

**PLEASE RETURN THIS FORM TO 請將本表格交回：**

Hai Tong Asset Management (HK) Limited      Haitong International Investment Managers Limited  
 海通資產管理（香港）有限公司      海通國際投資經理有限公司  
 22/F Li Po Chun Chambers, 189 Des Voeux Road Central, Hong Kong  
 香港德輔道中189號李寶椿大廈22樓  
 Investment Fund Services Hotline      : (852) 3588 7699 / (852) 2116 8200      Fax 傳真 : (852) 2116 0145  
 基金投資服務熱線  
 Website 網址      : www.htisec.com

**Please complete all questions in this form in block capitals. If any question is not applicable, please write "N/A" OR cross out that question.**  
**請用正楷填寫所有問題。如該項目不適用，請填寫"N/A"或把不適用項目刪除。**

1. Unitholder's Details 單位持有人資料					
Unitholder Account No. 單位持有人賬戶號碼					
Name of Unitholder 單位持有人名稱	(1) Company 公司				
	(2) Individual 個人	1. Name 姓名	ID/Passport No. 身份證/護照號碼	2. Name 姓名	ID/Passport No. 身份證/護照號碼
		3. Name 姓名	ID/Passport No. 身份證/護照號碼	4. Name 姓名	ID/Passport No. 身份證/護照號碼
Tel. No. (incl country & area codes) 電話號碼 (包括國家代碼及地區編號)		( )	Fax No. (incl country & area codes) 傳真號碼 (包括國家代碼及地區編號)		( )
E-mail Address 電郵地址					

2. Redemption Details 贖回資料		
Name of Fund(s) 基金名稱	Class 類別	Unit / Amount 單位 / 金額
a.)		
b.)		

3. Redemption Payment Instruction 贖回款項指示					
<input type="checkbox"/>	Please arrange to settle proceeds according to the standing instruction 請根據常行指示安排支付贖回款項				
<input type="checkbox"/>	Please arrange to credit proceeds by telegraphic transfer to the following account: 請安排款項電匯到以下賬戶：		Currency 貨幣	<input type="checkbox"/> HKD 港元	<input type="checkbox"/> Other (please specify) 其他 (請註明) _____
	Name of Correspondent Bank 代理銀行名稱		BIC/SWIFT Code of Correspondent Bank 代理銀行 BIC/SWIFT 代號		
	Address of Correspondent Bank 代理銀行地址		Country 國家		
	Name of Beneficiary Bank 收款銀行名稱		BIC/SWIFT Code of Beneficiary Bank 收款銀行 BIC/SWIFT 代號		
	Address of Beneficiary Bank 收款銀行地址		Country 國家		
	Name of Bank Account Holder 銀行賬戶持有人名稱				
	Number of Bank Account Holder 銀行賬戶持有人號碼				
<input type="checkbox"/>	Please issue a cheque payable to me / us and mail to my/our registered/ permanent address. 請開出應支付本人/我們的支票並郵寄至本人/我們的註冊/永久地址。		Currency 貨幣	<input type="checkbox"/> HKD 港元	<input type="checkbox"/> Other (please specify) 其他 (請註明) _____

Note 註:

- (a) If there is no indication, the redemption proceeds will be paid in the Fund's currency in accordance with the standing instruction indicated on the Master Account Opening Form of the Units.  
如果客戶沒有付款指示，該贖回款項將會按照總開戶表格的常行指示以基金之貨幣付款。
- (b) For funds denominated in RMB, redemption proceeds will be paid in the relevant currency of particular class of Units being redeemed, the Manager reserves the right to pay redemption proceeds for non-RMB denominated Units in RMB.  
關於人民幣基金產品，贖回款項將以擬贖回類別單位的有關貨幣支付，基金經理保留以人民幣支付非人民幣計值單位贖回款項的權利。
- (c) Redemption proceeds will only be made to the registered unit holder's bank account.  
贖回款項只支付予已登記單位持有人之銀行賬戶。

**4. Declaration And Signature 聲明及簽署**

1. I/We confirm that the information and instruction provided on this form are accurate, true and complete. I/We undertake to be bound by the term of the Offering Document relating to the Fund(s).

本人/我們確認此表格中所提供的資料及指示為準確，真實及完整。本人/我們承諾受有關基金的銷售文件之條款所約束。

2. I/We agree that by giving facsimile/online authorization, I/we confirm and acknowledge that (1) facsimile/Internet are not secure means of communication, and that I/we are aware of the risk involved, and that my/our request to the Distributor/Manager/Trustee to accept such facsimile/online instruction# is for my/our convenience; (2) each of the Distributor/Manager/Trustee is hereby authorised to act on any facsimile/online instruction# which the Distributor/Manager/Trustee, at its sole discretion, believes emanate from me/us, the Distributor/Manager/Trustee shall not be required to act upon any facsimile/online instruction# which emanate from unauthorized persons; (3) any transaction made pursuant to a facsimile/online instruction# acted upon in good faith and in the absence of negligence, wilful default or fraud on the part of the Distributor/Manager/Trustee shall be binding upon me/us whether made with or without my/our authority, knowledge or consent; (4) where facsimile instructions are given or sent by me/us, the fact that a transmission report produced by the originator of such transmission discloses that the transmission was sent (without written confirmation of receipt from the Distributor/Manager/Trustee) will not be sufficient proof of receipt by the Distributor/Manager/Trustee; (5) the Unitholder undertakes to keep the Distributor/Manager/Trustee indemnified at all times against, and to save the Distributor/Manager/Trustee harmless from all actions, proceedings, claims, losses, damages, costs and expenses which may be brought against the Distributor/Manager/Trustee or suffered or incurred by the Distributor/Manager/Trustee and which shall have arisen either directly or indirectly out of or in connection with the Distributor's/Manager's/Trustee's accepting facsimile/online instruction# and acting thereon, whether or not the same are confirmed in writing by me/us. (NOTE: Unitholders should for their own benefit confirm with the Distributor/Manager the receipt of the facsimile/online notices.)

本人/我們同意就通過圖文傳真/互聯網發出指示，本人/我們確認及知道(1)圖文傳真/互聯網並非傳送指示的安全方式，本人/我們同時瞭解其中涉及的風險及要求分銷商/基金經理/信託人接受透過圖文傳真/互聯網遞交之交易指示，是為本人/我們的便利；(2)分銷商/基金經理/信託人授權執行其酌情相信是由本人/我們發出的傳真/網上指示#，但是無須執行由非授權人士發出的傳真/網上指示#；(3)在沒有出現嚴重疏忽、故意失責或詐騙的情況下，分銷商/基金經理/信託人本於誠信而根據傳真/網上指示#進行的一切交易均對本人/我們有約束力，而不須本人/我們授權、知道或同意；(4)本人/我們通過圖文傳真發出指示時，由傳真機發出的傳送報告顯示傳送完成(並非由分銷商/基金經理/信託人發出的書面確認以通知收妥)，不足以代表分銷商/基金經理/信託人已收到該指示(5)基金單位持有人承諾就分銷商/基金經理/信託人所蒙受或對分銷商/基金經理/信託人所採取的一切法律行動、訴訟、索償、損失、損失賠償、費用及開支負責，不論是直接或間接由於分銷商/基金經理/信託人接受本人/我們發出之傳真/網上指示#及根據該等指示處理有關事宜，或本人/我們是否曾以書面確認該等事宜。(注意：基金單位持有人應與分銷商/基金經理確認是否收妥傳真/網上通知以保障本身利益。)

# Online instruction: client submit written instruction for transaction via internet by Haitong Fund Services Platform or email.

網上指示: 客戶透過互聯網，經海通「基金網上服務」或電郵遞交書面交易指示。

3. I/We confirm that I am/we are not a US Person (as defined in the Offering Document) and that I am/we are not acquiring the units for any US Person (as defined in the Offering Document).

本人/我們確認本人/我們並非美國人士(定義見銷售文件)，而且本人/我們並沒有為任何美國人士(定義見銷售文件)認購單位。

4. I/We have read the Personal Information Collection Statement set out in Section 5 of this form and agree to the terms therein. By signing herein, I/we consent that my/our personal data may be used, disclosed and transferred for the purposes and to the persons specified in the Personal Information Collection Statement (subject to my/our preference relating to the use of data for direct marketing purposes as indicated below). In particular, I/we consent that my/our personal data may be disclosed to persons (including any tax authority) within or outside Hong Kong:

- (i) for various local or foreign legal or regulatory compliance and/or tax reporting purposes, including but not limited to Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS); and/or
- (ii) for prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, terrorist financing and any other violation of laws or unlawful activities.

本人/我們已閱讀列載於本表格第 5 部分之個人資料收集聲明並同意當中的條款。藉簽署本表格表示(在不抵觸本人/我們於下述有關使用資料作直接促銷目的的選擇的情況下)，本人/我們同意本人/我們的個人資料可能就個人資料收集聲明內列明的目的使用、披露及轉移予個人資料收集聲明內所列明的人士。尤其，本人/我們同意本人/我們的個人資料可披露予香港境內或境外的人士(包括任何稅務機關)：

- (i) 以 遵從各地方或海外法律或法規及/或稅務申報目的，包括但不限於《海外賬戶納稅法案》(FATCA)及《通用報告準則》(CRS)；及/或
- (ii) 以防止、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、恐怖分子融資及任何其他違法或不合法的活動。

<i>For Internal use only 僅供內部使用</i>	
Intermediary 中介機構	
Agent's Name 中介人姓名	
Agent's Code 中介人編號	

Signature 簽署  
Name 姓名 \_\_\_\_\_

Signature 簽署  
Name 姓名 \_\_\_\_\_

Signature 簽署  
Name 姓名 \_\_\_\_\_

Signature 簽署  
Name 姓名 \_\_\_\_\_

Date 日期: \_\_\_\_\_

## 5. Data Privacy Policy of Haitong International Securities Group Limited and its subsidiaries (“HTISG”)

海通國際證券集團有限公司及其附屬公司（「海通國際證券集團」）之個人資料私隱政策

1. At HTISG, we want to provide the best service possible to our customers.
2. One way that we do this is by using customer information to provide our customers with convenient access to the right products and services. We also recognize that our customers have important expectations regarding the use of that information.
3. Safeguarding customer information is a matter that we take seriously. That is why we at HTISG have set forth the following principles to affirm our long-standing commitment to confidentiality.
4. From time to time, it is necessary for customers who are individuals to supply HTISG with data which are personal data (“Data”) for the purposes of the Personal Data (Privacy) Ordinance (Cap. 486 of the laws of Hong Kong). The purposes for which Data (and other information) relating to customers may be used are as follows:
  - the daily operation of the services and facilities provided to customers;
  - conducting credit checks;
  - assisting other institutions to conduct credit checks;
  - ensuring customers’ ongoing credit worthiness;
  - designing financial services or related products for customers’ use;
  - marketing financial services or related products to customers (please see further details in clause 6 below);
  - determining the amount of indebtedness owed to or by customers;
  - meeting the requirements to make disclosure under the requirements of any law or regulations; and
  - any purposes relating to any of the foregoing.

5. Data (and other information) held by HTISG relating to customers will be kept confidential but HTISG may disclose, and it is a condition of HTISG providing services, products and information to customers that each customer consents to the disclosure of all Data (and other information) to:
  - any officer, employee, agent, contractor or third party who provides administrative, credit information, debt collection, telecommunications, computer, payment or other services to HTISG in connection with the operation of their business;
  - any financial institution with which the customer has or proposes to have dealings;
  - regulatory or judicial authorities and other relevant government or statutory bodies;
  - any other person under a duty of confidentiality to HTISG including a company within HTISG which has undertaken to keep such information confidential.We share information regarding customers among HTISG only in accordance with strict internal security standards and confidentiality policies and with applicable law.
  - We hold our employees fully accountable for adhering to those standards, policies and laws.
  - We do not share information about our customers with other companies except in order to conduct our business, comply with applicable law, protect against fraud or make available special offers of products and services that we feel may be of interest to our customers. We may also provide information to regulatory authorities and law enforcement officials in accordance with applicable law.
  - We have established high standards for protecting information regarding our customers from unauthorized alteration or destruction.

### 6. USE OF DATA IN DIRECT MARKETING

We intend to use your personal data in direct marketing and we require your consent (which includes an indication of no objection) for that purpose. The specific requirement regarding your consent (which includes an indication of no objection) is introduced in Part VIA of the Personal Data (Privacy) Amendment Ordinance 2012. In this connection, please note that:

- a. your name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data held by HTISG from time to time may be used by HTISG in direct marketing;
- b. the following classes of services, products and subjects may be marketed:
  - i. financial, insurance, securities, commodities, investment and related services and products and facilities;
  - ii. reward, loyalty or privileges programmes in relation to the class of marketing subjects as referred to in clause 6b(i) above;
  - iii. services and products offered by HTISG’s co-branding partners (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be) in relation to the class of marketing subjects as referred to in clause 6b(i) above; and
  - iv. donations and contributions for charitable and/or non-profit making purposes;
- c. the above services, products and subjects may be provided or (in the case of donations and contributions) solicited by HTISG and/or:
  - i. any member of HTISG;
  - ii. third party financial institutions, insurers, securities, commodities and investment services providers;
  - iii. third party reward, loyalty, co-branding or privileges programme providers;
  - iv. co-branding partners of HTISG (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be); and
  - v. charitable or non-profit making organisations;
- d. in addition to marketing the above services, products and subjects itself, HTISG also intends to provide the data described in clause 6(a) above to all or any of the persons described in clause 6(c) above for use by them in marketing those services, products and subjects (in respect of which HTISG may or may not be remunerated), and HTISG requires your written consent (which includes an indication of no objection) for that purpose;  
**If you do not wish HTISG to use or provide to other persons your data for use in direct marketing as described above, you may exercise the opt-out right by notifying HTISG in writing to the address provided below in clause 9 of this notice.**

7. HTISG may, in accordance with the Personal Data (Privacy) Ordinance and any other applicable law,
  - a. match, compare or exchange any Data or other information provided by, or in respect of, a customer with Data (or other information) held by HTISG or any other person for the purpose of:
    - credit checking;
    - Data (and other information) verification;
    - otherwise producing or verifying Data (and other information) which may be used for the purpose of taking adverse action against the customer or any other person at any time;
  - b. transfer such Data (and other information) to any place outside Hong Kong (whether for the processing, holding or use of such Data (and other information) outside Hong Kong).
8. Under and in accordance with the terms of the Personal Data (Privacy) Ordinance each customer has a right to:
  - a. check whether HTISG hold Data about the customer and the right of access to such Data;
  - b. require HTISG to correct any Data relating to the customer which is inaccurate; and
  - c. ascertain HTISG’s policies and practices in relation to Data and to be informed of the kind of personal data relating to the customer held by HTISG.
9. Request for access and/or correct any data that customer has submitted shall be sent to the following address:

Haitong International Securities Group Limited  
22/F Li Po Chun Chambers,  
189 Des Voeux Road Central, Hong Kong  
Attn : Customer Service Department  
or phone to 3583 3388

10. In accordance with the terms of the Personal Data (Privacy) Ordinance, HTISG has the right to charge a reasonable fee for the processing of any Data access request.
11. At HTISG, information regarding our customers is used solely in the legitimate conduct of our business, to deliver superior service and to design products and special offers that demonstrate our understanding of our customers and their needs.
12. As we move forward in developing new products and services in an era of vast technological change, we will continue to maintain our dedication to assuring that customer information is properly used and appropriately safeguarded.

1. 海通國際證券集團一直致力為客戶提供最佳之服務。
2. 要達到此一目的，其中一個途徑就是利用客戶的資料，為客戶提供最方便的途徑，獲得合適的產品和服務，我們亦明白到客戶對於其個人資料的使用非常關注。

3. 保護客戶資料乃是我們一直認真處理的事項。因此，海通國際證券集團訂立了以下守則，矢志承諾對客戶的資料保密。
4. 個人名義的客戶必須不時向海通國際證券集團提供個人資料（「資料」），以作《個人資料（私隱）條例》（香港法例第 486 章）所述用途。有關客戶的資料（及其他資料）可用作以下用途：
- 向客戶提供之服務及設施之日常運作；
  - 進行信貸審查；
  - 協助其他機構進行信貸審查；
  - 確保客戶的信用維持良好；
  - 設計供客戶使用之金融服務或相關產品；
  - 向客戶推廣金融服務及相關產品（進一步詳情請參閱下文第 6 款）；
  - 釐定拖欠客戶或客戶拖欠之債務金額；
  - 根據任何法例或規例之規定，符合作出披露之要求；及
  - 與任何前述部份有關之任何用途。
5. 海通國際證券集團持有之客戶有關的資料（及其他資料）將會保密，但海通國際證券集團可向以下人士披露所有資料（及其他資料），而客戶同意披露所有資料（及其他資料）亦是海通國際證券集團向客戶提供服務、產品及資料之條件：
- 任何向海通國際證券集團提供有關其業務運作之行政、信貸資料、債務追討、電訊、電腦、繳款或其他服務之高級職員、僱員、代理、承包商或第三者；
  - 客戶已有或擬與之進行交易之任何金融機構；
  - 監管或司法當局及其他有關政府或法定機構；
  - 任何有責任為海通國際證券集團保密之其他人士，包括海通國際證券集團以內承諾保持此等資料機密之公司。
  - 海通國際證券集團內公司之間對客戶之資料使用，須依據嚴格之內部安全標準、保密政策及適用法律。
  - 我們約束僱員完全遵守該等標準、政策及法律。
  - 除為了進行業務、遵守適用法律、保護免受欺詐或作出我們認為可能符合客戶利益之產品及服務優惠外，我們不會將有關客戶的資料分發予其他公司。我們亦可依據適用法律向監管當局及執法人員提供資料。
  - 我們訂立了極高標準，以保護客戶的資料免受未經授權之更改或破壞。
6. 使用資料作直接促銷
- 我們擬使用閣下的個人資料作直接促銷，為此我們須取得閣下的同意（包括表示不反對）。2012 年《個人資料（私隱）（修訂）條例》第 VIA 部引入關於取得閣下同意的具體要求（包括表示不反對）。就此，務請閣下注意：
- a. 海通國際證券集團不時持有的閣下的姓名、聯絡詳情、產品及服務投資組合信息、交易模式及行為、財務背景及統計資料可由海通國際證券集團用於直接促銷；
- b. 以下服務、產品及標的類別可作推廣：
- i. 財務、保險、證券、商品、投資及相關服務和產品及授信；
  - ii. 有關上文第 6(b)(i) 款所述促銷標的類別的獎賞、年資獎勵或優惠計劃；
  - iii. 由海通國際證券集團的聯營夥伴提供有關上文第 6(b)(i) 款所述促銷標的類別的服務和產品（有關服務和產品（視屬何情況而定）的申請表上會提供該等聯營夥伴的名稱）；及
  - iv. 為慈善及／或非牟利目的而作出之捐款及資助；
- c. 上述服務、產品及標的可由海通國際證券集團及／或下述人士提供或（如涉及捐款及資助）募捐：
- i. 海通國際證券集團之任何成員公司；
  - ii. 第三方金融機構、承保人、證券、商品及投資服務提供者；
  - iii. 第三方獎賞、年資獎勵、聯營或優惠計劃提供者；
  - iv. 海通國際證券集團之聯營夥伴（有關服務和產品（視屬何情況而定）的申請表上會提供該等聯營夥伴的名稱）；及
  - v. 慈善或非牟利組織；
- d. 除了自行推廣上述服務、產品及促銷標的外，海通國際證券集團亦擬將以上第 6(a) 款所述資料提供予上文第 6(c) 款所述的全部或其中任何人士，以供該等人士在促銷該等服務、產品及促銷標的時使用（海通國際證券集團可能就此獲發或不獲發酬金），而海通國際證券集團須就此用途取得閣下的書面同意（包括表示不反對）；
- 如閣下不希望海通國際證券集團使用或提供閣下的資料予其他人士作上述直接促銷用途，閣下可向海通國際證券集團發出書面通知（郵寄地址載於下文本通知第 9 款），以行使閣下拒絕參與直銷活動的權利。**
7. 海通國際證券集團可依據個人資料（私隱）條例及其他適用法律進行以下活動：
- a. 將客戶提供或有關客戶之任何資料或其他資料，與海通國際證券集團或任何其他人士持有之資料（或其他資料）進行配對、比較或交換，以作以下用途：
- 信貸審查；
  - 資料（或其他資料）核對；
  - 提出或核對資料（或其他資料），該等資料可能用於在任何時候採取對客戶或任何其他人士不利的行動；
- b. 將此等資料（或其他資料）轉往香港以外任何地方（不論在香港以外處理、持有或使用此等資料（或其他資料））。
8. 根據及依據個人資料（私隱）條款，每位客戶均有權：
- a. 檢查海通國際證券集團是否持有有關客戶之資料，及是否有權使用此等資料；
  - b. 要求海通國際證券集團更改有關客戶之任何錯誤資料；及
  - c. 確定海通國際證券集團有關資料之政策及做法，以及獲知海通國際證券集團持有有關客戶之個人資料種類。
9. 查閱及／或改正客戶所提交之任何資料的要求送交以下地址：
- 海通國際證券集團有限公司  
香港德輔道中 189 號  
李寶椿大廈 22 樓  
《客戶服務部》收
- 或致電 3583 3388。
10. 依據個人資料（私隱）條例之條款，海通國際證券集團有權就處理任何資料索取查閱之申請收取合理費用。
11. 在海通國際證券集團，有關客戶之資料只會用於進行本身業務的合法用途，以提供優質服務，及進行產品設計及優惠，從而顯示我們明白客戶及其需要。
12. 隨著我們會在新科技年代進一步發展新產品和服務，我們會繼續竭力確保客戶的資料會被正確使用及受到適當保護。