



投資基金認購/贖回表格 SUBSCRIPTION REDEMPTION FORM INVESTMENT FUND

致To:

浙商國際金融控股有限公司(下稱“浙商國際”)

Zheshang International Financial Holdings Co., Limited (Hereinafter “Zheshang INTL”)

本人/吾等確認在填寫本表格前已閱讀並理解產品發行文件及有關資料。

I/We hereby confirm that I/we have read and understood the product offering documents and related materials prior to completing this form.

*以下表格中若不適用部分，請標注“NA”或“x”。

Please indicate "NA" or "x" for non-applicable sections in the form below.

客戶資料 Client Details:			
客戶名稱： Client Name :		帳戶號碼： Account No. :	
產品資料 Product Information:			
<input type="checkbox"/>	本人／吾等確認已在完成及簽署此申購書前，已收到及細閱以下文件（如適用）。I/We confirm that I/We have received and read the following documents (where applicable) carefully before completing and signing this form. 1. 發售章程 Prospectus/私募發售備忘錄 Private Offering Memorandum 2. 產品資料概要 Key Fact Statement/補充文件 Supplement 3. 年度報告／半年報告 Annual Report / Semi Annual Report		
交易指示詳情 (認購指示/ 贖回指示) Order Details (Subscription Order /Redemption Order)			
<input type="checkbox"/> 認購指示 Subscription Order			
基金名稱及股份/單位類別 Name of provider and fund and share/unit class	貨幣 Currency	申購金額 Gross Subscription Amount	認購費 Subscription Fee (%)
<input type="checkbox"/> 贖回指示 Redemption Order			
基金名稱及股份/單位類別 Name of provider and fund and share/unit class	貨幣 Currency	贖回金額 Gross Redemption Amount	贖回單位 Redemption Unit
<ul style="list-style-type: none"> ● 贖回金額必須等於或大於有關該基金的補充文件中指定的最低贖回金額。 Redemption amount must be equal to or larger than the minimum redemption amount as set out in the relevant Supplement of the Fund. ● 有關該基金贖回後的餘數投資金額必須等於或大於該基金的補充文件中指定的最低投資金額。 The remainder amount after redemption of the relevant Fund must be equal or larger than the minimum investment amount as set out in the relevant Supplement of the Fund. 			
有關分銷複雜產品的警告聲明 (如適用) Warning Statements in relation to distribution of Complex Product (if applicable)			
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： 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: <ul style="list-style-type: none"> ● 投資者應就複雜產品審慎行事。 Investors should exercise caution in relation to the complex products. ● 投資者或會蒙受大於投資金額的損失。 Investors may lose more than the invested amount. ● 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 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。 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. ● 過去的表现不能保證未來業績，價值會有波動。 Past performance is no indication of future results, and values fluctuate. ● 某些複雜產品可能只供專業投資者買賣。 Certain complex products may only be available to Professional Investors. 			
風險披露聲明 Risk Disclosure Statements			



- 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。

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.

- 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或會蒙受大於投資金額的損失。基金經理可能會使用衍生工具去降低風險或成本，又或創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。

Certain funds will have derivative exposures that client may be restricted from investing in it or may lose more than the invested amount. 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.

- 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、流動性及經濟週期的轉變等因素。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。

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.

- 如本表後續顯示此基金發行人屬於第三方發行人，並不屬於浙商國際集團，與浙商國際沒有聯屬關係。客戶投資該等基金可能會因基金發行人違約或其他不當行為導致投資金額損失。

If this form subsequently indicates that the issuer of this fund is a third-party issuer, not affiliated with Zhesang INTL Group and having no association with Zhesang INTL, the client's investment in such funds may suffer capital losses due to default or other misconduct by the fund issuer.

- 如欲瞭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。

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

風險及產品配對 Risk And Product Matching

產品風險評級 Risk level of Product	<input type="checkbox"/> 低風險 Low Risk <input type="checkbox"/> 中低風險 Medium Low Risk <input type="checkbox"/> 中風險 Medium Risk <input type="checkbox"/> 中高風險 Medium High Risk <input type="checkbox"/> 高風險 High Risk
產品只供專業投資者認購 Product only for PI	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
產品類別 Type of Product	<input type="checkbox"/> 非複雜產品 Non-Complex Product <input type="checkbox"/> 複雜產品 Complex Product

根據風險取向問卷及衍生工具知識評估問卷，本人/吾等的風險取向及衍生工具知識水準為：

My/Our risk aptitude established under the Risk Profiling Questionnaire and assessment on derivatives knowledge established under the Assessment on Knowledge of Derivatives Questionnaire are:

投資風險取向 Risk Aptitude:	<input type="checkbox"/> 穩健型 Conservative <input type="checkbox"/> 均衡型 Moderate <input type="checkbox"/> 進取型 Aggressive
衍生工具知識水準 Knowledge on Derivatives:	<input type="checkbox"/> 具備知識 With Knowledge <input type="checkbox"/> 不具備知識 Without Knowledge

集中性風險 Concentration Risk (本次認購金額占總資產淨值的佔比 Percentage of the Subscription Amount/Net Asset Value)

☐ <30% ☐ ≥30% - <50% ☐ ≥50% - ≤75% ☐ >75%

- ☐ 本人/吾等確認在投資取向問卷中得出的風險取向及在衍生工具知識評估問卷得出的衍生工具知識水準恰當，並可應用於本交易，而且本人/吾等的投資組合中單一基金的認購比例及基金類別的比例(包括經其他公司處理的投資)恰當，並不構成過度集中風險。本人/吾等確認及同意浙商國際或其僱員或顧問為本人/吾等所作之產品建議，本人/吾等確認已考慮本人/吾等之情況(包括及不限於財政狀況、投資目標及投資經驗及基金之風險水準、基金特點、所需之衍生工具知識等因素)，本人/吾等認為此基金是適合本人/吾等並同意認購/沽出。

I/We confirm that the risk aptitude established under the Risk Profiling Questionnaire and the assessment on derivatives knowledge established under the Assessment on Knowledge of Derivatives Questionnaire from Client Investment Profile Questionnaire are appropriate and I/we confirm to apply them to this transaction, and the exposure to a particular fund and fund category in my/our portfolio (including investments handled by other companies) is appropriate which will not result in over concentration risk. I/we agree and confirm the product recommendation made by Zhesang INTL or its employee or consultant to me/us. I/we confirm this fund is suitable for me/us and agree to buy/sell this fund after considering my/our circumstances (including but not limited to financial situation, investment objective, investment experience, and fund risk rating, fund features and the required derivative knowledge and etc.)

投資組合錯配確認（如適用） Acknowledgement of Profile Mismatch (if applicable)

本人/吾等確認 I/We acknowledge that

- ☐ 投資產品的風險類型高於本人/吾等承受風險能力或有別於本人/吾等選擇之投資策略、投資目標；及/或the risk rating of the Investment Product is higher than my/our risk profile or not consistent with my/our selected investment strategy、investment objective; and/or
- ☐ 本人/吾等將承受高度集中性風險。I/we would expose to high concentration risk.

本人/吾等在此進一步聲明和確認本人/吾等完全理解上述不匹配并再三考慮在此情況下，本人/吾等最終決定接受這種不匹配并



希望繼續投資原本擬定的金額於上述產品，原因如下：I/we declare and confirm that I/we fully understand the above mismatch and have reconsidered in these circumstances. It is my/our final decision to accept such mismatch and wish to continue to invest the original amount in the above Product with below justification：

與交易相關的資料披露(分銷投資產品) Disclosure of Transaction Related Information (for distribution of investment product)

浙商國際在本次交易行事的身份 The capacity in which Zheshang INTL is acting in this transaction

☐ Agent 代理人 ☐ Principal 主事人

發行人的聯屬關係披露 Disclosure of Affiliation with product issuer

☐ 所有其他發行人為第三方發行人，並不屬於浙商國際集團，因此與浙商國際沒有聯屬關係。浙商國際或其他集團公司可能擔任發行人機構的顧問或其他行政角色，並可能為此收取報酬。 All other issuers are third party issuers which are not Zheshang INTL group

companies and are therefore not affiliated with Zheshang INTL. The Zheshang INTL group companies may take on advisory or other administrative roles

with issuer entities, for which they may receive remuneration.

☐ 其名稱包含“浙商國際”字樣的發行人均屬於我們浙商國際的集團公司。如果他們是產品發行者，我們與他們有聯屬關係。

Issuers whose name bears the word “Zheshang” or “Zheshang INTL” are our group company. Zheshang INTL have affiliation with them if they are the product issuer.

獨立性披露 Disclosure of Independence

浙商國際並非獨立的中介人，原因如下: Zheshang INTL IS NOT an independent intermediary because:

1. 浙商國際有收取由其他人士(可能包括產品發行人)就浙商國際向本人吾等分銷投資產品而提供的費用、佣金或其他金錢收益，詳情已載於貴司向本人吾等提供的金錢收益披露；及/或

Zheshang INTL receives fees, commissions, or other monetary benefits from other parties (which may include product issuers) in relation to the product Zheshang INTL distributes. Details are provided by Zheshang INTL in the disclosure on monetary benefit; and/or

2. 浙商國際有收取由其他人士提供的非金錢收益，或與浙商國際可能向本人/吾等分銷的產品的發行人有緊密聯繫或其他法律或經濟關係。

Zheshang INTL receives non-monetary benefits from other parties in relation to the distribution of products, or Zheshang INTL has close links or other legal or economic relationships with issuers of the products that Zheshang INTL distributes.

3. 浙商國際作為所分銷產品的分銷商有機會收取認購金額的分銷收益。浙商國際及關聯公司或因擔任所分銷產品的基金管理人、副基金管理人，投資顧問，或提供經紀交易服務等而獲得利益，因此客戶需留意浙商國際可能出現的利益衝突情況。

As the distributor of the Fund, Zheshang INTL may receive distribution fee from the subscription amount. Zheshang INTL and its related companies may act as fund managers, co fund managers, investment advisor, or providing brokerage services to the Fund and receive benefits from the Fund. I/We shall attend to observe the conflict of interest that may arise.

收益披露 Disclosure of benefits

● 明確收取報酬 Explicit remuneration

☐ 以代理人身份 Act as Agent：

浙商國際及/或其任何有聯繫者有權將根據分銷合約而收取高達上述認購金額 _____ (%) 的分銷收益及每年收取高達投資價值的 _____ (%) 的持續收益。

Zheshang INTL and/ or any of its associates is entitled to receive an initial charge up to _____ (%) of the subscription amount and an annual fee up to _____ (%) p.a. of investment.

☐ 以主事人身份 Act as Principal：

我們在本次交易中獲得的交易利潤上限為面值的 _____ %。

The trading profit we obtain in this Transaction is capped at _____ % of the notional amount.

● 非明確收取報酬 Non-explicit remuneration

浙商國際及/或其任何有聯繫者有權從供應及分銷本身或其任何有聯繫者發行的基金中取得非明確金錢收益。

Zheshang INTL and/ or any of its associates is entitled to receive non-explicit monetary benefits from the origination and distribution of the Fund which is issued by it or any of its associates.

● 不可量化的金錢收益 Monetary benefits received are not quantifiable

浙商國際及/或其任何有聯繫者有權就分銷基金從產品發行人收取其他費用，此類收益屬於無法在銷售前或在銷售時量化計算的金錢收益。 Zheshang INTL and/ or any of its associates is entitled to receive other fees from the Product Issuer for the distribution of the Fund.,Such benefits constitutes monetary benefits that are not quantifiable prior to or at the point of sale.

● Non-monetary benefits 非金錢收益

浙商國際及/或其任何有聯繫者有權就分銷基金從產品發行人取得非金錢收益，包括但不限於獲取研究材料、免費的證券價格報



價、招待和研討會邀請。

Zheshang INTL and/ or any of its associates is entitled to receive non-monetary benefits from a Product Issuer for distribution of the Fund , including, but not limited to, access to research materials, free security price quotation, entertainment and invitations to seminars.

費用與收費折扣 Discount of Fees and Charges

浙商國際可按照認購金額及適用的宣傳資料中的條款和條件，不時提供費用及收費折扣予認購基金申請人。

Zheshang INTL may offer a discount on fees and charges to applicants for fund subscription from time to time in accordance with the terms and conditions in the applicable promotion material and the subscription amount.

客戶聲明 Client Declaration

- 本人/吾等確認本人/吾等已獲提供一份風險披露聲明[按照本人/吾等所選擇語言(中文或英文)編制]及相關銷售文件(部分文件僅提供英文版本)。本人/吾等已獲邀請細閱有關銷售文件及風險披露聲明、提問及尋求獨立意見(如本人/吾等有此意願)。本人/吾等亦確認本人/吾等已獲提供充足時間消化、考慮及評估 浙商國際提供的資料及推薦建議。(如適用)

I/We confirm that the Risk Disclosure Statement in the language of my/our choice (English or Chinese) and the related offering documents (some of which are in English ONLY) have been provided; and I/we have been invited to read such offering documents and Risk Disclosure Statement, to ask questions and to seek independent advice if I/we wish. I/We also confirm that I/we have been given sufficient time to digest, consider and evaluate the information and recommendations provided by Zheshang INTL. (if applicable)
- 本人/吾等已閱讀所有相關銷售文件，包括但不限於有關章程及/或其簡介及年報(如適用)及有關的產品資料概要(如適用)，並明白及同意該等銷售文件的條款。本人/吾等已充分知悉及明白銷售文件所載條款，包括但不限於該基金的投資風險及產品銷售資料披露。本人/吾等 完全明白本基金的產品結構、投資年期、責任及提早贖回的後果(就保本/有抵押投資產品而言)、風險及回報，並確認本人/吾等擬依照本人/吾等的判斷及決定進行本人/吾等的認購，風險由本人/吾等承擔。

I/We have read all related offering documents, including but not limited to, the relevant prospectus and/or its summary and annual report (if applicable), the relevant Product Key Facts Statements (if applicable), and understand and agree to the terms set out in such offering documents. I/We am/are fully aware of and understand the terms set out in the offering documents, including but not limited to the risks of investing in the Fund and the Disclosure of Product Sales Information. I/We fully understand the product structure, investment tenor, obligations and the consequences of early redemption (for capital guaranteed/secured investment products), risk and returns associated with the Fund and confirm that I/we wish to proceed with my/our subscription at my/our risks on my/our judgment and decision.
- 本人/吾等確認已考慮本人/吾等之情況(包括及不限於財政狀況、投資目標及投資經驗及基金之風險水準、基金特點、所需之衍生工具知識等因素)，本人/吾等認為此基金交易是適合本人/吾等並同意認購/沽出，執行此交易之風險由本人/吾等承擔。

I/we confirm this fund/transaction is suitable for me/us and agree to buy/sell this fund considering my/our circumstances (including but not limited to financial situation, investment objective, investment experience, and fund risk rating, fund features and the required derivative knowledge and etc.) and I/we execute this transaction at my/our own risks.
- 本人/吾等明白浙商國際在本交易中以上述交易相關資料披露中所述身份行事，且浙商國際及其有聯繫者可能從本交易及/或產品分銷中獲得上述交易相關資料披露中所述利益。

I/We understand that Zheshang INTL is in the capacity mentioned above (under Disclosure of Transaction Related Information) in the transaction and Zheshang INTL and its associates may receive benefit as specified above (under Disclosure of Transaction Related Information) in the trans action and/or distribution of the product.
- 本人/吾等明白該基金的銷售文件並非旨在提供及不得加以依賴作為任何稅務、法律或會計建議、信貸或該基金的其他評估，亦不能作為該基金預期回報(如有)的保證或擔保。本人/吾等應徵詢本人/吾等的稅務、法律、會計、投資、財務及/或其他顧問的意見。

I/We understand that the offering documents are not intended to provide, and must not be relied upon for, tax, legal or accounting advice, a credit or other evaluation of the Fund nor as assurance or guarantee as to the expected return (if any) of the Fund; I/we should consult my/our tax, legal, accounting, investment, financial and/or other advisors.
- 接受本人/吾等的認購申請及認購款項將不會違反任何適用的洗黑錢及恐怖分子融資法規，而本人/吾等承諾應要求即時提供浙商國際、投資經理、管理人、託管人或該等人士的任何代理人、僱員或受委人合理信納的本人/吾等的身份核實證明。倘若本人/吾等未能應要求提供本人/吾等的有關資料，以致無法處理本申請而產生任何損失，則本人/吾等將給予浙商國際、本基金、投資經理、管理人、託管人或該等人士的任何代理人、僱員或受委人充分的彌償，以使其免受任何損害。

The acceptance of my/our application for subscription together with the subscription monies will not breach any applicable money laundering and terrorist financing laws and regulations and I/we undertake to provide verification of my/our identity reasonably satisfactory to Zheshang INTL, the Investment Manager, the Administrator, the Custodian, or any of their agents, employees or delegates promptly on request. Zheshang INTL, the Fund, the Investment Manager, the Administrator, the Custodian, or any of their agents, employees or delegates shall be held harmless and indemnified by me/us against any loss arising from the failure to process this application if such information as has been required from me/us has not been provided by me/us.



7.	本人/吾等明白本交易所產生的相關費用、收費及支出。本人/吾等授權浙商國際從上述賬戶扣除執行上述交易的相關款項。 I/We understand the relevant fees, charges and expenses incurred from this transaction. Zhesang INTL is authorized to debit my /our above account with relevant funds to effect the above transaction.
8.	本人/吾等明白及承認如本人/吾等認購/購買/轉換該基金設有冷靜期機制，本人/吾等有權取消交易(須扣除合理的行政費用)，並向發行人售回產品或以其他方式將該產品的有關交易平倉。 I/We understand and acknowledge that if the Fund subscribed/purchased/switched by me/us has a cool off mechanism incorporated thereto, (subject to a reasonable administrative charge) I/we have a right under which such mechanism to cancel the order, sell back to the issuer or otherwise unwind the transaction in relation to that product.
9.	本人/吾等明白部分贖回可能受該基金相關註釋備忘錄所載各子基金單位類別的任何最低贖回金額限制。 I/We note that partial redemptions may be effected subject to any minimum redemption amount for each class of units of a sub fund in the relevant Explanatory Memorandum of the Fund.
10.	本人/吾等明白基金的價格及自基金所得收益可升可跌，在若干情況下，投資者的贖回權利或會受到限制。 I/We understand that the price of units and the income from the units can go down as well as up, and in certain circumstances the investor's right to redeem may be restricted.
11.	本人/吾等確認已充分瞭解該基金發行人有關情況，如該基金發行人為第三方發行人，並不屬於浙商國際集團，與浙商國際沒有聯屬關係。在若干情況下，本人/吾等投資該基金可能面臨第三方發行人的信用風險。本人/吾等願意承擔執行此交易的信用風險。 I/We hereby acknowledge full understanding of the relevant circumstances regarding the fund issuer. If the fund issuer is a third-party entity unaffiliated with Zhesang INTL Group and without any association with Zhesang INTL, I/we recognize that investing in such fund may expose me/us to the credit risk of said third-party issuer under certain circumstances. I/we expressly accept and assume the credit risk associated with executing this transaction.
12.	本人/吾等確認本人/吾等是： I/We confirm that I/we am/are: <input type="checkbox"/> 不需要特別照顧的客戶 Not Vulnerable Client(s) <input type="checkbox"/> 需要特別照顧的客戶 (請選擇下列一項或多項) Vulnerable Client(s) (Please select one or more) <input type="checkbox"/> 65 歲或以上 Aged 65 or above <input type="checkbox"/> 較低教育程度 小學或以下 Relatively low education level (primary or below) <input type="checkbox"/> 每月收入為 6,000 港元或以下 Monthly income of HKD6,000 or less <input type="checkbox"/> 對投資於投資產品缺乏認識的客戶 Unsophisticated clients (without investment product knowledge) <input type="checkbox"/> 未能就複雜的投資產品作出獨立投資決定並需要倚賴持牌人的意見的人士作出建議 Client may not be able to make independent investment decision on complex investment products and rely on the licensed persons for recommendation
13.	本人/吾等確認本人/吾等是首次購買基金 (不適用於沽出交易)： I/We confirm that I/we are first time buyer of fund (Not Applicable to Sell Order): <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
本人/吾等確認已仔細閱讀並理解上述填寫之內容。 I/We hereby confirm that I/we have carefully read and understood the above-mentioned information provided.	
客戶簽署 Client Signature	日期 Date

產品風險程度 Product Risk Level	參考投資策略 Reference Investment Strategy
低風險 Low Risk	投資產品採用保守投資策略及主要投資預期穩定及低潛在增長的市場/資產，但不一定保本，例如保本基金、貨幣市場基金。 The Investment Product employed conservative investment strategy(ies) and mainly invested in the market(s)/asset class(es) that expected stable and with low potential growth, but not necessarily principle protected. E.g. Guarantee Fund, Money Market Fund.
中低風險 Medium Low Risk	投資產品採用相對保守投資策略及主要投資預期較穩定及適度潛在增長的市場/資產，例如發達國家債券、投資級債券。 The Investment Product employed relatively conservative investment strategy(ies) and mainly invested in the market(s)/asset class(es) that expected quite stable and with moderate potential growth. E.g. Developed



	Market Bond, Investment Grade Bond.
中風險 Medium Risk	投資產品採用適度投資策略及主要投資預期適度波動及適度潛在增長的市場/資產，例如環球債券、發達國家均衡基金。The Investment Product employed moderate investment strategy(ies) and mainly invested in the market(s)/asset class(es) that expected moderate volatile and with moderate potential growth. E.g. Global Bond, Developed Market Balanced Fund.
中高風險 Medium High Risk	投資產品採用進取投資策略及主要投資預期波動及高潛在增長的市場/資產，但損失可能巨大，例如發展中國家債券、非投資級債券、發展中國家均衡基金、單一發達國家股票、發達國家區域型股票、環球股票。The Investment Product employed aggressive strategy(ies) and mainly invested in the market(s)/asset class(es) that expected volatile and with substantial potential growth, but the loss thereof may also be substantial. E.g. Emerging Market Bond, Non-investment Grade Bond, Developing Market Balanced Fund, Single Developed Market Equities, Developed Area Market Equities, Global Equities.
高風險 High Risk	投資產品採用非常進取投資策略及主要投資預期非常波動及極高潛在增長的市場/資產，但損失可能非常巨大，例如新興市場股票、單一發展中國家股票、單一行業股票、衍生工具。The Investment Product employed very aggressive strategy(ies) and mainly invested in the market(s)/asset class(es) that expected highly volatile and with substantial potential growth, but the loss thereof may also be very substantial. E.g. Emerging Market Equities, Single Developing Market Equities, Single Industry Equities and Derivatives.

持牌人聲明 Declaration by Licensed Person

本人確認客戶已接收到上述交易的相關銷售文件和其他相關銷售資料及按照客戶所選擇語言(中文或英文)編制的風險披露聲明，並已向客戶解釋有關文件內容。本人亦已通過口頭方式邀請客戶閱讀上述文件及就該等資料的內容提問並在有需要時徵求獨立意見。

I confirm that the client(s) have received the related offering documents and other related sales information in relation to the above transaction and the Risk Disclosure Statement in English or Chinese as preferred by the client(s) and explained the relevant documents to the client(s). I also verbally invited the client(s) to read the same and to ask questions about the content of such information and, if needed, seek independent advice.

面談 Face to Face 電話 By Phone (時間 Time : _____)	_____	
	持牌人簽署 Signature of Licensed Person	
_____	_____	_____
日期 Date	持牌人姓名 Name of Licensed Person	中央編號 CE No.

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投資產品合適性評估

已經進行客戶風險評估/確認原評估風險取向	<input type="checkbox"/> 是	<input type="checkbox"/> 否	<input type="checkbox"/> 不適用
產品風險程度與客戶風險取向相適應	<input type="checkbox"/> 是	<input type="checkbox"/> 否	<input type="checkbox"/> 不適用
客戶身份要求匹配(複雜產品)專業投資者	<input type="checkbox"/> 是	<input type="checkbox"/> 否	<input type="checkbox"/> 不適用
需要特別照顧的客戶	<input type="checkbox"/> 是	<input type="checkbox"/> 否	<input type="checkbox"/> 不適用
首次購買基金客戶	<input type="checkbox"/> 是	<input type="checkbox"/> 否	<input type="checkbox"/> 不適用
投資集中度(佔客戶聲明總資產)	<input type="checkbox"/> ____ % , 已提供證明文件/我司帳戶權益/開戶聲明財產 <input type="checkbox"/> 不適用		
銷售人員意見(如有風險程度不匹配時必須填寫)			
經辦人員		負責人員	
簽署		簽署	
姓名		姓名	
日期		日期	