

# Schroders

## Transaction Form (CPF / SRS)

### Schroder Investment Management (Singapore) Ltd

Please return the completed form to **HSBC Transfer Agency** either  
 By Post: **HSBC Transfer Agency**  
**5/F Tower 1, HSBC Centre, 1 Sham Mong Road, Kowloon, Hong Kong**  
 By Fax: **+852 3409 1079** 8008528498 (Singapore toll free)

**For Enquiries:**  
 Email: [schrodersapacquery@hsbc.com.hk](mailto:schrodersapacquery@hsbc.com.hk)

**Please complete this form in block letters. (All fields are mandatory, refer to Notes)**

#### I. Applicant Details

Please attach a copy of NRIC / Passport.  
 # No U.S. person, please refer to Note 1(A)(viii).

If you are a natural person, by completing and signing this form, you represent that you are the ultimate economic beneficiary(ies) of the Fund being subscribed.

\* A PO Box address will not be accepted for the purposes of registration. Only the address of the first-named applicant will be used for registration purposes. Please provide a proof of address within the last three months.

(a) Country: The main and additional countries of residences have to be disclosed in accordance with Luxembourg and Singapore Law. Schroders may share your account information with the respective tax authorities, who in turn may then share this with other tax authorities representing the jurisdiction in which you have confirmed you are tax resident. If you have more than 2 residences, please attach to this form a separate sheet of paper with the related tax identification numbers.

(b) For the countries of tax residences declared, please provide a Tax Identification Number. If your country of tax residence does not issue TINs, please leave the field blank.

(c) The country must match the country specified in the Address.

#### Applicant:

Full Name (please underline surname)		Gender
<input type="text"/>		Male / Female
Singapore NRIC / Passport No.	Date of Birth	
<input type="text"/>	<input type="text"/>	
# Nationality	Country of Birth	
<input type="text"/>	<input type="text"/>	
* Address		
<input type="text"/>		
<input type="text"/>		
<input type="text"/>		
Postal Code	<input type="text"/>	
Telephone (Country - Area Code - Number)	Fax (Country - Area Code - Number)	
<input type="text"/>	<input type="text"/>	<input type="text"/>
Email address		
<input type="text"/>		
Country of Taxation 1 <sup>(a)(c)</sup>	Tax Identification Number 1 <sup>(b)</sup>	
<input type="text"/>	<input type="text"/>	
Country of Taxation 2 <sup>(a)</sup>	Tax Identification Number 2 <sup>(b)</sup>	
<input type="text"/>	<input type="text"/>	

**I wish to make the following transaction in the following Fund:** \* Please tick the appropriate box

Name of Fund	
<input type="text"/>	
* Subscription	Amount
<input type="checkbox"/>	<input type="text"/>
* Redemption	Units
<input type="checkbox"/>	<input type="text"/>
* Switch	Units
<input type="checkbox"/>	<input type="text"/>

From the above fund into the below fund

**Settlement Method:** \* Please tick the appropriate box

* CPFIS - Ordinary Account	<input type="checkbox"/>
Name of CPF Approved Bank	<input type="text"/>
CPF Account Number	<input type="text"/>
CPF Investment Account Number	<input type="text"/>
* CPFIS - Special Account	<input type="checkbox"/>
CPF Account Number	<input type="text"/>
* SRS Account	<input type="checkbox"/>
Name of SRS Operator	<input type="text"/>
SRS Account Number	<input type="text"/>

#### II. Distribution Option \*\*: (Distribution Option is only applicable for Singapore Authorised funds.)

(Please tick)

Reinvest in further units (default)

Payment in amount

Note: This Distribution Option shall apply to the subscribed fund; or, in the case of a Switch transaction, apply to the switch-in fund only.

Distribution will automatically be reinvested in further units if neither option is selected.

#### For distributor/SIMSL use only:

Discount  %

#### Important Note to CPF members on CPFIS SAQ

If you do not have a CPFIS account\*, you must take the Self-Awareness Questionnaire (SAQ) before you can invest under CPFIS. The SAQ is to help CPF members self-assess if they have basic financial knowledge and whether the CPFIS is suitable for them.

You can access the SAQ via the CPF website after logging in with your SingPass.

If you have a CPFIS account, you are encouraged to take the SAQ.

\*You are deemed to have a CPFIS account if you have ever had a CPF Investment Account held with an Agent Bank under the CPFIS-OA or have ever invested under the CPFIS-SA.

#### Declaration by applicant

I declare that I have (1) opened a CPF Investment Account before; (2) invested under the CPF Investment Scheme - Special Account before; and/or (3) completed the Self-Awareness Questionnaire.

If the above declaration is found to be false, I understand and agree that CPF Board will reject the withdrawal of monies from my ordinary or special account, as the CPF Board deems fit.

**Declaration by client services officer**

I have checked that the applicant has (1) opened a CPF Investment Account before; (2) invested under the CPF Investment Scheme – Special Account before; and/or (3) completed the Self-Awareness Questionnaire.

Name/Signature of client services officer

\* Please tick the appropriate box

 \* To: **THE CENTRAL PROVIDENT FUND BOARD** (Where applicable)
**CPF Ordinary Account**

1. I unequivocally and irrevocably consent to and authorise the CPF Board or its appointed agents to have access to and to request for any information regarding my account with the Managers for purposes relating to and in connection with this application.

2. I hereby confirm that I have completed the Standing Instruction Form to my CPF Approved Bank to settle all my CPFIS-OA transactions.

**CPF Special Account**

I irrevocably consent to and authorise the CPF Board or its appointed agents to have access to and to request for any information regarding my account with the Managers for any purpose relating to and in connection with this application; in addition, where applicable, to

- i) debit my CPF Special Account with the sum of monies specified by Schroders or the amount determined by the CPF Board for the purchase of the above Fund including any related fees, expenses and charges under the CPF Investment Scheme - Special Account (CPFIS-SA);
- ii) credit my CPF Special Account with any income or any proceeds, that are received from Schroders in relation to my units in the above Fund, and
- iii) disclose any particulars or information whatsoever relating to or in connection with my investment with Schroders to facilitate any transactions that cannot be settled due to data discrepancies, insufficient funds or any other reasons that the CPF Board deems fit.

I understand that the above transactions are subject to the provisions of the Central Provident Fund Act and the Central Provident Fund (Investment Schemes) Regulations, as may be amended from time to time, and also to all such other terms and conditions as may be imposed by the CPF Board from time to time.

I hereby agree to indemnify the CPF Board and shall keep the CPF Board indemnified against all actions, proceedings, liabilities, claims, damages, expenses or legal costs whatsoever arising out of or in connection with the CPF Board accepting and acting upon this authorisation.

 \* To: **SUPPLEMENTARY RETIREMENT SCHEME (SRS) OPERATOR** (Where applicable)

I hereby apply to withdraw from my SRS Account the sum of monies specified by the Managers of the Funds for purchase of Units in the above Fund(s), plus related fees, expenses and bank charges. I also authorise that my SRS Account be debited in accordance with the indicated amount and frequency for the Regular Savings Plan, if applicable. I have sufficient money in my SRS Account to settle for the Units applied. I hereby irrevocably and unequivocally consent to and authorise the SRS Operator or its authorised agents to have access to, and request for, any information regarding my account with the Managers for the purpose relating to and in connection with this application.

**Declaration**

I acknowledge that I have received, read and understood the latest Prospectus relating to the subscription of the Fund of which this application is made.

I agree to be bound by the provisions of the Trust Deed constituting the Fund as modified from time to time.

I acknowledge that I have read and fully understood the Important Terms and Conditions on the following page of this transaction form and agreed to be bound by it.

I confirm that Schroders is only providing services to me and does not provide recommendations/investment advice and will not advise me on suitability when processing my instructions.

I further confirm that I have independently and without reliance on Schroders made my own judgements and decisions with regard to each instruction to Schroders to subscribe to the units of the Fund and assume full responsibility therein.

I declare that I am not a U.S. person (please refer to Note 1(A)(vii)) and that I am not applying as the proxy-holder of a person who is a U.S. person; that I have not been solicited to purchase units while physically present within the U.S.; that at the time I placed my order to buy units I was outside of the U.S.; that I will not transfer any of the units or any interest therein to a U.S. person; if my underlying investor status as a non-U.S. person should change, I will immediately inform you. In such event, I agree that the Fund shall be entitled to (but shall not be obligated to) repurchase, or to require me to sell my units to a person designated by the Fund.

I shall provide or consent to the release of all such documents or information as may from time to time be requested by Schroders, Schroders' affiliates or distributors or the Registration Agent as may in its/their opinion necessary to verify my identity and/or eligibility and to comply with all applicable anti-money laundering laws and guidelines and other applicable laws and regulations.

By signing this application, I hereby agree and consent to the following:

- that the personal data and other information relating to me as recorded above is true and correct.
- that Schroder Investment Management (Singapore) Ltd and its related corporations from time to time (the "Schroder Group") shall collect, store and maintain the personal data and other information relating to me as recorded above (whether in writing, electronically or otherwise) as part of the collective investment scheme records maintained by the Schroder Group;
- that such personal data collected, stored and maintained shall be used and disclosed for account maintenance purposes and the purposes of carrying out transactions from time to time including but not limited to the processing of such personal data for record keeping purposes, compliance and regulatory (including complying with any anti-money laundering regulations) purposes, legal purposes, audit purposes, tax (including tax reporting) purposes, providing me with regular statements of account and other notices, and contacting me by telephone, fax, mail, email or otherwise communicating with me without express invitation;
- that such personal data collected, stored and maintained shall be disclosed to and processed by third parties for the above purposes from time to time including but not limited to the trustees and registrars of the collective investment schemes, the agents and service providers employed by the Schroder Group, the distributors, banks (including Agent Banks and SRS Operators where applicable), insurers, fund managers, and other intermediaries of the Schroder Group, and the professional advisers to the Schroder Group for the above purposes;
- that such personal data collected, stored and maintained shall be disclosed to any and all applicable regulatory authorities (including the Inland Revenue Authority of Singapore, the Central Provident Fund Board and the Monetary Authority of Singapore) upon request or as may be required by applicable law or regulation from time to time; and
- that such personal data shall be stored, maintained, used, disclosed, processed, transferred or held in Singapore or outside Singapore for the above purposes, as the Group Companies shall consider appropriate.

I hereby agree to indemnify Schroders and shall keep Schroders indemnified against all actions, proceedings, liabilities, claims, damages, expenses or legal costs whatsoever arising out of or in connection with Schroders accepting and acting upon this application.

Applicant's Signature

Date

**1. Application****A) General**

- i) Investors should read the prospectus, obtainable from Schroder Investment Management (Singapore) Ltd (referred to herein as "Schroders" or "the Managers" as the case may be) or its distributors, before investing. Units in the Fund are sold only on the basis of information contained in the current prospectuses. All other information or representations must be regarded as unauthorised and must not be relied on.
- ii) All units are issued pursuant to the provisions of the relevant Fund's Trust Deed and any deeds supplemental thereto and its prospectus.
- iii) Application by an individual must be accompanied by a copy of the applicant's identity card or passport.
- iv) The Managers reserve the right to allot fewer units than the number applied for or to refuse any application without assigning any reason.
- v) Investors will receive a Contract Note indicating the number of units allotted, within 10 business days.
- vi) The Managers must be notified immediately in writing of any change of address, any change of nationality or both. Please complete the Notice of Change of Registration Details form and submit it via your distributor for the change to be effected.
- vii) "U.S. person" includes any natural person who is a citizen of or resident in the United States; a corporation, partnership or other business organisation organised or incorporated under the laws of the United States or any political subdivision thereof, any estate or trust which is administered by an executor or trustee who is a U.S. person or the income of which is subject to U.S. federal income taxation regardless of its source; any account (other than any estate or trust) held by a dealer or fiduciary for the benefit of a U.S. person and any partnership or corporation organised and incorporated under the laws of any foreign jurisdiction which was formed by a U.S. person principally for the purpose of investing in securities not registered under the United States Securities Act of 1933. "U.S. person" shall not include any branch or agency of a United States bank or insurance company that is operating outside the United States for valid business reasons as a locally regulated branch or agency engaged in the banking or insurance business and not formed primarily for the purpose of investing in securities not registered under the United States Securities Act of 1933. For purposes of this definition, the "United States" includes the United States of America, its states, territories and possessions and the District of Columbia. The Fund reserves the right to amend this definition of "U.S. person" without notice, as may be necessary to conform to applicable law and authoritative interpretations thereof.
- viii) The Fund Register Compensation, if any is required, shall be determined based solely on the number of Funds units held by you as shown in the register of the relevant Fund (based on the subscription applications, cancellation requests and realisation requests submitted by you and accepted by the relevant Fund).
- ix) You agree to indemnify and hold Schroders/Administrator/Registrar/Trustee/Transfer Agent and their respective agent/delegate (collectively, the "Indemnified Parties") harmless against any losses (including, but not limited to, overdraft interest), related costs and expenses incurred by the Indemnified Parties due to or arising out of (i) a breach of any representation, warranty or agreement by you or any failure to fulfil any covenants or agreements, whether contained in this transaction form, the offering document or any other document provided by you in connection with your investment in the units; (ii) the acquisition or holding of the units by you in violation of applicable law; and (iii) your failure to make good settlement by the settlement date of the Funds as set out in the offering document of the relevant Funds. All indemnification obligations provided herein shall survive your death or disposition of your units in the Fund(s), and shall be in addition to any liability you may have.

**B) CPFIS-OA, CPFIS-SA & SRS**

- i) Investors will be entitled to units only after receipt of the CPF / SRS funds by the Managers notwithstanding that such units shall be deemed to have been issued on the date the application is received.
- ii) Units will be issued in the name of
  - \* the Unitholder's CPFIS Agent Bank's Nominee Company for CPFIS-OA application. Unitholders will receive notification of their holdings in the statement to be issued by their respective CPFIS Agent Banks;
  - \* the Unitholder for CPFIS-SA / SRS application. Unitholders will receive notification of their transactions in the Statement of Account to be issued by Schroders / SRS Operators respectively. No certificates will be issued.
- iii) The Managers reserve the right to recover from the applicant any expenses or loss incurred by the Managers due to non-availability of funds in the applicant's CPF OA / CPF SA / SRS Account or other reasons for rejection by CPF Agent Bank / CPF Board / SRS Operator.
- iv) In the case of SRS accounts, first time applicants must provide a copy of their Statement of Account from the SRS Operator.
- v) Any transaction charges imposed by the CPFIS Agent Bank / CPF Board / SRS Operator for the use of the CPF OA / CPF SA / SRS monies will be borne by the applicant.
- vi) The SRS applicant will be deemed to have irrevocably consented to and authorised the SRS Operator to have access to and to request for any information regarding their account with the Managers for any purpose relating to and in connection with this application.

**2. Right to Cancel**

- i) Information about investors' right to cancel this purchase application is enclosed.
- ii) During the cancellation period, investors may choose to either switch their units in a Fund for units in other Funds managed by Schroders or exercise their right to cancel their units. Where investors choose to switch their units,
  - \* they shall not receive any refund of initial sales charge of the original unit trust;
  - \* they acknowledge that it is not certain whether they would be in a better or worse position;
  - \* the switch is subject to the provisions in the trust deed of the relevant Fund;
  - \* they shall be entitled to the right to cancel the units in the switched-in Fund.

**3. Realisation (Redemption)****A) General**

- i) All realisation must meet the minimum realisation amount pursuant to the provisions of the prospectus. For partial realisation, the unitholder must retain a minimum holding pursuant to the provisions of the prospectus.

**B) Payment**

- i) The proceeds of realisation will be sent to the Unitholder's CPFIS Agent Bank or the CPF Board or the Unitholder's SRS Operator, as the case may be and in accordance with the Code on Collective Investment Schemes. A Contract Note indicating the number and price of units realised will also be sent separately to the Unitholder.

**4. Dealing**

- i) The cut-off time for dealing is 5.00 pm on the dealing deadline.
- ii) Transaction requests received after the dealing deadline in respect of any dealing day, if accepted, will be dealt with on the next dealing day. Prices for a dealing day are determined on the next dealing day.
- iii) Transaction requests, including requests made through facsimile or other electronic means including electronic mail, are irrevocable.

**5. Fax and Email Authority and Indemnity**

By giving this fax authorisation, I:

- i) authorise Schroders and the Trustee of the relevant Fund and any of their authorised agents to act upon instructions given by facsimile or other electronic means including electronic mail, with regard to the units subscribed for (and any further units purchased) or any matter in connection with them or any of them without liability in respect of any transfer, payment or any other act done in accordance with such instructions, including the subsequent subscription, redemption, or switching of units, or any other matter relating to the units, including payment of proceeds from sales of units;
- ii) agree and acknowledge that Schroders and the Trustee of the relevant Fund and any of their authorised agents shall be entitled to rely on the instructions which Schroders and the Trustee and any of their authorised agents reasonably believe, in good faith, to be from me, or a person authorised to act on my behalf;
- iii) acknowledge that this authorisation shall remain in force until an original notice in writing of its termination is received by Schroders and any such notice shall be without prejudice to the completion of transaction already initiated pursuant to this authorisation; and
- iv) agree to indemnify and hold Schroders and the Trustee of the relevant Fund and any of their authorised agents harmless from and against any loss arising in respect of acting on instructions given by facsimile or other electronic means including electronic mail or by telephone or a decision not to act on the basis of such instructions or for any loss arising from the non-receipt of such instructions.