

To 致:

Delta Asia Securities Limited 滙業證券有限公司 CE No.中央編號：AAW265
(hereinafter collectively referred to as “DAS” 以下統稱為“滙業證券”)

Fund Transfer Form 基金提存表格

Account Number:

Account Name:

賬戶號碼: _____ 賬戶名稱: _____

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

請按下列資料辦理基金交收手續。

Instruction Type 指示類別	<input type="checkbox"/> Receipt of Fund 存入基金	<input type="checkbox"/> Delivery of Fund 提取基金	
Name of Counterparty 交收對手名稱	Counterparty Contact Person 交收對手之聯絡人	Counterparty Contact Number 交收對手之聯絡電話	Settlement Date 交收日期
ISIN Code / Product Code ISIN 代碼 / 產品代號	Fund Name 基金名稱	No. of units 單位數目	

Remarks 備註: All charges in relation to the settlement instructions will be debited from the client's securities account.
相關費用將於客戶之股票戶口內扣除。

Risk Disclosure Statement 風險聲明

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, the applicant should read and fully understand the risks set out in the Offering Document, 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工業行業。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，申請人需閱讀並完全明白銷售文件所載之風險及聽取專業意見。

Declarations and Signature(s) 聲明及簽署

- 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/吾等聲明已收到、閱讀和理解所認購基金的銷售文件之最新版本，並同意受到該等文件的約束。
- I/We as the Investors should evaluate my/our investment needs and risk profile before making investment decisions. 本人/

吾等作為投資者在作出投資決定前，應先了解 本人/吾等的投資需要及風險承受能力。

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/吾等明白基金投資涉及的風險，並已閱讀有關銷售文件。本人/吾等明白滙業證券不會就 本人/吾等所作交易指令的適當性作任何評價。
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/吾等已完成投資取向問卷。本人/吾等聲明已理解如產品風險評級與 本人/吾等的風險承受程度是不相符的話，滙業證券將不會執行產品風險評級與閣下的風險承受程度不相符的交易指示，除非滙業證券能夠在交易前與 本人/吾等聯絡，並了解 本人/吾等的投資意向及確認指示。
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. 假如滙業證券向 本人/吾等招攬銷售或建議任何金融產品，該金融產品必須是滙業證券經考慮 本人/吾等的財政狀況、投資經驗及投資目標後而認為合理地適合 本人/吾等的。本協議的其他條文或任何其他滙業證券可能要求 本人/吾等簽署的文件及滙業證券可能要求 本人/吾等作出的聲明概不會減損本條款的效力。
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/吾等同意滙業證券可提供本人/吾等之個人資料、身份證明、住址證明及/或 有關文件給予有關基金的過戶登記處兼轉讓代理人及/或資料處理代理人或有關滙業證券代表（該代表可能是第三方機構 而非滙業財經集團之公司），以作打擊洗黑錢的查證、處理資料及 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，滙業證券將不會接受任何轉換或贖回的交易要求。
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/吾等同意滙業證券保留拒絕任何交易要求的權利，並確認滙業證券並不就有關任何交易指示所產生的損失負責。
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/吾等確認 本人/吾等將承擔任何轉換或贖回投資的銀行費用及相關費用，並明白轉入投資的款項或贖回款項會相應減少，收費詳情依滙業證券網頁之收費表。
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. 根據防止清洗黑錢要求，本人/吾等據此同意滙業證券為確實所提供的資料作合理的查詢，亦同意滙業證券查詢 本人/吾等的資料。

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/吾等進一步確認詳列於本表格及其後由 本人/吾等就不時經滙業證券分銷的基金而向滙業證券作出的任何指示內的投資決定，均由 本人/吾等自行判斷作出。

Client Signature 客戶簽署	Date (dd/mm/yy) 日期 (日/月/年)
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* Fund trading instruction cut-off time at 11:30 a.m. 基金交易指示截止時間為上午11:30

For Internal Use Only 只限內部使用			
AE/RM/CS:	Approved by RO 批核者:	Maker 處理者:	Checker 審核者:
Name 姓名 _____	Name 姓名 _____	Name 姓名 _____	Name 姓名 _____
Date 日期 _____	Date 日期 _____	Date 日期 _____	Date 日期 _____