何股份出售或轉讓予身為特定美國人士的任何人士。
  19. 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。
  20. 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/我們本身名義的投資或代表另一名人士或機構所作出的投資。
  21. 本人/我們確認, 本人/我們已年滿 18 歲。
  22. 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項退還本人/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。
  23. 本人/我們承認, 所有贖回款項須待行政管理人接獲首次認購所用認購表格正本, 連同貴公司、基金經理、行政 管理人及過戶處 (或其代表) 及香港代表要求的所有文件, 包括一切反清洗黑錢文件後方會支付。
  24. 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股份而違反任何擁有合法管轄權的司法管轄區的法律及規例, 並同意若董事、基金經理、投資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, 會就貴公司/基金經理、董事、投資經理、保管人、行政管理人及過戶處 (或其代表)、香港代表 (視乎情況而定) 及基金的股東因本人/我們購入或持有股份而蒙受的損失而作出彌償。
  25. 適用於聯名持有人: 本人/我們指示若我們其中一人去世, 我們共同申請的股份將由尚存者、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。
  26. 本人/我們同意: (i) 於貴公司/基金經理/投資經理要求的可能合理要求的陳述, 及 (ii) 應貴公司/基金經理/投資經理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。
  27. 本人/我們同意應要求及時提供貴公司/基金經理/基金/投資經理及其各自代理/代表為遵守任何適用的法例、規例、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。
  28. 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/我們會立即知會貴公司/基金經理/投資經理, 並立即同意就貴公司所需贖回足夠數目的股份售予或交回貴公司/基金經理/基金/投資經理。
  29. 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股份作出的一切認購均受其監管。
  30. 本人/我們承認, 倘本人/我們購買或正持有的有關股份違反基金章程所詳述的規定或情否為本人/我們投資時或其後), 則貴公司可根據章程的條款強制贖回本人/我們於基金的股份; 及本人/我們承諾遵守及受貴公司所作出的任何有關決定所約束, 並同意貴公司/基金經理/投資經理毋須就強制贖回本人/我們於基金的任何股份所造成的任何損失承擔責任。
  31. 本人/我們謹此授權貴公司/基金經理/基金/投資經理及其各自代理向愛爾蘭及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/我們向貴公司/基金經理/基金/投資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, 豁免會妨礙貴公司/基金經理/基金/投資經理遵守 AEOI 制度或任何其他適用法例的任何司法管轄區的任何資料保護、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/我們向貴公司/基金經理/基金/投資經理為遵守 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、責任、成本或開支, 本人/我們無權向貴公司/基金經理/基金/投資經理 (或彼等各自不時的代理) 索賠。本人/我們確認, 我們於本認購表格所提供的一切資料及其他由本人/我們向貴公司/基金經理/基金/投資經理提供的資料均屬有效, 且本人/我們亦承諾, 如有資料有任何更改, 將合理地盡快知會貴公司/基金經理/基金/投資經理。



32. I/We, hereby confirm that the Company, the Directors, the Manager, the Administrator and Registrar, its delegate, the Investment Manager and the Hong Kong Representative 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 Company, the Directors, the Manager, the Administrator and Registrar (or its delegate), the Investment Manager and the Hong Kong Representative 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 Company, the Directors, the Manager, the Administrator and Registrar (or its delegate), the Investment Manager and the Hong Kong Representative 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 Administrator and Registrar (or its delegate) and the Hong Kong Representative 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 Administrator and Registrar (or its delegate), its delegate and the Hong Kong Representative, together with any other documentation required by the Administrator and Registrar (or its delegate), including that required for anti-money laundering purposes. Similarly, I/We understand that while an original 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.
33. I/We acknowledge that due to anti-money laundering requirements operating within their respective jurisdictions, the Company / Manager / Investment Manager / the Hong Kong Representative / the Administrator and Registrar (or its delegate) and Registrar will require further information or documentation relating to the applicants identify before the application can be processed or redemptions paid. I/We acknowledge that the Company, the Manager, the Administrator and Registrar (or its delegate) and the Investment Manager may revoke my / our application, return all subscription monies and/or refuse to issue Shares or refuse to process redemption requests if there has been any delay and/or failure by me / us to provide the Administrator and Registrar (or its delegate) with all the information and documentation requested by the Administrator and Registrar (or its delegate) to verify, among others, my / our identity. Furthermore, I/We acknowledge that subsequent subscriptions for Shares 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 Company / Manager / Investment Manager, the Administrator and Registrar (or its delegate) and the Hong Kong Representative 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.
34. 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.
35. I/We declare that the completed data in this Form remains valid, until my / our notification to the Company / the Manager / Investment Manager of any changes.
36. 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.
37. 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 Company / Directors / the Manager / Investment Manager / the Administrator and Registrar (or its delegate) / the Hong Kong Representative 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 Company, the Manager or the Administrator and Registrar (or its delegate) 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 Administrator and Registrar (or its delegate). I/We shall indemnify and keep indemnified the Company / Manager / Directors / Investment Manager / the Administrator and Registrar (or its delegate) / the Hong Kong Representative 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.
38. 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).
39. 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 Shares or as Shareholder(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 Company, the Manager, the Fund(s), the Investment Manager, the Sub-Investment Managers, the Hong Kong Representative and other relevant service providers appointed in respect of the Company and/or the Fund(s) (including the Manager, Depository, the Administrator and Registrar (or its delegate) 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 Shares, 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 Shares, 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. I/We agree that the Administrator and Registrar (or its delegate) may process my/our personal data for the purposes of providing services to the Company, the Manager and the Fund(s), performing its legal and regulatory obligations and conducting financial crime risk management and other activities, including disclosing those data to the Company, the Manager and the Fund(s) and to third parties and transferring them internationally. All such information may be retained after my / our Shares in the Fund(s) have been transferred/redeemed or upon the termination of the relevant Fund(s) and / or the Company in accordance with applicable laws.
40. 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.
41. I/We agree to compensate the Company / Manager / Directors / Investment Manager / the Depository / the Administrator and Registrar (or its delegate), the Hong Kong Representative (as the case may be) and their respective agents/delegates 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.
42. I/We acknowledge that if I/We provide information and documentation that is in any way misleading, or fail to provide the Company / Manager / Fund / Directors / Investment Manager/the Depository /the Administrator and Registrar (or its delegate) the Hong Kong Representative (as the case may be) and their respective agents/delegates with the requested information and documentation necessary in either case to satisfy the obligations of the Company / Manager / Fund / Investment Manager under the AEOI regimes, the Company / Manager / Fund / Investment Manager reserves the right: to take any action and/or pursue such remedies as permitted by law and/or the constitutive documents of the Company / Fund at its disposal.

#### INDEMNITY

I/We hereby agree to indemnify and hold harmless each of the Company / Manager / Directors / Investment Manager and the Administrator and Registrar (or its delegate) / the Hong Kong Representative (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 Company / Manager / Investment Manager or the Administrator and Registrar (or its delegate) / the Hong Kong Representative of a change in my / our status which would render the declaration contained herein untrue subsequent to the date of this declaration.

#### EU SAVINGS DIRECTIVE REQUIREMENTS (PLEASE TICK IF YOU ARE EU RESIDENT)

##### NATURAL PERSONS

- I/We hereby declare that I/We am/are making this investment on my / our own behalf and not on behalf of any other person or entity.
- I/We acknowledge that I/We will provide a certified copy of our passport or a national identity card which must display a photograph, signature and give details of my / our date and place of birth. We will also provide details of my / our tax identification number if this does not appear on the passport or other identity card provided. These items are in addition to providing one certified proofs of my / our permanent residential address which may be in the form of a utility bill / bank statement which is no more than 3 months old.
- I/We agree undertake to ensure all such information is up to date and will notify the Administrator and Registrar (or its delegate) of any change in the information provided as soon as reasonably possible.
- I/We agree to indemnify and hold harmless the Administrator and Registrar (or its delegate) in its capacity as "Paying Agent" against any loss liability costs or expenses which may be incurred by the Administrator and Registrar (or its delegate) as a result of my / our failure to provide the information required. I/We acknowledge that Shares may not be issued and repurchase proceeds may be frozen until all required information and documentation required by the Administrator and Registrar (or its delegate) pursuant to the EU Savings Directive is provided.

##### LEGAL PERSONS

We hereby declare that we are:-

- a legal person not being an individual and not acting in a representative capacity on behalf of an individual; or
- an entity liable to corporation tax in Ireland or an equivalent tax in another country; or
- an undertaking for collective investment in transferable securities ("UCITS") or have elected for the purpose of the EU Savings Directive to be treated as a UCITS.

32. 本人/我們謹此確認，貴公司、董事、基金經理、行政管理人及過戶處、其代表、投資經理及香港代表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，貴公司、董事、基金經理、行政管理人及過戶處（或其代表）、投資經理及香港代表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。貴公司、董事、基金經理、行政管理人及過戶處（或其代表）、投資經理及香港代表可能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/我們要要求行政管理人及過戶處（或其代表）及香港代表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（連同行政管理人及過戶處（或其代表）可能要求（包括反清洗黑錢所需者）的任何其他文件）轉交行政管理人及過戶處（或其代表）、其代表及香港代表前，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覈。

33. 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，貴公司/基金經理/投資經理/香港代表/行政管理人及過戶處（或其代表）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/或未能向行政管理人及過戶處（或其代表）提供行政管理人及過戶處（或其代表）要求的所有資料及文件，以核實（其中包括）本人/我們的身份、貴公司、基金經理、行政管理人及過戶處（或其代表）及投資經理可撤銷本人/我們的申請、退回所有認購款項及/或拒絕發行股份、單位或拒絕處理贖回要求。此外，本人/我們承認，於本人/我們提交認購表格正本及所有反清洗黑錢文件後，其股份申請可能不獲處理。本人/我們同意，貴公司/基金經理/投資經理、行政管理人及過戶處（或其代表）及香港代表若因本人/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。

34. 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。

35. 本人/我們聲明，在認購表格內所填寫的資料將屬正確，如有任何更改，本人/我們會立即通知貴公司/基金經理/投資經理。

36. 本人/我們確認，本人/我們已閱讀適用於所認購基金的發售文件。

37. 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，故因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/我們因貴公司、基金經理或行政管理人及過戶處（或其代表）與本人/我們之間的任何互聯網通訊，因上述任何事件，或因任何第三方查詢、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，或行政管理人及過戶處（或其代表）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，要求貴公司/董事/基金經理/投資經理/行政管理人及過戶處（或其代表）/香港代表或其任何董事、高級職員、僱員或代理負責。就貴公司/基金經理/董事、投資經理/行政管理人及過戶處（或其代表）/香港代表或其任何董事、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費用），本人/我們保證上述各方不受影響並向彼等作出彌償。

38. 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的風險。

39. 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/我們認購股份或作為基金股東所提供的資料（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」）可由貴公司、基金經理、基金、投資經理、副投資經理、香港代表及其就貴公司及/或基金所委任的相關服務供應商（包括基金經理、保管人、行政管理人及過戶處（或其代表））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股份的多項服務，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、反恐融資及認識客戶檢查及相關過程、處理任何與本人/我們持有股份相關的事宜、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。本人/我們同意，行政管理人及過戶處（或其代表）可出於向貴公司、基金經理及基金提供服務之目的處理本人/我們的個人數據，以履行其法律及監管責任並進行金融犯罪風險管理及其他活動，包括向貴公司/基金經理及基金以及向第三方披露該等數據並對該等數據進行國際傳輸。所有該等資料或會於本人/我們的基金股份被轉讓/贖回後或於相關基金及/或貴公司終止後根據適用法律予以保留。

40. 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貴公司。

41. 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貴公司/基金經理/董事/投資經理/保管人/行政管理人及過戶處（或其代表）、香港代表（視乎情況而定）及彼等各自不時的代理/代表任何一方為遵守 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。

42. 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貴公司/基金經理/基金/董事、投資經理/保管人/行政管理人及過戶處（或其代表）、香港代表（視乎情況而定）及其各自代理/代表提供要求的為履行貴公司/基金經理/基金/投資經理於 AEOI 制度下責任所需資料及文件，則貴公司/基金經理/基金/投資經理保留權利：採取任何行動及/或採取其可採取的法律及/或貴公司/基金組成文件容許的補救方法。

#### 賠償保證

本人/我們茲同意，貴公司/基金經理/董事/投資經理及行政管理人及過戶處（或其代表）/香港代表（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貴公司/基金經理/投資經理或行政管理人及過戶處（或其代表）/香港代表未獲本人/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。

#### 有關歐盟儲蓄指令的規定（歐盟居民請填上「✓」號）

##### 自然人

- 本人/我們謹此聲明，本人/我們乃為本身（而非代任何其他人或實體）作出是項投資。
- 本人/我們承認，本人/我們將會提交護照或國民身份證（該等證件須附有照片與簽名，並載列本人/我們的出生日期和地點的資料）的經認證副本。我們亦會提供本人/我們的稅務編號資料（若提供的護照或其他身份證上未有載列有關資料）。除此等項目外，本人/我們亦須提交一項永久住址的經認證證明（可採用未超過三個月的水電費單/銀行月結單）。
- 本人/我們同意承諾確保所有上述各項均為最新資料，所提交資料如有變：將會在合理範圍內盡早通知行政管理人及過戶處（或其代表）。
- 本人/我們同意，行政管理人及過戶處（或其代表）若因本人/我們未能提交所需資料而導致任何損失、責任、費用或開支，本人/我們須向行政管理人及過戶處（或其代表）（作為「付款代理」身份）作出彌償，並使之免受損失。本人/我們承認，在提交一切所需資料及行政管理人及過戶處（或其代表）依據歐盟儲蓄指令而規定的文件之前，有關方面不會發行股份，亦可暫緩發放贖回所得款項。

##### 法人

我們謹聲明本身乃屬：

- 法人而非個別人士，亦非以個別人士的代表身份行事；或
- 須繳納愛爾蘭企業稅或另一國家等同稅項的實體；或
- 可以轉讓證券為投資對象的集合投資企業（「UCITS」），或已就歐盟儲蓄指令而選擇被視作 UCITS 處理。

若法人未能作出任何上述聲明，請與行政管理人及過戶處（或其代表）聯絡。



If the Legal Person is unable to make any of these declarations please contact the Administrator and Registrar (or its delegate)

**DECLARATION OF RESIDENCE OUTSIDE IRELAND (PLEASE TICK WHERE APPROPRIATE)**

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares. Terms used in this declaration are defined in the Offering Document(s) unless otherwise defined below in the section entitled "Important Definitions". Please tick (a) or (b) as appropriate.

- (a) Declaration on own behalf (\* Delete as appropriate)
- I / We\* declare that I am/we are\* applying for the Shares on my own/our own behalf/on behalf of a company\* and that I am / we are / the company is\* entitled to the Shares in respect of which this declaration is made and that
- I am / we are / the company is\* not currently resident or ordinarily resident in Ireland, and
  - should I / We / the company\* become resident in Ireland I / We\* will so inform you, in writing, accordingly.
- (b) Declaration as Intermediary (\* Delete as appropriate)
- I / We\* declare that I am/we are\* applying for Shares on behalf of persons:
- who will be beneficially entitled to the Shares; and,
  - who, to the best of my / our\* knowledge and belief, are neither resident nor ordinarily resident in Ireland.
- I / We\* also declare that:
- unless I / We\* specifically notify you to the contrary at the time of application, all applications for Shares made by me / us\* from the date of this application will be made on behalf of such persons; and,
  - I / We\* will inform you in writing if I / We\* become aware that any person, on whose behalf I / we\* holds Shares, becomes resident in Ireland.

**IMPORTANT NOTES**

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, this declaration must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If this declaration is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. Applicants who are Exempt Irish Residents should contact the Administrator and Registrar (or its delegate) for the alternative declaration available for Exempt Irish Residents.

**IMPORTANT DEFINITIONS**

- (i) "resident in Ireland" means (a) in the case of an individual, an individual who is resident in Ireland for tax purposes; (b) in the case of a trust, a trust that is resident in Ireland for tax purposes; and (c) in the case of a company, a company that is resident in Ireland for tax purposes.
- An individual will be regarded as being resident in Ireland for a tax year if he/she spends 183 days or more in Ireland in that tax year; or has a combined presence of 280 days in Ireland, taking into account the number of days spent in Ireland in that tax year together with the number of days spent in Ireland in the preceding year. Presence in a tax year by an individual of not more than 30 days in Ireland will not be reckoned for the purpose of applying the two year test. Presence in Ireland for a day means the personal presence of an individual at the end of the day (midnight).
  - A trust will generally be resident in Ireland where all of the trustees are resident in Ireland.
  - A company which has its central management and control in Ireland is resident in Ireland irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in Ireland is resident in Ireland except where (a) the company or a related company carries on a trade in Ireland, and either the company is ultimately controlled by persons resident in EU Member States or, in countries with which Ireland has a double taxation treaty, or the company or a related company are quoted companies on a recognised Stock Exchange in the EU or in a taxation treaty country; or (b) the company is regarded as not resident in Ireland under a double taxation treaty between Ireland and another country. It should be noted that the determination of a company's residence for tax purposes can be complex in certain cases and declarants are referred to the specific legislative provisions which are contained in section 23A Taxes Act.
- (ii) "ordinarily resident in Ireland" means (a) in the case of an individual, an individual who is ordinarily resident in Ireland for tax purposes; (b) in the case of a trust, a trust that is ordinarily resident in Ireland for tax purposes.
- The term "ordinary residence" as distinct from "residence", relates to a person's normal pattern of life and denotes residence in a place with some degree of continuity.
- An individual who has been resident in Ireland for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.
- An individual who has been ordinarily resident in Ireland ceases to be ordinarily resident at the end of the third consecutive tax year in which the individual is not resident. Thus, an individual who is resident and ordinarily resident in the State in 2003 and departs from the State in that year will remain ordinarily resident up to the end of the tax year 1 January, 2006 to 31 December, 2006.
- (iii) "Exempt Irish Resident" means a person who is resident in Ireland or ordinarily resident in Ireland but who is permitted to own Shares under taxation legislation in Ireland or by practice or concession of the Irish Revenue Commissioners without prejudicing the tax status of the Company / Fund / Manager or rendering the Company / Fund / Manager liable to account for tax in Ireland in the event that such a person were to receive a distribution in respect of the Shares or to dispose of the Shares. See the alternative declaration for Exempt Irish Residents for a list of persons who currently qualify as "Exempt Irish Residents".
- (iv) An "intermediary" means a person who: carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in Ireland on behalf of other persons; or holds Shares in an investment undertaking on behalf of other persons.

**在愛爾蘭境外居住的聲明 (如適用請填上「✓」號)**

愛爾蘭稅務局長規定，凡於愛爾蘭境外居住的申請人均須按其認可格式作出以下聲明，以便收取毋須扣稅的付款。敬請留意，若是項聲明仍屬正確，將適用於其後購入的任何股份。除下文「重要釋義」一節另有界定外，本聲明內所用詞彙的定義均載於發售文件。請在 (a) 或 (b) 兩項中填上「✓」號 (如適用)。

- (a) 代表自身作出的聲明 (\* 將不適用者刪去)
- 本人/我們\* 聲明本人/我們\* 乃為本人/我們本身/代某公司\* 申請股份，而本人/我們/該公司\* 有權擁有是項聲明所涉及的股份，且
- 本人/我們/該公司\* 目前並非居於或通常居於愛爾蘭，及
  - 若本人/我們/該公司\* 成為愛爾蘭居民，本人/我們\* 將就此以書面形式通知貴公司。
- (b) 以中間人身份作出聲明 (\* 將不適用者刪去)
- 本人/我們\* 聲明，本人/我們\* 現為以下人士申請股份：
- 該人士將成為股份的實益擁有人；及
  - 就本人/我們\* 所知及所信，該人士並非居於或通常居於愛爾蘭。
- 本人/我們\* 並聲明：
- 除非本人/我們\* 在提交申請時另行通知貴公司，否則所有由本人/我們由本申請提交日期起就股份所提交的申請均為代該等人士提交；及
  - 若本人/我們\* 獲悉，如本人/我們\* 代為持有股份的任何人士成為愛爾蘭居民，本人/我們\* 將以書面形式通知貴公司。

**重要事項**

1. 非居民聲明須由愛爾蘭稅務局長查閱，作出虛假聲明乃屬刑事罪行。
2. 是項聲明須經申請人簽署方為有效。若申請人超過一名，則每名人士均須簽署。若申請人為公司，則須由公司秘書或另一名獲授權高級職員簽署。
3. 若本聲明乃根據授權書簽署，則須隨附該授權書副本以作為簽署的佐證。
4. 申請人若為獲豁免愛爾蘭居民，應聯絡行政管理人及過戶處 (或其代表) 以便作出適用於獲豁免愛爾蘭居民的另一項聲明。

**重要釋義**

- (i) 「愛爾蘭居民」指：(a) 若為個別人士指在稅務上居於愛爾蘭的個別人士；(b) 若為信託基金，指在稅務上駐於愛爾蘭的信託基金；及 (c) 若為公司，指在稅務上駐於愛爾蘭的公司。
- 任何人士若於某個稅務年度內身處愛爾蘭 183 天或以上，或若將該年度與對上一年身處愛爾蘭的時間合計達 280 天，則會於該年度被視作愛爾蘭居民。若個別人士於某個稅務年度於愛爾蘭逗留的時間不超過 30 天，則在引用該兩年測試時不會被計算在內。在愛爾蘭逗留一天指個別人士在每天完結時 (午夜) 身處愛爾蘭。
  - 任何信託基金若其全部受託人均駐於愛爾蘭，則會被視作愛爾蘭居民。
  - 任何公司如其中央管理層及控制權擁有人乃駐於愛爾蘭，不論在何處註冊成立，均會被視作愛爾蘭居民。任何公司如其中央管理層及控制權擁有人並非駐於愛爾蘭，但卻於愛爾蘭註冊成立，亦會被視作愛爾蘭居民；惟倘 (a) 該公司或關連公司乃於愛爾蘭經營貿易，而該公司最終由居於歐盟成員國或愛爾蘭與所居住國訂有雙重課稅協定的人士控制，或該公司或關連公司乃於歐盟成員國或課稅協定締約國的認可證券交易所掛牌；或 (b) 根據愛爾蘭與另一國家的雙重課稅協定，該公司被視作非愛爾蘭居民。敬請留意：若干情況下，決定一間公司在稅務上是否居民可以十分複雜，宣誓人請參閱稅務法第 23A 條所載特定法例條文。
- (ii) 「通常居於愛爾蘭的人士」指：(a) 如屬個別人士，指在課稅上通常居於愛爾蘭的人士；(b) 如屬信託基金，指在課稅上通常駐於愛爾蘭的信託基金。「通常居住」與「居住」的分別涉及個人的日常生活模式，並指連續居於某一地方。個別人士若連續三個課稅年度均居於愛爾蘭，則會由第四個課稅年度起成為通常居於愛爾蘭的人士。
- 任何人士若通常居於愛爾蘭，而於其後連續三個課稅年度均非居於愛爾蘭，則會由第三個課稅年度結束時起不再被視作通常居於愛爾蘭。因此，任何人士若於 2003 年為愛爾蘭居民並通常居於愛爾蘭，並於該年度離開愛爾蘭者，則會保留通常居民的身份，直至 2006 年 1 月 1 日至 2006 年 12 月 31 日的課稅年度結束為止；
- (iii) 「豁免愛爾蘭居民」指身為愛爾蘭居民或通常居於愛爾蘭但根據愛爾蘭稅務法例或愛爾蘭稅務局長的慣例或優待而獲准擁有股份而不影響本公司/基金/基金經理的稅務地位或本公司/基金/基金經理因該人士就股份收取分派或出售股份而需要交代在愛爾蘭的稅項的人士。有關目前具備「豁免愛爾蘭居民」資格人士的名單，請參閱豁免愛爾蘭居民的另一份聲明。
- (iv) 「中間人」指下列人士：所經營業務的股份為代他人向駐愛爾蘭投資機構收取款項或包括此項業務者；或代他人持有投資機構者的股份。

## DIRECT MARKETING 直銷

I / We acknowledge that the information supplied on the Application Form and otherwise from time to time in connection with my / our subscription for Shares in the Fund(s) and / or as Shareholders of 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.

(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.

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

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

## 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 Data Statement" stated within this Application Form.
- I / We hereby make all the declarations listed under "Declarations" stated within this Application Form.
- All joint-name applicants must sign this Form. A corporation should sign under the hand of a duly authorised official.
- I / We hereby make the "Declaration of Residence Outside Ireland" stated within this Application Form.

For joint-name holders (if applicable)

We, having applied to be registered joint-name holders, hereby authorise the Company / Fund / Manager, the Depositary, the Administrator and Registrar (or its delegate), the Hong Kong Representative (as the case may be) of the relevant Fund 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 Shares registered in our joint names which redemption / switching requests or other instructions have been signed by

any one of our signatory  all signatories

1st Applicant 第一申請人 2nd Applicant 第二申請人

This authorisation shall remain in force until notice of revocation thereof by us in writing is received by the Company / Fund / Manager, Depositary, the Administrator and Registrar (or its delegate), the Hong Kong Representative (as the case may be) and all other relevant parties.

Signature 簽署

Date 日期

Signature 簽署

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

本人／我們確認，認購表格所提供的資料及有關本人／我們認購基金股份及／或作為基金股東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。

(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。

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）

本人不欲本人／我們的個人資料被貴集團用作直銷用途。

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。
- 本人／我們謹此作出在本認購表格的「在愛爾蘭境外居住的聲明」。

聯名持有人（如適用）：

經申請成為登記聯名持有人後，我們謹此授權貴公司／基金／基金經理、保管人、行政管理人及過戶處（或其代表）、有關基金的香港代表（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股份的任何其他指示，而贖回／轉換要求或其他指示已由

我們任何一人簽署

所有人簽署

Corporate Applicant 公司申請人 Agent's Stamp 代理人蓋章

是項授權將一直有效，直至貴公司／基金／基金經理、保管人、行政管理人及過戶處（或其代表）、香港代表（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。

Signature & Chop 簽署及蓋章

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有的任何問題尋求獨立意見。

Date 日期

**PERSONAL INFORMATION COLLECTION STATEMENT**  
**(only applicable to subscribers who are individuals)**
**A. Introduction**

This Personal Information Collection Statement ("PICS") and, if you are an individual, the attached Privacy Notice 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 (provided that you have not opted-out of such marketing):
  - 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 Shares or to provide the related services in connection with your subscription for Shares and/or as Shareholder(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 25, One Exchange Square, 8 Connaught Place, Central, Hong Kong.
- If you are an individual applicant, please refer to the privacy notice provided alongside this Application Form for further information on how your Personal Data will be processed (the "Privacy Notice"), as this will apply to our processing of your Personal Data.
- If you are not an individual applicant, the Privacy Notice applies to our processing of any Personal Data that you provide to us or that we otherwise process in connection with the products and services that we provide to you. Therefore, you must ensure that any individuals whose Personal Data is provided to us receive the Privacy Notice and a copy of this Application Form.
- In the event of an inconsistency between the content of this Application Form and the content of the Privacy Notice, the Privacy Notice shall prevail.

**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.

**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及(如閣下為個人)隨附的私隱通告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所載的用途。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(如閣下並無選擇不收取有關促銷資料):
  - 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/或處理閣下的股份申請,亦未能就閣下認購股份及/或作為基金股東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一座二十五樓)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。
- 如閣下為個人申請人,請參閱隨本認購表格提供有關我們如何處理閣下的個人資料的私隱通告(「私隱通告」)的進一步資料。
- 如閣下並非個人申請人,私隱通告適用於我們處理閣下向我們提供的個人資料或就我們向閣下提供產品及服務所得的個人資料。因此,閣下必須確保已向我們提供個人資料的任何人士均收到私隱通告及本認購表格。
- 如本認購表格與私隱通告的內容有任何不一致之處,以私隱通告的內容為準。

**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、託管人及行政管理人(「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 1277**

**Note:**

The person undertaking the certification should clearly document their name, job title and the company who employs them, ideally through the application of a company address stamp. Certified copies should be dated, and signed "original seen" by the certifier. The following professional people may certify documents: a lawyer or solicitor, a bank officer, an accountant, a doctor, a minister of religion, a teacher, a post master, a police officer, a regulated financial advisor.

**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 1277**

**附註:**

進行核證的人士應註明其姓名、職務及所在公司,最好加蓋公司地址印章。核證人須在經核證副本上註明日,及簽署「原始文件」。下列專業人士可核證文件:律師或法律代表、銀行職員、會計師、醫生、神職人員、教師、郵政局長、警務人員、受規管財務顧問。



## PRIVACY NOTICE

### FIRST SENTIER INVESTORS GLOBAL UMBRELLA FUND PLC

#### Background

This Notice gives information on how the First Sentier Investors group of companies collect, use and protect the personal data held about investors.

This Notice describes how we will fulfil our obligations under applicable data protection laws, including Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 (the **General Data Protection Regulation** or **GDPR**).

#### Information about us

References in this Notice to First Sentier Investors will include the following companies:

#### First Sentier Investors Global Umbrella Fund PLC\*

(together "we", "us" or "our")

\*Authorised by the Central Bank of Ireland

#### Information we may collect

First Sentier Investors collects, from time to time, personal data on investors from a number of sources, including: investor application forms; other First Sentier Investors forms (including website forms); correspondence, conversations with clients, advisers, intermediaries; business cards; third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents); client advisers; other third parties; and from public sources. This information may be collected directly from investors or indirectly from third parties, as follows:

#### From you

We may collect from you and process the following personal data:

- Your name; address (including proof of name and address); photo identification; contact details both personal and work (for example, your email and phone numbers); job title and company; nationality; citizenship; tax residency; date of birth; passport details; national insurance number and other tax details; adviser details; investment details; banking details; signed contracts with you; business cards, contact sheets and biographies; financial dealings; family connections; details of your company's directors, secretaries, authorised signatories and identification documents; details of any complaints made; data received from due diligence activities (such as anti-money laundering, politically exposed persons and sanctions checks); responses to surveys and competitions; fraud enquiries (for example, information from police reports); images captured by CCTV cameras on our premises; recordings of telephone conversations and electronic communications with our staff.

#### From third parties

We may collect personal data about you from third parties, in particular:

- Third party service providers to our funds** (for example, transfer agents, registrars, administrators, distributors, custodians and paying agents) – information received includes personal details of investors obtained from fund application forms such as: name; address; contact details; nationality; national insurance number; date of birth; tax residency; adviser details; investment details; bank account details.
- Your advisers (including independent financial advisers)** – information received may include your name, address, gender, date of birth, bank details.
- Our vendors** such as Experian and World-Check – information received includes the results of a "Know Your Client", anti-money laundering, politically exposed persons and sanctions checks.
- Publicly available sources** such as MandateWire and LinkedIn – information available includes contact details of institutional investors (MandateWire) and details of job title, company, former employers and roles, and connections (LinkedIn).

#### How we will use the information we collect

The information we collect and use will depend on the nature of our business relationship with you, as follows:

- In relation to **prospective investors**, we may process personal data for identification purposes (prior to becoming an investor in our funds), for the purposes of anti-money laundering, counter-terrorist financing, suitability and appropriateness assessments, "Know Your Client" and credit-worthiness checks, and for any other applicable legal or regulatory reasons. Failure to provide relevant information will mean that we will not be able to on-board a potential investor.
- In relation to **investors in our funds**, we may process information collected for the purpose of account administration and other general business purposes (for example, for processing subscriptions and investments; maintaining the share register of investors; carrying out investor instructions; handling any complaints and enquiries; and sending investor communications, including financial reports, valuations, corporate actions). In addition, in order to comply with regulatory obligations, we may collect and disclose certain information about our investors and certain related persons and their investments to relevant tax authorities overseas.
- We may, from time to time, process personal data of **investors** to comply with legal and regulatory requirements impacting our business. In particular, we may need in the context of our business: to obtain legal advice on legal and regulatory requirements; to report to relevant regulators; to comply with market opening and registration requirements in the conduct of our business.
- In relation to **intermediaries who introduce investors into our funds** (such as distributors, platforms and independent financial advisers), we may process personal data to conduct market research, gauge product sales or product performance or assess the creditworthiness of intermediaries. In addition, we may process the personal data of investors introduced to our funds, as outlined above.
- Monitoring purposes:** we may process personal data to analyse the performance of IT systems, monitor usage of resources and systems and to improve products, services and usability of our technology platform, including telephone calls and electronic communications with our staff which may be recorded for the purposes of retaining a record of communications, in the interests of security, for training and compliance monitoring purposes and/or to comply with legal or regulatory obligations.
- Where you have provided your consent, we may process your personal data for the purposes of informing you (for example, by telephone, mail or email) about other products and services available from the First Sentier Investors group of companies and of marketing campaigns and event invitations.**

We are entitled to use your personal data in these ways because:

- We have legal and regulatory obligations that we have to discharge;
- We may need to in order to establish, exercise or defend our legal rights or for the purpose of legal proceedings;
- The use of your personal data as described is necessary for our legitimate business interests (or the legitimate interests of one or more of our affiliates or service providers);
- The use of your personal data is necessary for the performance of a contract with you;
- You have provided your consent to us processing your personal data (other than for marketing purposes); or
- You have provided your consent to us processing your personal data for the purposes of informing you (for example, by telephone, mail or email) about other products and services available from the First Sentier Investors group of companies and of marketing campaigns and event invitations.**

#### Disclosure of your information

- We may disclose your personal data to any member of the First Sentier Investors group, which means our affiliates, for internal business and administrative purposes (including to administer our products and services, and for prudential and risk management purposes) and, **where you have given your consent**, to provide you with information on related products and services. We may also disclose personal data relating to our clients to members of our group to whom we sub-delegate our services (for example, trade order execution and portfolio management).
- We may disclose your personal data to third parties that are specifically engaged by us to provide services to us, in which case we will require those parties to keep that information confidential and secure, and to use it solely for the purpose of providing the specified services to us. The following is a list of the types of third parties who may process your personal data on our behalf:

## 私隱通告

### 首源投資環球傘子基金有限公司

#### 背景

本通告提供資料說明首源投資集團公司如何收集、使用及保障所持有的投資者個人資料。

本通告描述我們如何根據適用資料保障法例（包括日期為 2016 年 4 月 27 日歐洲議會及理事會規例 (EU) 2016/679 (通用數據保障規例)）履行我們的責任。

#### 關於我們

本通告所述首源投資包括以下公司：

#### 首源投資環球傘子基金有限公司\*

(統稱「我們」)

\*獲愛爾蘭中央銀行認可

#### 我們可能收集的資料

首源投資不時從多個來源收集投資者的個人資料，該等來源包括：投資者申請表格；其他首源投資表格（包括網站表格）；通信、與客戶的對話、顧問、中介人；名片；我們基金的第三方服務提供商（例如轉讓代理、行政管理人、經銷商、保管人、付款代理）；客戶顧問；其他第三方；及公開來源。此等資料可能如下所述直接從投資者或間接從第三方收集：

#### 從閣下

我們可能從閣下收集及處理以下個人資料：

- 閣下的姓名；地址（包括姓名及地址證明）；證明身分的照片；個人及工作的聯絡資料（例如閣下的電郵及電話號碼）；職銜及公司；國籍、公民身分；稅務居住地；出生日期；護照資料；國家保險號碼及其他稅務詳情；顧問資料；投資詳情；銀行詳情；與閣下簽訂的合約；名片、聯絡表及履歷；財務交易；家庭聯繫、閣下公司的董事、秘書、授權簽署人詳情及識別文件；所作出任何投訴的詳情；於盡職審查中收取的資料（例如反洗錢、政治人物及制裁檢查）；調查的回應及比賽；欺詐查詢（例如警方報告的資料）；我們物業閉路電視相機錄錄的影像；與我們職員電話對話及與電子通訊的記錄。

#### 從第三方

我們可能從第三方收集有關閣下的個人資料，特別是：

- 我們基金的第三方服務提供商**（例如轉讓代理、過戶處、行政管理人、經銷商、保管人及付款代理）— 收取的資料包括從基金申請表格取得的投資者個人資料，例如：姓名；地址；聯絡資料；國籍；國家保險號碼；出生日期；稅務居住地；顧問資料；投資詳情；銀行賬戶詳情。
- 閣下的顧問（包括獨立財務顧問）**— 收取的資料可能包括閣下的姓名、地址、性別、出生日期、銀行詳情。
- 我們的經銷商**例如 Experian 及 World-Check — 收取的資料包括「瞭解您的客戶」、反洗錢、政治人物及制裁檢查的結果。
- 公開來源**例如 MandateWire 及 LinkedIn — 可取得的資料包括機構投資者的聯絡資料 (MandateWire) 及職銜、公司、前僱主及角色及聯繫 (LinkedIn)。

#### 我們如何使用所收集的資料

我們收集的資料將如以下所述按我們與閣下業務關係的性質使用：

- 就**準投資者**而言，我們可能為身分識別用途（於成為我們基金的投資者前），為反洗錢、打擊恐怖分子籌資、適合性及適當性評估、「瞭解您的客戶」及信用審查目的，以及為任何其他適用法律或監管理由而處理個人資料。未能提供有關資料將意味我們無法接納有關潛在投資者。
- 就**我們基金的投資者**而言，我們可能為會計行政及其他一般業務目的（例如處理認購及投資；維持投資者股份登記冊；執行投資者指示；處理投訴及查詢；寄發投資者通訊，包括財務報告、估值、公司行動）而處理所收集的資料。此外，為符合監管責任，我們可能收集並向相關海外稅務當局披露有關投資者及若干關連人士的資料。
- 我們可能不時為符合會影響我們業務的法律或監管規定而處理**投資者**的個人資料。特別是，就我們的業務而言，我們需：取得有關法律及監管規定的法律意見；向相關監管機構報告；於進行我們業務時符合市場開放及登記規定。
- 就**向我們基金推介投資者的中介人**（例如經銷商、平台及獨立財務顧問）而言，我們可能處理個人資料以進行市場研究、評估產品銷售或產品表現或評估中介人信譽。此外，我們可能如上文所述處理向我們基金推介的投資者的個人資料。
- 監控目的**：我們可能處理個人資料以分析資訊科技系統的表現、監控資源及系統的使用，以及改善產品、服務及我們科技平台的可用性，包括與我們職員的電話及電子通訊可能被記錄，以保留通訊記錄，出於保安原因，為培訓及符合監控目的及／或符合法律或監管責任。
- 在閣下表示同意下，我們可為通知閣下（例如以電話、郵件或電郵）有關首源投資集團公司可提供的其他產品及服務及有關市場推廣計劃及活動的邀請，而處理閣下的個人資料。

我們有權以此等方式使用閣下的個人資料，原因如下：

- 我們須履行法律及監管責任；
- 我們可能為法律訴訟目的而在確立「行使或維護我們法律權利方面有需要」；
- 為了我們的合法業務權益（或我們一或多間聯屬公司或服務提供商的合法權益）而須如所述使用閣下的個人資料；
- 為履行與閣下的合約而須使用閣下的個人資料；
- 閣下已表示同意我們處理閣下的個人資料（促銷用途除外）；或
- 閣下已表示同意我們可為通知閣下（例如以電話、郵件或電郵）有關首源投資集團公司可提供的其他產品及服務及有關市場推廣計劃及活動的邀請，而處理閣下的個人資料。

#### 閣下資料的披露

- 我們可能為內部業務及行政用途（包括管理我們的產品及服務，及為審慎及風險管理目的）向首源投資集團任何成員公司（指我們的聯屬公司）披露閣下的個人資料，以及倘若閣下已表示同意，向閣下提供相關產品及服務的資料。我們亦可能向我們將服務向其轉授權的本集團成員公司披露有關客戶的個人資料（例如交易指令的執行及投資組合管理）。
- 我們可能向我們特別委聘向我們提供服務的第三方披露閣下的個人資料，在該情況下，我們將要求該等人士對資料保密及保障其安全，並僅為向我們提供指定服務之目的而使用該等資料。以下為可能為我們處理閣下個人資料的第三方類型的清單：

- third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents and researchers);
- credit reference agencies, debt collection agencies and other companies for use in credit decisions, for fraud prevention, to pursue debtors and for the verification of identity; document execution vendors in relation to the execution of contracts with our clients; insurance brokers; and
- professional advisers (for example, accountants/tax advisors and legal advisors).
- Where we disclose your personal data to third party service providers to our funds, they may need to use your information to comply with their own legal obligations, including under anti-money laundering legislation. In the case of the custodians, your personal data may also be used by them in the discharge of their respective statutory oversight and monitoring obligations. Administrators may use your personal data for the purposes of anti-money laundering verification and monitoring in connection with investments made by you in other collective investment schemes administered by that administrator. In those cases, the relevant service provider will be acting as a controller in respect of your personal data, and its use of your personal data will be subject to its privacy policy.
- If you use a financial adviser (as indicated on your investor application form), then details of your investments and valuations may also be provided to such financial adviser.
- We may disclose to relevant tax authorities, regulators, government departments or competent authorities of any country, any personal data (including tax status, identity or residency or other personal and payment information, documents or self-certifications) in order to comply with a court order or to meet legal and regulatory requirements arising in the conduct of our business. Such disclosure may be made directly to such regulators or competent authorities or made indirectly to our advisers or providers who will make such filings or disclosures on our behalf.

#### Transfers outside the EEA

We may transfer your personal data to our overseas affiliates (including outside the EEA) and/or allow the information to be accessed by our affiliates and their employees outside the EEA as well as within. It may also be processed by personnel operating outside the EEA who work for us or for one of our third party service providers.

Where we transfer your personal data outside the EEA, we will ensure that it is protected in a manner that is consistent with how your personal data will be protected by us in the EEA or that the transfer is otherwise compliant with data protection laws. This can be done in a number of ways, for example:

- the country that we send the data to might be approved by the European Commission;
- the recipient might have signed up to a contract based on "model contractual clauses" approved by the European Commission, obliging them to protect your personal data;
- where the recipient is located in the US, it might be a certified member of the EU-US Privacy Shield Scheme;
- where data protection laws permit us to transfer your personal data outside the EEA.

You can obtain more details of the protection given to your personal data when it is transferred outside the EEA (including a copy of any standard data protection clauses which we have entered into with recipients of your personal data) by e-mailing us at [firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com) or writing to us at *HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland*.

#### How long will we store your data?

- Personal data held by us will be kept confidential. How long we hold your personal data for will vary and will be determined by various criteria, including:
- the purpose for which we are using it – we will need to keep the data for as long as is necessary for that purpose; and legal obligations – laws or regulations may set a minimum period for which we have to keep your personal data.

#### Your rights in relation to your data

If you wish to contact us for any of the reasons below, please e-mail us at [firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com) or write to us at *HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour Dublin 2, Ireland*:-

- You have a **right to access** the information which we hold about you. If you wish to make an application to access or obtain this information, please contact us. In some circumstances, you have the right to receive some personal data in a structured, commonly used and machine-readable format and/or request that we transmit that data to a third party where this is technically feasible. Please note that this right only applies to personal data which you have provided to us.
- We take reasonable steps to ensure that the personal data we collect, use or disclose is **accurate, complete and up to date**. You have the right to request correction of your personal data if it is inaccurate or incomplete. Please contact us if any of the details you have provided change. Please also contact us if you believe that the information we have about you is not accurate, complete or up to date.
- You have the right to request the **erasure** of your personal data and the right to **object** to, and request that we **restrict**, our processing of your personal data in certain circumstances. However, there may be circumstances where you ask us to erase your personal data but we are legally entitled to retain it or circumstances where you object to, or ask us to restrict, our processing of your personal data but we are legally entitled to continue processing your personal data and/or refuse that request. If you wish us to erase or restrict using your data, please contact us. We may need to discuss with you the basis of your request as there may be circumstances where we are legally entitled to continue processing your personal data/refuse your request.
- You have the right to **withdraw consent** to our processing of your personal data at any time (although we may still be entitled to process your personal data if we have another legitimate reason (other than consent) for doing so). If you have previously provided your consent to our use of your data (other than for marketing purposes) and you wish to withdraw such consent, please contact us. We may need to discuss with you whether our use of your data needs to continue for lawful purposes (i.e. because we have another legitimate reason (other than your consent) for doing so).
- If you have **previously consented to being sent information about other products and services available from the First Sentier Investors group of companies, you may withdraw such consent by contacting us**.
- If you have any **complaints in** relation to the way we have used your personal data, please contact us in the first instance. You also have the right to lodge a complaint with the **Office of the Data Protection Commissioner at Canal House, Station Road, Portarlington, Co. Laois, R32 AP23, Ireland (Tel: +353 (0)761 104 800)**, if you think that any of your rights have been infringed by us.

#### Other Products and Services

If you would like to receive further information from us about other products or services offered by First Sentier Investors group, please ensure you tick the relevant box on the appropriate application form or contact us by e-mailing us at [firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com) or writing to us at *HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland*.

#### Changes to our Privacy Notice

This Notice was updated on 26 April 2018. We reserve the right to change this Notice at any time.

- 我們的第三方服務提供商 (例如轉讓代理、行政管理人、經銷商、保管人、付款代理及研究人員)；
- 信貸資料服務機構、收數公司及用於信貸決定、防止欺詐、向債務人追討及核實身分；與簽立我們與客戶的合約有關的文件簽立賣方；保險經紀；及

- 個人顧問 (例如會計/稅務顧問及法律顧問)。

- 若我們向我們的第三方服務提供商披露閣下的個人資料，彼等可能須使用閣下的資料，以符合彼等本身的法律責任，包括反洗錢法例。在保管人方面，彼等亦可能使用閣下的個人資料，以履行其各自的法定監督及監控責任。行政管理人可能就閣下於該行政管理人管理的其他集體投資計劃作出的投資而為反洗錢核實及監控目的而使用閣下的個人資料。在該等情況下，相關服務提供商將擔任閣下個人資料的控制人，而其對閣下個人資料的使用將受其私隱政策規限。

- 如閣下使用財務顧問 (如閣下的投資者申請表格所示)，則閣下的投資及估值亦可能提供予該財務顧問。
- 我們可能向相關稅務當局、監管機構、政府部門或任何國家的主管當局披露任何個人資料 (包括稅務狀況、身分或居籍或其他個人及付款資料、文件或自我證明文件)，以遵從法庭命令或符合法律及監管規定，而其因我們進行業務而產生。該等披露可能直接或間接向該等監管機構或主管當局作出，或間接向我們的顧問或提供商作出，而彼等將代表我們作出該等存檔或披露。

#### 轉移至歐洲經濟區以外

我們可能將閣下的個人資料轉移至我們的海外聯屬公司 (包括位於歐洲經濟區以外) 及/或容許我們在歐洲經濟區內外的聯屬公司及其僱員取閱該等資料。該等資料亦可能由在歐洲經濟區以外營運而為我們或我們其中一家第三方服務提供商工作的人員處理。

倘若我們轉移閣下的個人資料至歐洲經濟區以外，我們將確保其受到的保障，將與我們在歐洲經濟區內為閣下個人資料提供保障的方式一致，或有關轉移另行符合資料保障法例。這可藉多個方式達致，例如：

- 我們向其傳送資料的國家獲歐盟委員會批准；
- 接收者已根據歐盟委員會批准的「示範合約條款」簽署合約，規定其有責任保障閣下的個人資料；
- 如接收者位於美國境內，其可為歐盟美國私隱盾計劃的認證成員；
- 在數據保障法例允許我們轉移閣下個人資料至歐洲經濟區以外的情況下。

閣下可向我們發電郵 ([firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com)) 或函件 (*HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland*)，索取閣下的個人資料被轉移至歐洲經濟區以外時該等資料獲得的保障詳情 (包括我們與閣下個人資料接收者簽署的標準資料保障條款副本)。

#### 我們會儲存閣下的資料多久？

- 我們持有的個人資料將予保密。我們儲存閣下的資料多久視乎不同準則而不同，包括：
  - 我們使用資料的目的 – 只因為該等目的而有需要，我們將需要保留該等資料；及 法律責任 – 一法例或規例可能設定我們須保留閣下個人資料的最短期限。

#### 閣下有關閣下資料的權利

如閣下擬就以下任何原因聯絡我們，閣下可向我們發電郵 ([firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com)) 或函件 (*HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour Dublin 2, Ireland*) ；

- 閣下有權查閱我們所持有關於閣下的資料。如閣下擬申請查閱或取得該等資料，請與我們聯絡。在某些情況下，閣下有權以結構化、常用及機器可讀格式收取部分個人資料，及/或要求我們向第三方 (須技術上可行) 傳送該等資料。請注意，此權利僅適用於閣下向我們提供的個人資料。
- 我們採取合理措施，確保我們收集、使用或披露的個人資料準確、完整及最新。倘若閣下的個人資料不準確或不完整，閣下有權要求更正該等資料。如果閣下所提供資料已變更，請與我們聯絡。如果閣下相信我們所持關於閣下的資料並非準確、完整或最新，亦請與我們聯絡。
- 在若干情況下，閣下有權要求刪除閣下的個人資料，並有權反對及要求我們限制我們處理閣下的個人資料。然而，可能有以下情況，即閣下要求刪除閣下的個人資料，但我們在法律上有權保留該等資料；或閣下反對或要求限制我們處理閣下的個人資料，但我們在法律上有權繼續處理閣下的個人資料及/或拒絕該等要求。如閣下欲刪除或限制閣下資料的使用，請與我們聯絡。我們可能須與閣下討論閣下要求的基礎，原因為可能存在情況我們在法律上有權繼續處理閣下的個人資料及/或拒絕閣下的要求。

- 閣下有權隨時撤回同意我們處理閣下的個人資料 (儘管如果我們另有合法理由 (除同意外)，我們可能仍然有權處理閣下的個人資料) 如果閣下先前已表示同意我們使用閣下個人資料 (為促銷用途除外)，而閣下欲撤回有關同意，請與我們聯絡。我們可能需與閣下討論我們是否出於合法目的而須繼續使用閣下的資料 (即由於我們有另外的合法理由 (除閣下的同意外) 繼續使用)。

- 如果閣下先前同意有關首源投資集團公司可提供的其他產品及服務資料發送給閣下，閣下可聯絡我們撤回該項同意。

- 如果閣下有關於我們曾使用閣下個人資料的方式的任何投訴，請即時與我們聯絡。倘若閣下認為閣下的權利受到我們侵犯，閣下亦有權向資料保障專員公署 (Office of the Data Protection Commissioner) (地址：*Canal House, Station Road, Portarlington, Co. Laois, R32 AP23, Ireland*) (電話：*+353 (0)761 104 800*) 提交投訴。

#### 其他產品及服務

如果閣下擬收取我們發出的有關首源投資集團提供的其他產品或服務的進一步資料，請確保在適當申請表格上勾選相關方格，或以電郵 ([firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com)) 或致函 (*HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour Dublin 2, Ireland*) 與我們聯絡。

#### 私隱通告的變更

本通告於 2018 年 4 月 26 日更新。我們保留權利隨時更改本通告。