

基金交易指示表格
FUND TRANSACTION FORM

 致：中國天元證券有限公司
 To: China Tian Yuan Securities Limited

客戶名稱 Account Name _____

客戶號碼 Account Number _____

日期 Date _____

 認購 Subscription

基金編號及基金名稱 Fund Code & Fund Name	基金貨幣 Fund Currency	產品風險水平 Product Risk Level	認購費 (%) Subscription Fee (%)	付款貨幣 Payment Currency	投資金額 Investment Amount

 轉換 Switching
***只適用於每日交易基金之轉換 For Daily Dealing Fund switching only**

由 From		轉為 To			
基金編號及基金名稱 Fund Code & Fund Name	單位或比率 Unit or %	基金編號及基金名稱 Fund Code & Fund Name	基金貨幣 Fund Currency	產品風險水平 Product Risk Level	轉換費 (%) Switching Fee (%)



*只適用於非每日交易基金之轉換 For Non-Daily Dealing Fund Switching Only

由 From		轉為 To			
基金編號及名稱 Fund Code & Fund Name	單位或比率 Unit or %	基金編號及名稱 Fund Code & Fund Name	基金貨幣 Fund Currency	產品風險水平 Product Risk Level	轉換費 (%) Switching Fee (%)

風險取向 Risk Profile (請在適當的方格內加上'☑' '☒' where appropriate)

根據風險取向問卷，本人／吾等的風險取向為（請選擇下面的其中一項）

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

<input type="checkbox"/> 1 - 保守 Conservative	<input type="checkbox"/> 2 - 中度 Moderate	<input type="checkbox"/> 3 - 均衡 Balanced	<input type="checkbox"/> 4 - 增長 Growth	<input type="checkbox"/> 5 - 進取 Aggressive
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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。
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／吾等表示明白及確認本人／吾等在本基金買入的風險水平高於風險取向問卷中所得出的風險取向。貴公司代表已警告本人／吾等，並向本人／吾等解釋產品的風險水平高於本人／吾等所完成的風險取向問卷中得出的風險取向，以及本基金未必適合作為本人／吾等投資組合中的一部份。經 貴公司代表提醒後，本人／吾等依照本人／吾等的判斷及決定，堅持本人／吾等的選擇，風險由本人／吾等自行承擔。

I/We indicate, understand and acknowledge that the product risk level for the fund subscribed above is higher than my/our risk profile established under the Risk Profile Questionnaire. I have been warned and it has been explained to me/us by a representative of the Company that the product's risk level is higher than the risk profile established by completion of the Risk Profile Questionnaire and the Fund may not be suitable for me/us as part of my/our portfolio. I/ We still insist on making this choice at my/our own risks and on my/our judgment and decision after reminded by the Company's representative.

而本人堅持購買本基金的原因是（如有需要，請另頁書寫）

The reason I insist on proceeding with the fund subscription is (use supplement sheet if necessary):

客戶簽署

Client Signature

客戶同伴／第二位中國天元證券前線職員安排 Companion/Second Frontline Staff Arrangement

本人／吾等明白中國天元證券的建議，可考慮邀請一位同伴(朋友或親友)及第二位中國天元證券前線職員一同參與此銷售過程。

I/We understand that I/we am/are advised to have a companion (a friend or a relative) and a second frontline staff to attend this sales meeting.

客戶同伴安排 Companion Arrangement

- 本人／吾等有一位同伴(朋友或親友)一同參與此銷售過程以助本人／吾等了解中國天元證券對本人／吾等提供的投資意見

I/We have companion (a friend or a relative) to attend this meeting to facilitate my/our better understanding of the advice given to me/us.

同伴的姓名 Name of Companion	關係 Relationship

- 由於以下的原因，本人／吾等聲明本人／吾等並不需要同伴安排：
I/We declare that I/we do not need the companion arrangement due to the reason below:

原因 Reason

第二位中國天元證券前線職員安排 Arrangement of Second Frontline Staff

- 本人／吾等同意邀請第二位中國天元證券前線職員一同參與此銷售過程。

I/We agree to have a second frontline staff to attend this meeting.

職員姓名 Staff Name	職位 Title	職員簽署 Staff Signature

- 本人／吾等聲明本人／吾等並不需要此安排。
I/We declare that I/we do not need this arrangement.

客戶簽署
Client Signature

贖回 Redemption

***若贖回全部，請以英文正楷註明「ALL」。Please put "ALL" (in capital letter) if total redemption is required.**

基金編號及基金名稱 Fund Code & Fund Name	基金貨幣 Fund Currency	單位或比率 Unit or %	付款貨幣 Payment Currency



聲明 Declaration:

本人／吾等現確認已收悉所有認購之基金之相關章程，已參閱及明白其內容，並了解基金投資涉及風險並接受該等風險。

I/We hereby confirm that I/we have received the relevant prospectuses of all the funds subscribed to, have read and understood the contents of them and acknowledge that there are risks involved in investment in any funds and accept such risk.

本人／吾等按有關基金的章程及其他組成文件的條款，並根據中國天元證券有限公司客戶協議作基金投資。

I/We apply to invest in the funds according to the terms of the relevant prospectuses and other constituent documents of the relevant funds, and in accordance with the China Tian Yuan Securities Limited Client Agreement.

根據防止清洗黑錢要求，本人／吾等據此同意財富顧問及中國天元證券有限公司為確實所提供的資料作合理的查詢，亦同意財富顧問及中國天元證券有限公司查詢本人／吾等的資料。

In accordance with Anti-Money Laundering requirements, I/we hereby consent to the wealth advisor and China Tian Yuan Securities Limited to make reasonable enquiries for the purpose of verifying the information disclosed and consent to the Wealth Advisor and China Tian Yuan Securities Limited obtaining information about me/us.

本人／吾等確定本人／吾等已閱讀並明白及全面接受中國天元證券有限公司之客戶協議。

I/We confirm that I/we have read and understood the China Tian Yuan Securities Limited Client Agreement and accept them in full.

本人／吾等同意並了解，投資價值可升可跌，本人／吾等委託中國天元證券有限公司代為投資，並願意承擔此等風險。任何因投資表現所造成的損失，中國天元證券有限公司均毋須對本人／吾等負上任何責任。如上述交易需要進行貨幣兌換，本人／吾等同意使用中國天元證券有限公司或其託管人所定的匯率。

I/We agree and acknowledge that the value of the investment(s) may go down and up and by instructing China Tian Yuan Securities Limited to apply for any investment on my/our behalf, this risk which I am/we are prepared to accept. China Tian Yuan Securities Limited shall have no liability whatsoever to me/us for any losses I/we may suffer as a result of the performance of any investment(s). If there is any foreign exchange conversion involved for the above transaction(s), I/we agree to the foreign exchange rates contracted by China Tian Yuan Securities Limited and/or its custodian.

中國天元證券有限公司已提供，而本人／吾等亦已閱讀所有銷售文件，包括但不限於相關的基金章程／基金說明書及／或其摘要、基金單張、產品資料概覽及年報／半年報，本人／吾等同意所有銷售文件上的條款。

China Tian Yuan Securities Limited has provided, and I/we have read, all offering documents including, without limitation, the relevant prospectus/explanatory memorandum and/or its summary, factsheet, key facts statements and annual reports/semi-annual reports, and agree to the terms set out in such offering documents.

本人／吾等確認會負責承擔在匯款上的一切銀行收費並明白此等收費可能減少本人／吾等的投資金額。

I/We acknowledge that I am/we are responsible for any charges levied by the remitting bank or any correspondence bank for remittance and such charges may reduce the amount invested on my/our behalf with the product issuer(s).

本人／吾等明白若之前的任何交易要求尚未完成，中國天元證券有限公司將不會接受任何贖回交易指示。

I/We acknowledge that no redemption request will be accepted by China Tian Yuan Securities Limited if a previous order remains outstanding.

本人／吾等確認本人／吾等將承擔任何贖回的銀行收費，並明白贖回款項會相應減少。

I/We acknowledge my/our responsibility for any bank charges upon redemption and such charges may reduce the redemption proceeds.

本人／吾等同意中國天元證券有限公司保留拒絕任何交易指示的權利，並確認中國天元證券有限公司並不就有關任何交易指示所產生的損失負責。

I/We consent to the right reserved by China Tian Yuan Securities Limited in declining any instruction, and hereby confirm that China Tian Yuan Securities Limited shall not be liable for any losses incurred in relation to any instruction.

本人／吾等同意中國天元證券有限公司可以使用上述所提供的全部個人資料，作為身份核證／行政程序，或其他按《個人資料（私隱）條例》所定的任何用途。本人／吾等已閱讀並同意個人資料收集聲明。

I/we agree that all personal data provided may be used by China Tian Yuan Securities Limited in connection with verification/administration procedures, or disclosed for any other purposes as defined in the Personal Data (Privacy) Ordinance. I/We have read and agreed the Personal Information Collection Statement.



重要事項 Important Notes

認購指示 Subscription Order

- 1) 所有派息基金後續投資選擇將按照此表格內所列明之選擇而定。現金派息之款項將預設為直接存入閣下之證券現金賬戶。
The dividend payout election for all subsequent investment of dividend-distributing funds will always follow the initial payout method indicated in this Form. Please note the dividend payout in cash will be directly credited into your securities cash account by default.
- 2) 閣下將投資的產品或涉及衍生產品並可能與閣下的風險範圍不相符，因此建議閣下閱讀相關產品之銷售文件以清楚了解產品的特定風險。若閣下在該不相符的情況下仍然希望投資該產品，閣下必須諮詢閣下的財富顧問並了解閣下的財富顧問建議投資該產品的依據以確保適合及維護閣下的最佳利益。
The product(s) you are going to purchase might involve derivatives which might not match with your risk profile, you are recommended to read the offering documents for the specific risks associated with the product(s). If you wish to purchase the products despite the mismatch, you shall consult your Wealth Adviser and understand the rationale of your Wealth Adviser's recommendation on the product(s) in order to ensure they are suitable to and for the best interests of you.
- 3) 產品發行商收取管理佣金(如適用)，會根據閣下交易並持有的基金資產總值計算。
Product issuers will receive a trailer fee, if any, based on the net asset value under management of units in the fund arising from your subscription.
- 4) 若閣下投資帶有「末端費用(Back-end Load)」的基金，而有關費用將閣下於該基金之贖回款項中扣除。有關費用已包括中國天元證券有限公司及閣下的財富顧問由產品發行商提供的末端佣金(如適用)，根據相關產品發行商所釐訂的百份比計算。
If any "back-end load" security is subscribed, the fees payable within the fund will be deducted from your redemption proceed of the fund. The fees include a back-end commission rebated to China Tian Yuan Securities Limited and your Wealth Adviser by the product issuers based on the percentage set by the respective product issuers.

贖回指示 Redemption Order

- 1) 除非另有指示，贖回之款項將扣除所有費用後直接存入閣下之證券現金賬戶。
The redemption in cash will be directly credited into your securities cash account by default.

轉換指示 Switching Order

- 1) 基金轉換之轉換費用，將以扣除閣下於本表格指明之基金轉換單位數量形式收取。
Fund switching Fee will be collected by deducting from the number of units to be switched as stated in this Form by you.

客戶簽署

Client Signature _____

日期

Date _____



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Prepared & Checked by AE	Received by CS	Signature Verified by	Input by	Approved by
Name	Name	Name	Name	Name
Date	Date	Date	Date	Date

PVC Categories	
<input type="checkbox"/>	Visually Impaired
<input type="checkbox"/>	Illiterate or limited command of local language
<input type="checkbox"/>	Elderly (aged 65 or above)
<input type="checkbox"/>	Customer whose education level is “Primary 6 or below” or equivalent