

## Investment Product Order Form – Funds

### 投資產品交易指示表格 – 基金

- Please read the Terms and Conditions set out in the Client Agreement, in particular the Risk Disclosure Statements contained therein, carefully before completing this form.  
請於填寫本表格前，小心細閱客戶協議書內之條款與限制，包括風險披露聲明。
- It is recommended that you read the offering documents before completing this form.  
建議閣下在填寫本表格前應先閱讀產品發行文件。
- Please read the “Disclosure of Transaction Related Information” located at the last page of this form carefully.  
請閣下細閱在本表格最後一頁的「與交易相關的資料披露」。
- **Please ✓ the appropriate box.** Trading instructions could not be processed with unclear or incomplete instructions.  
**請在適當的空格填上✓號。**如指示不清晰或不完整，我們將不能執行交易指示。
- Please return the completed form to [wm.asia@sinopac.com](mailto:wm.asia@sinopac.com) or fax to 852-2586-8412/0080-185-5985.  
請將填寫完成後的表格電郵至 [wm.asia@sinopac.com](mailto:wm.asia@sinopac.com) 或傳真至 852-2586-8412/0080-185-5985。

#### Client Details 客戶資料

Type of account  Individual/Joint Holders  Corporation  
帳戶類別  個人/聯名客戶  公司客戶

Client name  
客戶名稱

Account no.  
帳號

#### Order Details 交易指示詳情

Subscription 認購  Redemption 贖回  Switching 轉換

Subscription/Switching To order 認購/轉換(至)指示

Name of provider and fund and share/unit class 基金名稱及股份/單位類別	Currency 貨幣	Gross subscription amount 申購金額	Sales commission 銷售佣金

Redemption order/Switching From order 贖回/轉換(由)指示

Name of provider and fund and share/unit class 基金名稱及股份/單位類別	Currency 貨幣	Number of shares 股份數目

- This order must be modified or cancelled in writing.  
本交易指示修改或取消須以書面提出。
- Sales commission is calculated based on gross subscription amount, the commission earned on this transaction will not be more than 5% of the investment amount.  
銷售佣金是以申購金額為基礎計算，將不超過投資金額的 5%。

### Warning Statements in relation to distribution of Complex Product (if applicable)

#### 有關分銷複雜產品的警告聲明(如適用)

According to the Securities and Futures Commission ("SFC") of Hong Kong's regulatory guidelines, the following funds should be regarded as Complex Product:

根據香港證券及期貨事務監察委員會（「證監會」）監管指引，以下基金應被視為複雜產品：

- (i) funds authorized by the SFC under the UT Code which are derivative funds; and  
證監會根據《單位信託守則》認可並屬於衍生產品基金的基金；及
- (ii) funds authorized by the SFC under 8.7 of the UT Code (ie, SFC-authorized hedge funds).  
證監會根據《單位信託守則》第 8.7 條認可的基金（即證監會認可對沖基金）。

If this investment product belongs to Complex Product (as defined by SFC) as indicated in this form below, you are advised to pay attention to the following warning statements:

如本表格最後顯示此投資產品屬於證監會定義的複雜產品，我們建議閣下留意以下警告聲明：

- Investors should exercise caution in relation to the complex products.  
投資者應就複雜產品審慎行事。
- Investors may lose more than the invested amount.  
投資者或會蒙受大於投資金額的損失。
- If the offering documents or information provided by the product issuer have not been reviewed by SFC, investors are advised to exercise caution in relation to the offer.  
如產品發行人提供未經證監會審閱的要約文件或資料，投資者應就該要約審慎行事。
- If the complex products are described as having been authorized by the SFC, such authorization does not imply official recommendation or that SFC authorization is not a recommendation or endorsement of a product nor does it guarantee the commercial merits of a product or its performance.  
如複雜產品被形容為已獲證監會認可，該認可不表示獲得官方推介或證監會認可不等如對該產品作出推介或認許，亦不是對該產品的商業利弊或表現作出保證。
- Past performance is no indication of future results, and values fluctuate.  
過去的表現不能保證未來業績，價值會有波動。
- Certain complex products may only be available to Professional Investors.  
某些複雜產品可能只供專業投資者買賣。

### Risk Disclosure Statements 風險披露聲明

- The prices of shares/units fluctuate, sometimes dramatically. The prices of shares/units 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. Funds may invest in emerging markets or single countries or industry sectors. The investment focus of such funds might give rise to increased risk over more diversified funds. Also, there are special risks involved with investment in hedge funds/absolute return funds. Before making an investment decision, client should read and fully understand the risks set out in the offering documents, and obtain professional advice.  
基金價格有時可能會非常波動。基金價格可升可跌，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。若干基金可投資於新興市場或單一國家或單一產業。該等基金的投資焦點可引致該等基金相對於較為分散投資的基金之風險較大。而投資對沖基金／絕對回報基金存在特殊風險。於作出投資決定前，客戶需閱讀並完全明白銷售文件所載之風險及聽取專業意見。
- Certain funds will have derivative exposures that client may be restricted from investing in it. Derivative instruments may be used to reduce risks or costs or to generate additional capital or income in order to meet the investment objectives of the funds, as described in their respective offering documents. The following are the key risks related to the use of derivatives; market risk, liquidity risk, counterparty credit risk, settlement risk, fund management risk.  
某些基金可能會使用衍生工具，客戶投資該等基金可能會受到限制。基金經理可能會使用衍生工具去降低風險或成本，又或締造額外的資本或收益，以達到發行文件所載的相關基金投資目標。使用衍生工具涉及的主要風險如下：市場風險，流動性風險，交易對手信貸風險，結算風險，基金管理風險。
- Upon considering fixed income investment funds (including the high yield bond funds), the risk will involve credit risk, liquidity risk, interest rate risk or vulnerable to economic cycles. High yield bond funds are more volatile and subject to greater level of risks. Dividend from some bond funds may be paid out of capital and dividend rate is not guaranteed.  
投資於定息基金的價格（包括高息債券基金）將取決於市場利率、發行機構的信貸質素，流動性及經濟周期的轉變等因素。高息債券基金的波幅及風險較高。若干債券基金的股息可能從基金資本支出及股息率不獲保證。

Please refer to the offering documents for more details of the product features and risks.

如欲了解更多有關投資產品的產品特性和風險，請參閱產品發行文件。

Risk level of Product 產品風險評級		<input type="checkbox"/> RR1 <input type="checkbox"/> RR2 <input type="checkbox"/> RR3 <input type="checkbox"/> RR4 <input type="checkbox"/> RR5
Product only for PI 產品只供專業投資者認購		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Type of Product 產品類別		<input type="checkbox"/> Non-Complex Product 非複雜產品 <input type="checkbox"/> Complex Product 複雜產品
Trade Date 交易日期		
<b>Disclosure of Transaction Related Information (for distribution of investment product)</b> 與交易相關的資料披露 (分銷投資產品)		
(A)	Capacity in which SinoPac is acting 永豐金證券(亞洲)的身份	SinoPac acts as <b>**agent/ principal</b> in execution of the trade order specified in this form. 永豐金證券(亞洲)作為 <b>**代理人/ 主事人</b> 執行本表格的交易指示。
(B)	Affiliation with product issuer 與產品發行人的聯繫	There are <b>**close/ NO close</b> links or other legal or economic relationships between SinoPac and the product issuer. Details of the relationship (if applicable):  永豐金證券(亞洲)與產品發行人 <b>**有/ 沒有</b> 任何緊密聯繫或其他法律或經濟關係。 關係詳情(如適用)：
(C)	SinoPac's independence 永豐金證券(亞洲)的獨立性	SinoPac is <b>NOT</b> an independent intermediary because SinoPac receives fees, commissions, or other monetary benefits from other parties (which may include product issuers) in relation to SinoPac's distribution of investment products to you. Details of these benefits are set out in below section (D). 永豐金證券(亞洲)並非獨立的中介人，因為永豐金證券(亞洲)有收取由其他人士(可能包括產品發行人)就永豐金證券(亞洲)向閣下分銷投資產品而提供的費用、佣金或其他金錢收益。相關收益的詳情請參閱以下(D)部份。
(D)	Monetary benefits to be received by SinoPac from product issuer 永豐金證券(亞洲)將從產品發行人收到的金錢利益	Maximum [X]% of the investment amount 上限為投資金額的[X]%
(E)	Discount arrangement 折扣安排	SinoPac may at its absolute discretion offer discounts to clients in subscribing investment product. Please contact SinoPac for more details. 永豐金證券(亞洲)有絕對酌情權可能就客戶認購投資產品提供折扣優惠。如欲查詢詳情，請與永豐金證券(亞洲)聯絡。

**\*\* Please cross out where not applicable. 如不適用請刪去。**

**Client Declaration 客戶聲明**

- I/We acknowledge that I/we have received and read the offering documents of the relevant investment product(s) (including but not limited to term sheet, key fact Statements, explanatory memorandum, prospectus, annual/semi-annual report)(collectively referred to as "Offering Documents"). I/We understand and undertake to be bound by the terms and conditions (including risk disclosure statements) of the Offering Documents and this form as may be amended from time to time. I/We have also been invited to ask questions and take independent professional advice in respect of any questions I/we may have.  
本人/吾等證實本人/吾等已收到及閱讀有關投資產品的發行文件(包括但不限於資料單張、產品資料概要、銷售說明書、發行章程、週年/半年報告)(統稱為「發行文件」)。本人/吾等明白及承諾接受發行文件及本表格不時修改的條款(包括風險披露聲明)。本人/吾等亦已獲邀請提出問題，以及就本人/吾等可能存有的任何問題尋求獨立專業意見。
- I/We confirm that representative of SinoPac has fully explained the contents of this form and relevant product features and investment risks in language that I/we understand.  
本人/吾等確認永豐金證券(亞洲)的代表以本人/吾等明白的語言向本人/吾等充分講解本表格的內容及有關投資產品的特性及風險。
- I/We fully understand the product structure, investment tenor, obligations, risk and returns associated with the relevant investment product(s) and confirm that I/we wish to proceed with my/our order at my/our own risks on my/our judgment and decision. Notwithstanding the aforementioned, if SinoPac solicits the sale of or recommends any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of this form or any other document SinoPac may ask me/us to sign and no statement SinoPac may ask me/us to make derogates from this clause. For the purpose of this clause, "financial product" means any securities or futures contracts as defined under the Securities and Futures Ordinance.  
本人/吾等完全明白有關投資產品的產品結構、投資年期、責任、風險及回報，並確認本人/吾等以本人/吾等的判斷及決定進行本人/吾等的交易指示，風險由本人/吾等自行承擔。儘管有上述規定，若永豐金證券(亞洲)向本人/吾等招攬銷售或建議任何金融產品，該金融產品必須是永豐金證券(亞洲)經考慮本人/吾等的財政狀況、投資經驗及投資目標後認為合理地適合本人/吾等的產品。申請表格的其他條文、本條款或永豐金證券(亞洲)可能要求本人/吾等簽署的任何其他文件及永豐金證券(亞洲)可能要求本人/吾等作出的任何聲明概不會減損此條款的效力。就此條款而言，「金融產品」指《證券及期貨條例》所界定的任何證券或期貨合約。
- I/We understand that SinoPac and its affiliated companies and associate companies may perform multiple roles in distribution of any investment product, including but not limited to investment manager, investment advisor and fund administrator. The economic interest of each role that SinoPac or its affiliated company or associate company performs may contravene with your interest and SinoPac or its affiliated company and associate company may have conflict of interests of each role that it performs and I/we confirm that I/we am/are willing to proceed applying for the trading order notwithstanding the foregoing.  
本人/吾等明白永豐金證券(亞洲)與其附屬公司及聯營公司可能就任何投資產品的發行擔任多個身份，包括但不限於投資經理、投資顧問及行政管理人。永豐金證券(亞洲)或其附屬公司或聯營公司於每一身份的經濟利益可能與閣下的利益相反，永豐金證券(亞洲)或其附屬公司或聯營公司擔任不同角色上可能產生利益衝突。儘管有上述情況，本人/吾等確認仍然願意繼續申請進行交易指示。
- I/We acknowledge and agree that SinoPac /market dealer/product issuer or other related parties may, in their absolute discretion, refuse to accept the order(s) contained in this form.  
本人/吾等確認及同意永豐金證券(亞洲)/交易商/產品發行人或有關方有絕對酌情權可能拒絕接受在本表格中所載的指示。
- I/We declare that I/we are not citizen(s) or resident(s) or tax resident(s) of the United States of America.  
本人/吾等聲明本人/吾等並非美國公民或為美國居民或為美國稅務居民。
- I/We confirm the order(s) specified in this form.  
本人/吾等確認在本表格之交易指示。
- Please tick the box below if the statement next to it truly reflects your circumstance.  
若以下陳述真確反映閣下的情況，請在其旁的方格填上別號。  
 I/We apply for this trading order solely based on my/our judgment, without receipt of any solicitation or recommendation by SinoPac, who did not provide me/us with any market or investment product specific information or give any answer to my/our questions about which market(s) or investment product(s) is/are good for investment when I/we considered this application.  
本人/吾等是次交易指示申請僅出於本人/吾等的判斷，並沒有收到永豐金證券(亞洲)之任何招攬或建議。在本人/吾等考慮是次申請時，永豐金證券(亞洲)沒有向本人/吾等提供任何特定市場或投資產品的資料，亦沒有就本人/吾等提出關於哪些市場或投資產品適合投資的問題上給予任何答案。

Date 日期：\_\_\_\_/\_\_\_\_/\_\_\_\_

Signature 簽署

Client name  
客戶名稱

Account no.  
帳號

**For internal use only 只供內部使用**

Verified by 核實職員姓名

Position 職位

Signature 簽署

Date 日期



To be completed by the Company 由公司填寫			
Client name 客戶名稱		Account no. 帳號	
Trade Date 交易日期			
Suitability Assessment Section 投資產品合適性部分			
(I) Classification of Professional Investor 專業投資者分類			
Does the client be classified as a Professional Investor? 客戶是否為專業投資者?		<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是
		<input type="checkbox"/>	Individual PI 個人專業投資者
		<input type="checkbox"/>	Corporate PI (CPI Assessment satisfied) 法團專業投資者(通過有關專業投資者評核)
		<input type="checkbox"/>	Corporate PI ( <u>cannot</u> satisfy CPI Assessment) 法團專業投資者(未能通過有關專業投資者評核)
		<input type="checkbox"/>	Institutional PI 機構專業投資者
(II) Risk Tolerance Level 風險承受水平			
Date of completion of Investment Suitability Questionnaire 完成投資屬性問卷日期			
Investment suitability classification 投資屬性分類	Risk level of investment product 建議產品風險等級	Investment suitability classification 投資屬性分類	Risk level of investment product 建議產品風險等級
<input type="checkbox"/> Grade 1 第一級 Secure 穩健型	RR1	<input type="checkbox"/> Grade 2 第二級 Cautious 審慎型	RR1 ~ RR2
<input type="checkbox"/> Grade 3 第三級 Balanced 均衡型	RR1 ~ RR3	<input type="checkbox"/> Grade 4 第四級 Adventurous 進取型	RR1 ~ RR4
<input type="checkbox"/> Grade 5 第五級 Speculative 投機型	RR1 ~ RR5		
Transact derivative products 買賣衍生產品	<input type="checkbox"/> Can 可以	<input type="checkbox"/> Cannot 不可以	
(III) Investment Concentration Level 投資集中度			
Proportion of value of this product or same type of this product to the client's total declared assets not more than 20% 客戶持有單一產品或同一種類產品之總值佔客戶聲明總資產百分比不超過 20%		<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
(IV) Eligibility for Suitability Assessment 進行合適性評估資格			
Please ✓ where applicable: 如適用，請✓：			
<input type="checkbox"/> if SinoPac does <u>not</u> make solicitation or recommendation + non-complex product: all types of client are <u>exempted</u> to complete section (V) "Suitability Assessment" section 如永豐金證券(亞洲)並無作出招攬或建議 + 非複雜產品：所有客戶種類無須填寫第(V)部分「合適性評估」			
<input type="checkbox"/> if SinoPac does <u>not</u> make solicitation or recommendation + complex product (derivative product traded in exchange an exchange in HK or in a specified jurisdiction): all types of client are <u>exempted</u> to complete section (V) "Suitability Assessment" section 如永豐金證券(亞洲)並無作出招攬或建議 + 複雜產品(在香港或指明司法管轄區內的交易所買賣的衍生產品)：所有客戶種類無須填寫第(V)部分「合適性評估」			
<input type="checkbox"/> (i) Corporate PI (CPI Assessment satisfied) and; (ii) Institutional PI are <u>exempted</u> to complete section (V) "Suitability Assessment" section (i)法團專業投資者(已通過有關專業投資者評核)；及(ii)機構專業投資者無須填寫第(V)部分「合適性評估」			
<input type="checkbox"/> The client does not obtain any exemption and <u>has to complete</u> section (V) "Suitability Assessment" section 客戶沒有得到任何豁免，需要填寫第(V)部分「合適性評估」			

(V) Suitability Assessment 合適性評估			
<p>If there is no exemption in (IV) section, please complete this section (V) below. 如果在第(IV)部分沒有任何豁免，請填寫以下第(V)部分。</p> <p>Please document the rationale behind the investment product named above that is reasonably suitable to the client, having regard to the following status of the client: 經考慮客戶以下狀況後，請記錄認為上述之投資產品為合理適合客戶投資之理由：</p> <ol style="list-style-type: none"> <li>1. Financial position: 財政狀況：</li> <li>2. Investment concentration level: 投資集中度：</li> <li>3. Investment experience and objectives: 投資經驗及目標：</li> <li>4. Risk tolerance: 風險接受程度：</li> <li>5. Features and risks of the investment product: 投資產品的特性及風險：</li> <li>6. Others: 其他：</li> </ol> <ul style="list-style-type: none"> <li>• When the "Investment Concentration Level" percentage exceeds 20%, the client should be deemed as not suitable to subscribe the relevant investment product. 當「投資集中度」百分比超過20%時，客戶應被視為不適合認購有關投資產品。</li> <li>• Chapter 37 Bonds are only available to Professional Investor. 只有專業投資者才可認購第三十七章債券。</li> </ul>			
(VI) Record 記錄			
<input type="checkbox"/> Telephone record 電話記錄	Date and time 日期及時間	Responsible staff 負責員工	Taped tel. no. 錄音電話號碼
<input type="checkbox"/> Document record 書面記錄	Date 日期	Responsible staff 負責員工	
<ul style="list-style-type: none"> <li>• Please attach herewith the supporting documentary record. 如屬書面記錄，請隨此評估表格附上。</li> </ul>			
(VII) Checklist 檢查清單			
<input type="checkbox"/> The client has received and been invited to read all the relevant latest offering documents of the investment product. 客戶已經收到並獲邀詳閱所有有關投資產品的最新發行文件。 <input type="checkbox"/> The Account Executive has clearly explained the product nature, disadvantages and extent of risks of the investment product (particularly, special features and associated risks of Complex Product) and the client fully understands those contents. 客戶主任已清楚講解及客戶已充分了解投資產品的特性、缺點及風險程度(尤其是複雜產品的特別產品特性及相關風險)。 <input type="checkbox"/> The client fully understands the rationale behind the recommendations of investment product as reasonably suitable to him/her (if applicable). 客戶已明白對其而言投資建議為合理適當的理由(如適用)。 <input type="checkbox"/> The client has been given sufficient time to digest, consider and evaluate the information and recommendations (if applicable) and has been given sufficient opportunity to raise queries. 客戶已獲得充足的時間消化、考慮及評估所提供的資料及建議(如適用)，並獲得足夠機會提出疑問。			
(VIII) RO Comment (mandatory for risk mismatch case) 負責人員意見(如有風險程度不匹配時必須填寫)			
Account Executive		Responsible Officer	
Signature 簽名		Signature 簽名	
Name 姓名		Name 姓名	
Date 日期		Date 日期	