



APPLICATION OF STANDING SUBSCRIPTION INSTRUCTION 常設申購指示書

Note 注意: This form is applicable to existing cash account clients only. 此表格只適用於現有現金客戶。

1. Accountholder Particular 賬戶持有人資料					
客戶姓名 Client Name		賬戶號碼 Account Number		投資屬性 ¹ Investment Suitability	1 Secure 穩健型 <input type="checkbox"/> 2 Cautious 審慎型 <input type="checkbox"/> 3 Balanced 均衡型 <input type="checkbox"/> 4 Adventurous 進取型 <input type="checkbox"/> 5 Speculative 投機型 <input type="checkbox"/>
身份證 / 護照號碼 ID Card/Passport No.		聯絡電話 Contact Telephone No.			
注意 1 Note 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, 永豐金不作另行通知。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。				
2. Application of Standing Subscription Instruction 常設申購指示					
基金代碼 Fund Code	NA126	基金名稱 Fund Name	永豐金美元短期固定 收益基金 - A 類 (USD)	幣別 Currency	USD 美元 <input checked="" type="checkbox"/> CNY 人民幣 <input type="checkbox"/> HKD 港元 <input type="checkbox"/> Others 其他: []
產品風險級數 ² Product Risk Level	RR1 <input type="checkbox"/> RR2 <input checked="" type="checkbox"/> RR3 <input type="checkbox"/> RR4 <input type="checkbox"/> RR5 <input type="checkbox"/>			基金類別 Class	Class A
每單位申購價格 Subscription Price per Unit	浮動但不超過上個月平均價格的 3% Floating but not exceed 3% of the average price of the preceding month			銷售佣金 ^{公司專用} Sales Charge	
常設申購金額 Standing Subscription Amount	每次支付上限為(i)30,000,000 美金或其他等值貨幣; 或(ii)現金賬戶中 80%之間置現金總值(兩者以較低者為準)。請參閱銷售文件, 以獲取最低投資額資料。 For each payment, up to (i)US\$30,000,000 or equivalent; or(ii)80% of the total idle cash amount in the cash account (whichever is lower). Please refer to the offering document for the minimum investment amount. 註: 間置現金之定義依永豐金另外規定, 其有合理酌情權可隨時更改該定義而不作另行通知。 NOTE: Unless otherwise specified, idle cash is defined by SinoPac which may, in its reasonable discretion, change the definition at any time without further notice.				
指示日期 Date of Instruction					
注意 2 Note 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				
注意 3 Note 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。				
3. Risk Profiling 風險評估					
注意 4 Note 4	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. 本人/吾等知道此投資產品與本人/吾等的投資屬性不相符。 (Remark: If the Risk Level of the product to be dealt with is TWO (2) or more levels higher than the client's Investment Suitability, SinoPac shall decline/reject this Fund Application Form without prior notice.) (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。)					
AO 簽名: _____				 Customer/Attorney Signature(s) 客戶/授權人簽署	
主管簽名: _____					



4. General Terms and Conditions 一般規章及條款

- 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 or Ireland 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.

3. Direct Debit Authorization 直接付款授權

- I/We hereby authorize you to effect transfers from my/our above named account to that of the bank account of the above named Fund, its custodian and/or trustee in accordance with the Fund Subscription Form and/or such instructions (including but not limited to any instruction contained herein) as you may receive from the Fund, its investment manager, custodian and/or trustee from time to time provided always that the amount of such transfers shall not exceed the Standing Subscription Amount in this Standing Subscription Instruction.
- I/We agree that the Fund, its investment manager, custodian and/or trustee shall not be obliged to ascertain whether or not notice of any such transfer has been given to me/us.
- I/We further authorize you to debit my/our above named account with all reasonable fees, costs and expenses incurred in connection with the subscription of the above named Fund.
- This authorization shall have effect until further notice or until the below written expiry date (whichever shall first occur).
- I/We agree that whenever I/we wish to cancel this Fund Application and Standing Subscription Instruction, I/we am/are required to complete and sign the form prescribed by you and the prescribed form should be actually received by you at least two (2) working days prior to the date on which such cancellation is to take effect.
- I/We acknowledge and agree that all the transfers performed by you in accordance with this authorization shall be binding on me/us. I/We undertake to ratify and confirm any instruction given or purported to be given by you under this authorization including but without limitation to any instruction which may be given or purported to be given by you between the notice period of cancellation of this authorization.

4. Acknowledgement, Declaration and Signatures 確認、聲明及簽署

- I/We agree and acknowledge that this Fund Application and Standing Subscription Instruction is given subject to all terms and conditions applicable to my/our above named account with you.
- I/We agree and acknowledge that I/we have received, read and understood the offering and all other incidental documents (including the related risk disclosure statement) in relation to the above named Fund and agree to be bound by them.
- I/We fully understand the product investment risk explained by 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 proceed is being made at my/our own volition and at my/our own risk having read and understood all relevant product information.
- I/We agree and acknowledge that you are also authorized to redeem the above named Fund for me/us to cover any shortfall of my/our above named account without any further notice to me/us if my/our above named account has debit balance due to you.
- For the foregoing purposes, and without limitation, I/we authorize you upon such terms and in such manner as prescribed under this Fund Application and Standing Subscription Instruction:
 - to subscribe, purchase, redeem, sell, transfer or otherwise dispose on my/our behalf the above named Fund; and
 - to do, or procure to be done, all such acts and things and to sign, execute and deliver, or procure to be signed, executed and delivered, on my/our behalf any documents from time to time.
- In the event you are prohibited from executing subscription/redemption instruction due to unavailability of your computer system or causes beyond your control, I/we agree that you are entitled to subscribe/redeem and debit/credit my/our above named account pursuant to this Fund Application and Standing Subscription Instruction on the business day upon which your computer system is recovered or the causes have ceased to exist.
- I/We agree and understand that you accept no responsibility for failure to follow and/or act on this Fund Application and Standing Subscription Instruction for whatsoever reason save for your negligence or willful neglect.
- I/we am/are over 18 years of age, and am/are not US persons, residents in or citizens of the United States of America.
- This authorization is valid for a period of up to 12 months from the date hereof and may be renewed or deemed to be renewed for subsequent periods of up to 12 months each either with my/our written consent or if I/we am/are given a written notice by you at least 14 days prior to the expiry of such authorization and do not object to the renewal of such authorization before its expiry. I/We undertake to ratify and confirm any instruction given or purported to be given by you under this authorization between the notice period of revocation of this authorization.
- This Fund Application and Standing Subscription Instruction has been fully explained to me/us, and I/we understand and accept the contents of this Fund Application and Standing Subscription Instruction.
- This Fund Application and Standing Subscription Instruction shall be governed by and construed in accordance with the laws of Hong Kong Special Administrative Region of the People's Republic of China.

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

S.V.

Date 日期 (DD日/MM月/YY年)