

To 致:

Delta Asia Securities Limited 汇业证券有限公司 CE No.中央编号: AAW265
(hereinafter collectively referred to as “DAS” 以下统称为 “汇业证券”)

Fund Transfer Form 基金提存表格

Account Number:

Account Name:

账户号码: _____ 账户名称: _____

Please input the following Settlement Instruction (SI/ISI) to effect settlement with details as follow.

请按下列资料办理基金交收手续。

Instruction Type 指示类别	☐ Receipt of Fund 存入基金	☐ Delivery of Fund 提取基金	
Name of Counterparty 交收对手名称	Counterparty Contact Person 交收对手之联络人	Counterparty Contact Number 交收对手之联络电话	Settlement Date 交收日期
ISIN Code / Product Code ISIN 代码 / 产品代号	Fund Name 基金名称	No. of units 单位数目	
Remarks 备注: All charges in relation to the settlement instructions will be debited from the client's securities account. 相关费用将于客户之股票户口内扣除。			

Risk Disclosure Statement 风险声明

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, the applicant should read and fully understand the risks set out in the Offering Document, and obtain professional advice. 基金价格有时可能会非常波动。基金价格可升可跌，甚至变成毫无价值。买卖证券未必一定能够赚取利润，反而可能会招致损失。若干基金可投资于新兴市场或单一国家或工业行业。该等基金的投资焦点可引致该等基金相对于较为分散投资的基金之风险较大。而投资对冲基金/绝对回报基金存在特殊风险。于作出投资决定前，申请人需阅读并完全明白销售文件所载之风险及听取专业意见。

Declarations and Signature(s) 声明及签署

- I/We acknowledge that I/we have received, read and understood the most up to date version of the Offering Document relating to the funds. I/We undertake to be bound by these documents. 本人/吾等声明已收到、阅读和理解所认购基金的销售文件之最新版本，并同意受到该等文件的约束。
- I/We as the Investors should evaluate my/our investment needs and risk profile before making investment decisions. 本人/

吾等作为投资者在作出投资决定前，应先了解 本人/吾等的投资需要及风险承受能力。

3. I/We acknowledge that I/we have understood the risks involved in the fund investment and have read the Offering Document for details of the risk factors. I/We understand that DAS will not evaluate the appropriateness of my/our dealing orders. 本人/吾等明白基金投资涉及的风险，并已阅读有关销售文件。本人/吾等明白汇业证券不会就 本人/吾等所作交易指令的适当性作任何评价。
4. I/We have completed the Client Investment Profile Questionnaire. I/We acknowledge that I have understood, if there is mismatch between the product risk rating against my/our risk tolerance level, DAS will not process when a mismatch of risks occurs unless DAS is able to reach you to understand your investment rationale and receive confirmation. 本人/吾等已完成投资取向问卷。本人/吾等声明已理解如产品风险评级与 本人/吾等的风险承受程度是不相符的话，汇业证券将不会执行产品风险评级与阁下的风险承受程度不相符的交易指示，除非汇业证券能够在交易前与 本人/吾等联络，并了解 本人/吾等的投资意向及确认指示。
5. If DAS solicits 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 DAS may ask you to sign and no statement DAS may ask you to make derogates from this clause. 假如汇业证券向 本人/吾等招揽销售或建议任何金融产品，该金融产品必须是汇业证券经考虑 本人/吾等的财政状况、投资经验及投资目标后而认为合理地适合 本人/吾等的。本协议的其他条文或任何其他汇业证券可能要求 本人/吾等签署的文件及汇业证券可能要求 本人/吾等作出的声明概不会减损本条款的效力。
6. I/We agree that my/our personal details, identity proof, address proof and /or relevant documents may be transferred to the Registrar & Transfer Agent and Data Processing Agent or DAS delegates which may be a third party organization and is not part of Delta Asia Financial Group for anti-money laundering checking, processing data and/ or my/ our instructions. 本人/吾等同意汇业证券可提供本人/吾等之个人资料、身份证明、住址证明及/或 有关文件给予有关基金的过户登记处兼转让代理人及/或数据处理代理人或有关汇业证券代表（该代表可能是第三方机构 而非汇业财经集团之公司），以作打击洗黑钱的查证、处理数据及 本人/吾等之指示。
7. I/We acknowledge that no switching/redemption request will be accepted by DAS if a previous order remains outstanding. 本人/吾等明白若之前的任何交易要求尚未完成，汇业证券将不会接受任何转换或赎回的交易要求。
8. I/We consent to the rights reserved by DAS in declining any instruction and hereby confirm that DAS shall not be liable for any losses incurred in relation to any order. 本人/吾等同意汇业证券保留拒绝任何交易要求的权利，并确认汇业证券并不就有关任何交易指示所产生的损失负责。
9. I/We acknowledge my/our responsibility for any bank charges and related charges upon switching or redemption and such charges may reduce the switch-in investment amount or redemption proceeds, charging details might refer to the charge table from DAS's website. 本人/吾等确认 本人/吾等将承担任何转换或赎回投资的银行费用及相关费用，并明白转入投资的款项或赎回款项会相应减少，收费详情依汇业证券网页之收费表。
10. In accordance with anti-money-laundering requirements, I/we hereby consent to DAS making reasonable enquiries for the purpose of verifying the information disclosed and consent to DAS obtaining information about me/us. 根据防止清洗黑钱要求，本人/吾等据此同意汇业证券为确实所提供的资料作合理的查询，亦同意汇业证券查询 本人/吾等的资料。

☐ I/We further acknowledge that the investment decision(s) detailed in this form and in any subsequent orders for the funds distributed by DAS from time to time I/we place with DAS, are my/our own judgment. 本人 / 吾等进一步确认详列于本表格及其后由 本人 / 吾等就不时经汇业证券分销的基金而向汇业证券作出的任何指示内的投资决定，均由 本人/吾等自行判断作出。

Client Signature 客户签署	Date (dd/mm/yy) 日期 (日/月/年)
-----------------------	----------------------------

* Fund trading instruction cut-off time at 11:30 a.m. 基金交易指示截止时间为上午11:30

For Internal Use Only 只限内部使用

AE/RM/CS:	Approved by RO 批核者:	Maker 处理者:	Checker 审核者:
Name 姓名 _____	Name 姓名 _____	Name 姓名 _____	Name 姓名 _____
Date 日期 _____	Date 日期 _____	Date 日期 _____	Date 日期 _____