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Recording Phone No.	

## Fund Subscription Form

### 基金認購表格

請將已填妥的表格郵寄至香港九龍灣宏泰道 23 號 Manhattan Place 22 樓客戶服務部。 Please return your duly signed written form by mail to **Client Services Department, 22/F, Manhattan Place, 23 Wang Tai Road, Kowloon Bay, Hong Kong.**

#### 1. Client Particulars 客戶資料

Client Name: 客戶姓名:		CSL* Account No.: 時富*帳戶號碼:	
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\* Celestial Securities Limited \* 時富證券有限公司

#### 2. Subscription Instruction 認購指示 “√” where appropriate 請在適當的方格內加上“√”

Please subscribe the fund(s) below on my/our behalf: 請代本人/吾等認購以下基金:

ISIN Code / Product Code* ISIN 代碼 / 產品代碼*	Name of the Fund 基金名稱	Product Risk Level 產品風險評級	Currency 貨幣	Subscription Amount 認購金額	Subscription Fee (%) 認購費 (%)

\* If any back-end load fund is subscribed, the fees payable within this investment will be deducted from redemption proceeds of the fund, including the service fee for financial advisor.

\* 投資於任何贖回收費式/末端費用式基金，所有涉及投資的相關費用(包括財務顧問的服務費)會在該基金贖回時扣除。

\* The final price of the fund and the dealing date will be subject to confirmation of the fund house.

\* 基金之最後價格及交易生效日期以基金公司之確認為準。

#### 3. Risk Profile (Only applicable for BUY order and non-execution-only order) “√” where appropriate

風險取向 (只適用於買入交易指示及非只限執行交易指示) 請在適當的方格內加上“√”

My/Our risk profile established under the Risk Profile Questionnaire (“RPQ”) is (Please choose one from the following options):

根據風險取向問卷，本人/吾等的風險取向為 (請選擇下面其中一項)：

<input type="checkbox"/>	1 – Conservative 保守型	<input type="checkbox"/>	2 – Moderately Conservative 中度保守型	<input type="checkbox"/>	3 – Moderate 平穩型	<input type="checkbox"/>	4 – Moderately Aggressive 中度進取型	<input type="checkbox"/>	5 – Aggressive 進取型
<input type="checkbox"/>	I/We confirm that the risk profile established under the Risk Profile Questionnaire is appropriate and I/We confirm to apply it in this transaction. 本人/吾等確認在風險取向問卷中所述的風險取向乃屬合適，並可應用於本交易。								

#### 4. Disclosure of Product Sales Information 交易相關資料披露

I/We confirm that I/we have been fully explained the Product’s sales information as follows：

本人/吾等確認已獲解釋以下有關本產品的銷售資料：

<b>1. Identity and Connection 身分及聯繫</b>
<ul style="list-style-type: none"> <li>Celestial Securities Limited is acting as agent to execute this transaction. 時富證券有限公司是以代理人之身分執行此筆交易。</li> <li>The relationship between Celestial Securities Limited and the fund product issuer is a business partner. 時富證券有限公司與基金產品發行人之間為商業合作夥伴的關係。</li> </ul>
<b>2. Disclosure of benefits 收益披露</b>
<ul style="list-style-type: none"> <li>Celestial Securities Limited is entitled to receive the above-mentioned subscription fees as the distributing remuneration. 時富證券有限公司有權收取上述指定的認購費作為分銷報酬。</li> <li>Celestial Securities Limited is entitled to receive other benefits including but not limited to sharing of management fee, performance fee and sponsorship fee from the product issuer, which are non-quantifiable at this stage. 時富證券有限公司有權獲得現階段不可量化的報酬，包括但不局限於基金公司管理費分賬、表現費分賬及推廣贊助費。</li> <li>Celestial Securities Limited will receive from the fund issuer up to 50% of the fund’s annual management fees as trailer fee every year throughout the term of my/our investment. 在閣下的整個投資期內，時富證券有限公司將會每年持續從基金發行商獲取不高於相關基金年度管理費的 50% 作為後續費用。</li> </ul>
<b>3. Discount of Fees and Charges 費用與收費折扣</b>
<ul style="list-style-type: none"> <li>Celestial Securities Limited may offer a discount on fees and charges to applicants for the fund subscription from time to time in accordance with the terms and conditions in the applicable promotion material and the investment amount. 時富證券有限公司可不時按照申請人為買入本產品的投資金額以及適用的宣傳資料中的條款和條件，提供費用及收費折扣。</li> </ul>

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## 5. Disclosure Statement of Independent Status 中介人的獨立性披露聲明

Celestial Securities Limited (hereinafter referred to as "we") is not an independent intermediary for the following reasons:

時富證券有限公司（在此部分，以下簡稱“我們”）並非獨立的中介人，理由如下：

1. We receive fees, commissions or any other monetary benefits from other parties (which may include product issuers) in relation to its distribution of investment products to you. For details, you can refer to the Disclosure of benefits before entering into any transaction in investment product.  
我們有收取由其他人士(可能包括發行人)就我們向閣下分銷投資產品而提供的費用、佣金或其他金錢收益。詳情請參閱我們按規定在訂立任何投資產品交易前或在訂立任何投資產品交易時須向閣下提供的金錢收益披露。  
  
And/ Or 及/或
2. We receive non-monetary benefit from other parties, or have close links or other legal or economic relationship with issuers of products that we may distribute to you.  
我們有收取由其他人士提供的非金錢收益，或與我們可能向閣下分銷的產品的發行人有緊密聯繫或其他法律或經濟關係。

## 6. Declaration and Acknowledgement 聲明及確認

I/We hereby authorize Celestial Securities Limited (hereinafter as "CSL") to perform, on my/our behalf and in my/our names(s), the actions and matters set out in this instruction form.  
本人/吾等謹此授權時富證券有限公司(下稱“時富”)代表本人/吾等及以本人/吾等之名義執行於本指示列明之行為及事項。

I/We confirm that the information and instruction provided on this form are accurate, true and complete. I/We agree to indemnify CSL for any losses, damages, costs, expenses or claims which CSL may suffer arising from CSL's reliance on any of the information I/we have given.  
本人/吾等確認此表格中所提供的資料及指示為準確，真實及完整，並同意就所有時富因依賴本人/吾等提供之資料而蒙受之損失、損害、成本、費用或索賠作出彌償。

I/We declare that the investment decision is made by me/us. I/We understand that investment involves risk. Past performance is no guide to future performance. I/We understand that the price of funds and the income from them can fluctuate and are not guaranteed, it may incur losses and even become valueless. I/We declare and confirm that the Sales Representative has conducted a risk profile assessment with me/us, and I/we have been provided with the prospectus, offering circular or other relevant terms and conditions of the product that I/we am/are applying for. I/We have read and understand the relevant documents or consulted Independent/Professional Advisors for further details and other risk factors before making any investment decision as I/we deem necessary. I/We have been explained and fully understand the key features and risks of the products, and hereby confirm to purchase the subject product.  
本人/吾等聲明此乃本人之投資決定。本人/吾等明白投資涉及風險。過往表現不可視作未來表現的指標。本人/吾等明白基金的價格及自基金所獲取的收益可升亦可跌，投資可能會招致虧損，甚至變成毫無價值。本人/吾等聲明及確認有關營業代表已為本人進行風險取向審核，並已向本人/吾等提供現認購產品之發行章程、發行說明書、產品資料或其他相關之銷售條款及細則，並向本人/吾等解釋產品之特性及風險。本人/吾等已詳閱有關之文件，或於作出投資決定前就本人/吾等認為有需要之進一步資料及其他風險因素徵詢獨立/專業意見。本人/吾等確認明白產品之特性及風險及決定購買有關產品。

I/We understand and agree that the features and risk rating of the product match with my/our investment objective, risk tolerance level, investment horizon, investment budget and investment experience as described in the Client Risk Profile Questionnaire/ Professional Investor Assessment Questionnaire. The product is suitable for me/us.  
本人/吾等明白及同意根據客人風險取向問卷或專業投資者評估問卷，此產品之特性及風險與本人/吾等投資目標、風險承受能力、投資年期、投資預算及投資經驗相符。此產品適合本人/吾等。

I/We agree and acknowledge that the value of the investment(s) may go up and down. By instructing CSL to make investments on my/our behalf, I/we am/are prepared to accept and am/are responsible solely for this risk, and CSL shall be discharged from the liability whatsoever to me/us for any loss I/we may suffer as the result of the investment performance.  
本人/吾等同意及確認投資之價值可升可跌。指示時富代本人/吾等作出投資，本人/吾等接受及將獨自承擔此風險，時富將不就任何因投資表現而令本人/吾等蒙受之損失負責。

In any transaction involving foreign currency conversion, I/we agree to adhere to the foreign exchange rates determined by CSL and/or its counter-parties.  
有關任何涉及外幣兌換之交易，本人/吾等接受時富與其另一方決定之外幣兌換率。

Client Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
客戶簽署: \_\_\_\_\_ 日期: \_\_\_\_\_

## To Be Completed by Celestial Securities Limited's Licensed Representative 由時富證券有限公司持牌代表完成

I confirm that I have verbally invited in Chinese or English as preferred by the applicant(s) to read the above sales related information, explain Risk Disclosure Statement and invite the applicant(s) to ask questions about the content of such information and, if needed, seek independent advice.

本人確認已以口頭方式邀請申請人按其選擇的語言（中文或英文）閱讀上述銷售相關資料、向申請人解釋有關風險披露聲明及邀請申請人就該等資料的內容提出問題並在有需要時徵求獨立意見。

Signature of Licensed Representative 持牌人簽署 \_\_\_\_\_ Date and Time 日期及時間 \_\_\_\_\_ Extension 內線 \_\_\_\_\_

Name of the licensed representative 持牌人姓名 \_\_\_\_\_ CE Number of the licensed representative 中央編號 \_\_\_\_\_

## For official use only 僅供職員填寫

Handled by	Verified by	Checked by	Approved by
Name	Name	Name	Name
Date	Date	Date	Date