

**1. Customer Details 客戶資料\***

Customer Name(s) 客戶姓名	Investment Suitability <sup>1</sup> 投資屬性 <sup>1</sup>	1 Secure 穩健型 <input type="checkbox"/>
Account No. 戶口號碼		2 Cautious 審慎型 <input type="checkbox"/>
ID Card / Passport No. 身份證 / 護照號碼	Contact Telephone No. 聯絡電話	3 Balanced 均衡型 <input type="checkbox"/>
Note 注意 1	Please ensure that the Investment Suitability you have confirmed above is same as that we have classified you in our record. For the avoidance of doubt, if SinoPac Securities (Asia) Limited ("SinoPac") finds that the above Investment Suitability you have confirmed does not match with our latest record, this Fund Application Form will be treated as INVALID and will NOT be accepted. Notice will not be given. Any amendment to the rejected/voided Fund Application Form will be regarded as a new Fund Application Form. If you have any enquiry, please contact your Account Executive. 閣下必須確定以上所選之投資屬性與永豐金證券(亞洲)有限公司("永豐金")釐定閣下之客戶投資屬性紀錄相同, 否則本基金申請表格將被視為無效且不被受理, 永豐金不作另行通告。任何被視為無效或不受理的基金申請表格經修改後, 將視作新提交基金申請表格處理。若閣下有任何查詢, 請與您的客戶經理聯繫。	4 Adventurous 進取型 <input type="checkbox"/>
		5 Speculative 投機型 <input type="checkbox"/>

**2. Investment Details 投資詳情\***

Subscription 認購 <input type="checkbox"/> Redemption 贖回 <input type="checkbox"/> Switching 轉換 <input type="checkbox"/> Cancellation of Instruction 取消指示 <input type="checkbox"/>	
Subscription / Switch To 認購/轉換 (至)	
Fund House 基金公司	
Fund Name 基金名稱	
Currency and Amount 認購貨幣/金額	Class 基金類別
Product Risk Level <sup>2</sup> 產品風險等級 <sup>2</sup> RR1 <input type="checkbox"/> RR2 <input type="checkbox"/> RR3 <input type="checkbox"/> RR4 <input type="checkbox"/> RR5 <input type="checkbox"/>	Sales Charge (For office use only) 銷售佣金(公司專用)
Redemption / Switch From / Cancellation of Instruction 贖回/轉換 (由) / 取消指示	
Fund House 基金公司	
Fund Name 基金名稱	
Currency and Amount 認購貨幣/金額	Class 基金類別
Date of Instruction 指示日期	
Note 注意 2	Product Risk Level 產品風險級數 (Based on SinoPac's classification, please confirm with your Account Executive 按永豐金所分之等級, 請與您的客戶經理核實。): RR1=Extremely low 極低 RR2=Low 低 RR3=Medium 中 RR4=High 高 RR5=Extremely High 極高
Note 注意 3	This Fund Application Form is used for transactions of the Fund(s) which have engaged associated company(ies) of SinoPac as its important role(s) for fund management and/or administration. Such associated company(ies) includes but not limited to SinoPac Asset Management (Asia) Limited and SinoPac Solutions and Services Limited. Such important role(s) includes but not limited to Investment Manager, Investment Advisor and Fund Administrator. 本基金申請表格亦適用於由永豐金關聯公司擔任基金管理及/或行政管理等重要職務之基金的相關交易; 此等永豐金的關聯公司包括但不限於永豐金資產管理(亞洲)有限公司及永豐金金融服務有限公司; 而此等重要職務包括但不限於基金的投資經理、投資顧問及行政管理人。
Note 注意 4	SinoPac will receive from the fund product issuer up to 1.5% of your investment in the above fund as ongoing commission every year throughout the term of your investment. This is paid out of the product issuer's annual management fees and/or other equivalent fees receivable from the above fund. 永豐金會從上述基金的產品發行人最多收取閣下於上述基金的投資的 1.5%, 作為永豐金在閣下的整段投資期間內每年持續收取的佣金, 此費用乃從基金產品發行人就此基金產品可收取的年度管理費及/或其他相等之費用中撥付。

**3. Risk Profiling 風險評估**

Note 注意 5	It is not necessary to complete this part if Client's investment corresponds with his/her Investment Suitability in SinoPac's record. 若在永豐金的記錄中客戶之投資產品與他/她的投資屬性相符, 不用填寫此欄。
<input type="checkbox"/> I/We am/are aware that the investment does not correspond with my/our Investment Suitability. (Remark: If the Risk Level of the product to be dealt with is TWO (2) or more levels higher than the customer's Investment Suitability, SinoPac shall decline/reject this Fund Application Form without prior notice".) 本人/吾等知道此投資產品與本人/吾等的投資屬性不相符。(註:若投資產品之風險級數高於客戶之投資屬性兩級或以上, 永豐金將拒絕本基金申請表格, 毋須事先通知。)	
I/we fully understand the product investment risk explained by SinoPac Securities (Asia) Ltd ("SinoPac") and confirm that I/we wish to proceed with my/our subscription. I/we further confirm that any transaction I/we have decided to make is being made at my/our own volition and at my/our own risk having read and understood all relevant product offering documents. I/We acknowledge and understand that arrangement of any transaction by SinoPac on my/our behalf is not in any way a confirmation or an endorsement from SinoPac that it is suitable for me/us. 本人/吾等欲透過貴公司購買上述金融商品, 並經專人說明充分了解產品相關投資風險。本人/吾等於細閱及明白所有相關商品資料後, 確認此交易乃本人/吾等的意願, 並同意承擔承作上述產品所生之一切風險, 特請貴公司予以受理承作。本人/吾等知悉及明白永豐金證券(亞洲)公司代表本人/吾等就此交易所作的安排, 不表示永豐金確認或贊成此交易適合本人/吾等。	
AO 簽名: _____ 主管簽名: _____	
_____ Customer/Attorney Signature(s) 客戶 / 授權人簽署	

Customer/Attorney Signature(s) 客戶 / 授權人簽署

Date(dd/mm/yy) 日期(日/月/年)

#### 4. Declaration 聲明 \*

1. I / we confirm that I / we have received, read and understood the offering documents (including, without limitation, the account opening documentation and fund prospectus) related to the Fund(s) subscribed / switched to and fully understand the investment risks involved, and I / we hereby undertake to be bound by the terms and conditions under such offering documents and make the declarations that an applicant is required to make there under. 本人/吾等證實已收取, 已閱讀及已了解有關認購及/或轉換至基金之銷售文件(包括但不限於開戶文件、基金發行章程)並充份了解相關投資風險, 並承諾受有關銷售文件所列出之所有規章及條款所監管及約束, 並作出銷售文件要求一個申請者需作出的所有聲明。	
2. I / we have read, understood and accepted the Terms and Conditions as stated below. 本人/吾等已閱讀, 已了解及已接受下述列出之規章及條款。	
Customer / Attorney Signature(s) 客戶 / 授權人簽署	Date(dd/mm/yy) 日期(日/月/年)

#### TERMS AND CONDITIONS

- SinoPac acts as Agent in this transaction.
- SinoPac does not guarantee the profit or loss, the minimum income and the correctness of all terms and guarantees of the investment product.
- Client is strongly advised to read, study and fully understand the product specifications and jurisdictions of the investment which he/she plans to undertake prior to entering into any transaction in relation to such investment. The provision or the non-provision of any product specification by SinoPac shall not, however, detract from client's duty to take all steps and make all enquiries as may be necessary or desirable to ensure that he/she fully understands and is familiar with the investment concerned. Client should have sufficient knowledge of the relevant legal, tax and foreign exchange regulations in force in his/her country and/or country of residence in relation to his/her investment in the fund(s). If necessary, client should consult his/her independent legal, tax, financial and/or other professional adviser prior to entering into any investment.
- After successfully subscribing the investment products, SinoPac will use its best effort to forward received notices and important information related to the investment to client. Unless otherwise required by law, SinoPac shall not be obliged to provide any form of translation services, voting recommendation and tax advice to the client, and also demand recovery of investment losses (if any) from anyone on behalf of the client. If necessary, client should consult independent legal, tax, financial and/or other professional advisers after receiving announcements related to such investment.
- Client understands that investment involves risks and confirms that his/her decision to invest is based on his/her own evaluation and judgment and not relied on any advice of SinoPac. Nonetheless, if SinoPac solicits the sale of or recommend any financial product to client, the financial product must be reasonably suitable for client having regard to his/her financial situation, investment experience and investment objectives. No other provision of this document or any other document SinoPac may ask client to sign and no statement SinoPac may ask client to make derogates from this clause. In the context of the clause, "financial products" refers to any securities, futures contracts or leveraged foreign exchange contracts as defined under the Securities and Futures Ordinance.
- Client should also pay particular attention to those funds that invest primarily in high-yield bonds as the net asset value of those funds that invest in high-yield bonds may decline or be negatively affected if there is a default of any of the high yield bonds that it invests in or if interest rates change. The special features and risks of high-yield bond funds may also include the following:
  - Capital growth risk - some high-yield bond funds may have fees and/or dividends paid out of capital. As a result, the capital that the fund has available for investment in the future and capital growth may be reduced;
  - Dividend distributions - some high-yield bond funds may not distribute dividends, but instead reinvest the dividends into the fund or alternatively, the investment manager may have discretion on whether or not to make any distribution out of income and/or capital of the fund. Also, a high distribution yield does not imply a positive or high return on the total investment; and
  - Other key risks that may relate to the relevant fund including concentration of investments in particular types of specialized debt or a specific geographical region or sovereign securities.
- SinoPac may have no authority to accept applications on behalf of the fund house(s). In the event that the fund house(s) refuse to accept an application, any money paid by the client will be refunded to his/her account with SinoPac without accrued interest.
- Subscription orders will not be carried out until SinoPac receives the subscription money.
- Units or shares subscribed by clients will be registered in the name of "SinoPac Securities (Asia) Limited" and will be in non-certificated form. Statements will be sent to individual clients on a regular basis. SinoPac will exercise the voting rights in such manner as it may in its absolute discretion think fit unless specific instruction is given by the client.
- Client's rights and obligations in respect of the fund(s) subscribed are subject to the provisions of the constitutive documents and offering documents of the relevant fund(s). In certain circumstances, client's right to redeem may be restricted.
- The actual subscription and redemption prices of the fund(s) will be determined by the relevant fund house(s) and any prices quoted by SinoPac are for indication only.
- Client hereby authorizes SinoPac to retain for its own benefit from the fund house(s) any commission, rebate and other advantages in connection with handling his/her transaction(s) of the relevant fund(s).
- All dividends and distributions declared by the fund(s) will be automatically reinvested (unless otherwise specified).
- Client agrees that SinoPac may disclose his/her personal information to the relevant fund house(s) and/or regulatory authority, and further agrees to provide to SinoPac upon request information including, without limitation, details of source of his/her fund and beneficial ownership of the fund(s) subscribed for anti-money laundering purposes or otherwise.
- Client agrees and undertakes to indemnify and to hold SinoPac harmless against all demand, claims, actions, costs, expenses, damages, losses or other liability incurred or suffered by SinoPac as a result of or arising from SinoPac providing relevant services to him.
- Before purchasing certain class of share(s) in a fund, client understands that subject to the provisions of the constitutive documents and offering documents of the relevant fund, he/she will be charged higher costs and expenses for that class of share(s) than other class of share(s) if that class of share(s) is sold before the prescribed period of time.
- Client confirms that he/she is not an ordinarily resident in the United States, Ireland, or Australia and will inform SinoPac in writing if he/she subsequently becomes resident in such countries.
- Remuneration made from each fund transaction concerning an investment product will be up to 5% of the investment amount or the dollar equivalent. For actual charges of each fund, please refer to the official FACTSHEET of the fund house.
- Client confirms that SinoPac and the issuer of the fund or their associated companies have not authorized any person to provide information relating to the fund which is outside or conflicting with the information contained in the offering documents.
- SinoPac reserves the right to amend the above terms and conditions from time to time.

#### 規章及條款

- 永豐金是以代理人("Agent")之身份與客戶進行交易。
- 永豐金不保證本投資盈虧、最低收益及該投資產品之一切條款及保證準確無誤。
- 在客戶按照計劃進行的相關投資訂立任何交易前, 永豐金強烈建議客戶細閱、研究及全面理解該等投資的產品特性及司法管轄區市場。永豐金提供任何產品資料與否, 將無損客戶須採取一切措施並作出一切查詢的責任, 而該等措施及查詢是必要或合適的, 以便能確保客戶全面理解及熟悉相關投資。客戶應充分了解其國家、定居地或原籍地的現行關於基金投資的法例與稅務及外匯管制條例。若有需要, 在訂立任何相關投資之前, 客戶應諮詢獨立法律、稅務、財務及/或其他專業顧問意見。
- 客戶成功認購投資產品後, 永豐金會盡最大努力把收到的相關投資發出的公告及重要資料轉交給客戶。除非法律另有規定, 永豐金無須就相關投資發出的公告向客戶提供任何形式的翻譯服務、投票建議、稅務意見, 亦無須代表客戶向任何人追討任何投資損失(如有)。若有需要, 在收到任何相關投資發出的公告之後, 客戶應儘快尋求獨立的法律、稅務、財務及/或其他專業顧問意見。
- 客戶了解投資涉及風險並確認所作之投資皆基於客戶之個人判斷, 而非根據永豐金所提供之意見。儘管如此, 假如永豐金向客戶招攬銷售或建議任何金融產品, 該金融產品必須是永豐金經考慮客戶的財政狀況、投資經驗及投資目標後而認為合理地適合客戶的。本文件的其他條文或任何其他永豐金可能要求客戶簽署的文件及永豐金可能要求客戶作出的聲明概不會減損本條款的效力。就本條款而言, "金融產品"指《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。
- 客戶亦應加倍注意主要投資於高息債券的基金, 原因在於若基金所投資的高息債券當中有任何違債事件, 又或利率轉變, 該等基金的資產淨值便有可能下跌或受到負面影響。高息債券基金的特點及風險亦可能包括:
  - 資本增長風險——某些高息債券基金可能會以資本來支付費用及/或股息。此舉有可能令基金可供日後投資的資金減少, 削弱資本增長;
  - 股息分派——某些高息債券基金可能不會派息, 取而代之的是將股息再投資在基金上, 又或投資經理可能有酌情權決定是否動用基金的收入及/或資本作分派之用。此外, 分派收益高並不意味投資者的總投資可取得正回報或高回報; 及
  - 高息債券基金可能高涉及其他主要風險, 包括投資集中於某特定種類的專門性債項或某特定地區市場或主權證券。
- 基金公司或並無授權永豐金接受申請。如基金公司拒絕接受申請, 任何客戶已繳交之款項, 不包括利息, 將會全數退回客戶於永豐金之戶口。

8. 永豐金在收足款項前，並不會發出任何認購指示。
9. 客戶所認購之基金單位將會以「永豐金證券(亞洲)有限公司」之名義登記及將以無紙方式進行。客戶會定期收到永豐金之結算單。除非客戶有特別之要求，永豐金將獨自決定如何行使投票權。
10. 客戶對其認購之基金而享有及承受之權利與義務將基於相關基金的成立章程及銷售文件所列明之條款，在某種情況下，投資者的贖回權益或會有所限制。
11. 基金之實際認購價及贖回價均由相關基金公司所訂，永豐金所作之報價只作參考性質之用途。
12. 客戶授權永豐金有權保留所有因處理客戶有關基金的交易而從相關基金公司獲得的任何佣金、回扣、回佣及其他利益。
13. 除非特別聲明，各項基金所宣派的一切股息與分派將會自動撥作再投資之用。
14. 客戶同意永豐金可能將客戶資料披露予基金公司及/或監管機構，亦同意如永豐金要求，會向永豐金提供包括資金來源及所購基金受益人等等的資料，以用於防止洗黑錢及其他目的。
15. 客戶同意並承諾就永豐金因接受其買賣指示或要求而支付或招致的所有索求、申索、法律行動、費用、支出、賠償、損失或其他所有債務對永豐金作出彌償，並保障永豐金不會因此受損。
16. 客戶於購買某一類別基金前已了解基於相關基金的成立章程及銷售文件所列明之條款，如於指定年期前出售相關類別基金，客戶將被收取高於其他類別基金之支出及費用。
17. 客戶確認並非美國、愛爾蘭共和國或澳大利亞居民並同意一旦成為該國居民會以書面通知永豐金。
18. 每檔基金，最高銷售佣金上限為投資額的5%或等值金額。每檔基金收費標準請參照基金公司正式FACTSHEET為準。
19. 客戶確認永豐金以及本產品之發行機構，或此二者之關係企業均未授權任何人提供任何本基金之銷售文件以外或與本基金之銷售文件相衝突之資訊。
20. 永豐金保留將來隨時修改以上規章及條款之權利。