

# Schroders

## Subscription & Switching Form

### 申請認購及基金轉換表格

## Schroder Investment Management (Hong Kong) Limited

### 施羅德投資管理(香港)有限公司

Level 33, Two Pacific Place, 88 Queensway, Hong Kong 香港金鐘道88號太古廣場二座33樓  
Website 網址 www.schroders.com.hk

This form is designed for **existing shareholders** only. Please complete this form in block capitals and black ink.  
此表格專為現有股份持有人而設。請以黑色圓珠筆和英文正楷填寫。

#### I Account Holder Details

##### 戶口持有人資料

#### II Subscription Details

##### 申請認購詳情

\* Only cheques in HK Dollar drawn on a Hong Kong bank account will be accepted for subscription payments.

只接受由香港銀行發出的港元支票繳付申請認購款項。

# Payment of subscription monies made in currencies other than the currency in which the shares is denominated will be converted into the currency of the shares at such rates as determined by the relevant service provider from time to time.

以股份計算貨幣以外之貨幣繳交的認購款項，將根據有關服務提供者不時釐定的有關匯率，兌換為股份之計算貨幣。

For Enquiries 查詢：

Email 電郵：schrodersapacquery@hsbc.com.hk

Tel 電話：+852 22692570 (Hong Kong 香港)

00801857172 (Taiwan toll-free 台灣免費服務熱線)

8008528498 (Singapore toll-free 新加坡免費服務熱線)

#### III Switching Details

##### 基金轉換詳情

###### Form Submission Method 遞交表格方式：

Please return the completed form to **HSBC Transfer Agency** either:

請填妥表格並以下列途徑交回 **HSBC Transfer Agency**：

1) By POST 郵寄：

HSBC Transfer Agency, 5/F Tower 1

HSBC Centre, 1 Sham Mong Road,

Kowloon, Hong Kong

HSBC Transfer Agency

香港九龍深旺道1號

滙豐中心1座5樓

2) By FAX 傳真：+852 3409 1079

(Only applicable to shareholder who has given fax

authorisation, please refer to Note 2 & 4)

(只適用於已作出傳真授權的股份持有人，請參閱備註二及

四)

Agent Stamp (經紀蓋印)

Account Name 客戶名稱 \_\_\_\_\_

Account No. 客戶號碼 \_\_\_\_\_

Telephone 電話 \_\_\_\_\_

I/We wish to subscribe for shares of the following fund:

本人/吾等欲認購以下基金：

Name of fund 基金名稱	Currency & Amount 貨幣及投資總額	No. of shares 股份數量
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

Method of Payment 付款方法#

\* HKD Cheque 港元支票

Cheque No. 支票號碼 \_\_\_\_\_

Telegraphic Transfer 電匯

please enclose a copy of T/T Advice 請附上電匯收據副本

I/We wish to redeem my holdings in the following fund(s)

本人/吾等欲贖回所持下列基金之股份

Currency & Amount 貨幣及總額	No. of shares 股份數量
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

and invest the redemption proceeds in the following fund(s) 並將贖回款項投資於下列基金

Currency & Amount 貨幣及投資總額	Percentage 百分比
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

#### IV Signature(s) 簽署

I/We have read the terms and conditions set out in the Application Form (including any subsequent amendments) and the offering document of the relevant Fund(s) and undertake to observe and be bound by the terms and conditions contained therein and subject to the provisions of the relevant constitutive documents (including any subsequent amendments) and where I/we have subscribed for shares herein I/we apply to Schroders and other relevant parties of the Fund(s) to be entered in the Register(s) of shareholders as the holders of the shares of the Fund(s) shown above or of shares of Fund(s) subscribed for hereafter.

I/We acknowledge that by giving the fax authorisation above I am/we are subject to certain risks as well as terms and conditions. (see Note 2)

I/We understand the terms upon which the switch will be effected will be those current at the time of the switch and as agreed between me/us and Schroders and other relevant parties of the Funds.

I/We acknowledge that Schroders is providing the service that allows me/us to subscribe, redeem, switch or otherwise deal in the shares of the Fund(s). I/We confirm that Schroders has invited me/us to seek independent legal, tax, financial, or investment advice if I/we wish so that the independent adviser can explain to me/us that the Fund(s) is suitable for me/us having regard to my/our financial situation, investment experience and investment objectives.

I am/we are informed of and I/we understand the result of my/our completion of the Risk Profile Questionnaire. I/We acknowledge and understand that if I/we invest in the shares of the Fund(s) which Schroder has classified as not suitable for classification to which I/we belong, my/our investment in the shares of the Fund(s) may involve higher risks which I/we can take and may not be suitable for me/us per Schroders' risk assessment and therefore may not be in my/our best interest. **I/We understand that to fulfill certain regulatory obligation Schroders has the discretion not to make certain funds available to me/us.**

I/We further confirm that I/we have independently and without reliance on Schroders made my/our own judgements and decisions with regard to each instruction to Schroders to **redeem and subscribe** to the shares of the Fund(s) and assume full responsibility therein.

As such, I/we also acknowledge and agree that Schroders and its officers, directors, employees, and authorised agents do not owe me/us any fiduciary or similar duties and will have no liability with respect to my/our decision to **redeem and subscribe** to the shares of the Fund(s).

I/We understand a conversion and other related charge may be payable where specified in the relevant offering document.

I/We understand and agree that the cost of currency conversion and the related charges and expenses will be borne by me/us, and other charges may be payable where specified in the relevant offering document.

I/We understand the cost of any currency conversion and the related charges and expenses (if applicable) will be deducted from the redemption proceeds being applied as subscription monies for shares in another currency.

I/We acknowledge that any currency conversion is subject to risks, and the costs of currency conversion may be significant.

I/We declare that the shares are not being acquired or held beneficially by or for a U.S. person (please refer to the relevant offering document) or in violation of any applicable laws and regulations.

I/We acknowledge that there are special risks involved with investment in any Fund, in particular, Schroder Alternative Solutions and that if I/we decide to invest in any Fund, I/we shall only do so if I/we have read and fully understood the risks set out in the relevant offering document.

I/We hereby undertake to notify Schroder Investment Management (Hong Kong) Limited in the event of any material change to the information provided herein.

I/We hereby declare that all information given in this form and all documents provided to support this application are true and accurate.

本人/吾等已閱讀有關基金的申請表格條款(包括任何隨後之修訂)及銷售說明書，謹承諾受其條款約束，並遵守有關成立文件(包括任何隨後之修訂)內的各項條款。本人/吾等如在本表格內作出申請認購基金股份，則在此促請施羅德及基金的其他人士把本人/吾等認購之股份登記於股份持有人名冊內。

本人/吾等明白透過上述之傳真授權，本人/吾等須承受某些風險及條款(請參閱備註2)。

本人/吾等明瞭基金轉換之條款將以轉換時之價例及本人/吾等與施羅德及基金之有關人士之協議為準。

本人/吾等明瞭施羅德為本人/吾等認購、贖回、轉換或處理基金之股份提供服務。

本人/吾等確認施羅德已要求如本人/吾等希望，本人/吾等可尋求獨立的法律、稅務、財務或投資意見，使獨立顧問在考慮本人/吾等之財務狀況、投資經驗及投資目標後，可向本人/吾等解釋基金如何適合本人/吾等。

本人/吾等已獲通知並了解本人/吾等填寫的投資風險取向問卷結果。本人/吾等明白和了解如本人/吾等投資於施羅德分類為並非本人/吾等所屬級別的基金股份，本人/吾等投資於該等基金涉及的風險，根據施羅德的風險評估，或許較本人/吾等可以承受的為高而不適合本人/吾等，因此可能不符合本人/吾等的最佳利益。本人/吾等明白施羅德為履行若干監管責任，可酌情拒絕向本人/吾等發售某些基金。

本人/吾等再次確認本人/吾等給予施羅德有關基金股份贖回及認購的指示，均為本人/吾等獨立地，且不倚賴施羅德而作出的判斷和決定。本人/吾等就此承擔所有責任。

因此，本人/吾等明白並同意施羅德及其高級職員、董事、職員和獲授權代理人對本人/吾等無任何受信或類似責任，並對本人/吾等贖回及認購基金股份的決定毋須負責。

本人/吾等明瞭根據有關基金銷售說明書的細則，轉換基金時本人/吾等或須繳付兌換及其他有關費用。

本人/吾等瞭解並同意根據有關基金銷售說明書的細則，貨幣兌換之成本和其他有關收費及支出將由本人/吾等承擔，且本人/吾等或須繳付其他費用。

本人/吾等清楚瞭解任何貨幣兌換之費用成本和其他有關收費及支出(如適用)將由贖回款項中直接扣除，贖回款項在兌換至另一幣值後將用作再申請認購基金股份。

本人/吾等明白任何有關貨幣兌換均有風險，且貨幣兌換可能產生巨額成本。

本人/吾等聲明所認購之股份並非由或代美國人士(請參閱有關基金銷售說明書)申請或持有，亦無觸犯任何適用的法例及法規。

本人/吾等明白投資基金(尤其是施羅德另類投資策略)涉及風險，及若本人/吾等決定投資於任何基金，本人/吾等只應於細閱及完全明白於有關銷售文件所列之風險方進行投資。

本人/吾等在此保證若申請表內所提供之資料有任何重大變動，本人/吾等有責任通知施羅德投資管理(香港)有限公司。

本人/吾等聲明在此表格上提供的資料及就本申請提供的所有文件，均屬真實及無誤。

Signature 簽署(1)

Signature 簽署(2)

Date 日期

## Payment Instructions 付款細則

**Settlement details for Funds managed by Schroder Investment Management (Europe) SA are as follows:-**  
**認購 Schroder Investment Management (Europe) SA 所管理的基金付款方法如下：**

Telegraphic transfers for Schroder International Selection Fund (SISF) and Schroder Alternative Solutions (SAS)  
 以電匯方式認購施羅德環球基金系列 (SISF) 及施羅德另類投資方略 (SAS)

Currency 貨幣	Bank Name 收款銀行	Account Name 收款賬戶	Account No. 戶口號碼	SWIFT Code SWIFT 號碼	IBAN Number IBAN 號碼	Corresponding Bank 中介銀行		
						Name 名稱	SWIFT Code SWIFT 號碼	Account No. 戶口號碼
HKD 港元	The Hongkong and Shanghai Banking Corporation Limited, Hong Kong Branch	SIMEU RE INV FUND COLL AC	741399372001	HSBCHKHKKH	N.A. 不適用	N.A. 不適用	N.A. 不適用	N.A. 不適用
USD 美元	HSBC Bank USA, NA		000291676	MRMDUS33	N.A. 不適用	N.A. 不適用	N.A. 不適用	N.A. 不適用
GBP 英鎊	HSBC Bank PLC		40417060024872	MIDLGB22	GB84MIDL40417060024872	N.A. 不適用	N.A. 不適用	N.A. 不適用
EUR 歐元	HSBC Bank PLC		40051586883857	MIDLGB22	GB59MIDL40051586883857	HSBC Continental Europe	CCFRFRPP	FR7630056000100010000489151
JPY 日圓	The Hongkong and Shanghai Banking Corporation Limited, Tokyo Branch		009059486028	HSBCJPJT	N.A. 不適用	N.A. 不適用	N.A. 不適用	N.A. 不適用
CHF 瑞士法郎	HSBC Bank PLC		40051586883916	MIDLGB22	GB18MIDL40051586883916	Credit Suisse	CRESCHZZ	CH2904835093671513000
SGD 新加坡元	The Hongkong and Shanghai Banking Corporation Limited, Singapore Branch		041074212003	HSBCSGSG	N.A. 不適用	N.A. 不適用	N.A. 不適用	N.A. 不適用
AUD 澳元	HSBC Bank Australia Limited		011661360003	HKBAAU2S	661360003	N.A. 不適用	N.A. 不適用	N.A. 不適用
CNH 人民幣	The Hongkong and Shanghai Banking Corporation Limited, Hong Kong Branch		741399372209	HSBCHKHKKH	N.A. 不適用	N.A. 不適用	N.A. 不適用	N.A. 不適用
ZAR 南非幣	HSBC Bank PLC		40051586880587	MIDLGB22	GB79MIDL40051586880587	First Rand Bank S Africa, Johannesburg	FIRNZAJJ	4980257024

Cheque in **HKD** should be crossed "a/c payee only, not negotiable" and payable to "**SIMEU RE INV FUND COLL AC**".

港元支票應以「只入收款賬戶、不得轉讓」劃線，並以「**SIMEU RE INV FUND COLL AC**」為抬頭人。

**Settlement details for Funds managed by Schroder Investment Management (Hong Kong) Limited are as follows:-**  
**認購施羅德投資管理(香港)有限公司所管理的基金的付款方式如下：**

Telegraphic transfers for Schroder Unit Trusts (excluding Schroder Hong Kong Money Market Fund & Schroder US Dollar Money Fund)  
 以電匯方式認購施羅德單位信託基金(施羅德金融市場基金及施羅德美元金融基金除外)

Currency 貨幣	Bank Name 收款銀行	Account Name 收款賬戶	Account No. 戶口號碼	SWIFT Code SWIFT 號碼	IBAN Number IBAN 號碼
HKD 港元	The Hongkong and Shanghai Banking Corporation Limited, Hong Kong Branch	SIMEU RE SIMHK FUND COLL AC	741400063001	HSBCHKHKKH	N.A. 不適用
USD 美元	HSBC Bank USA, NA	SIMEU RE SIMHK FUND COLL AC	000291889	MRMDUS33	N.A. 不適用
CNH 人民幣	The Hongkong and Shanghai Banking Corporation Limited, Hong Kong Branch	SIMEU RE SIMHK FUND COLL AC	741400089209	HSBCHKHKKH	N.A. 不適用
JPY 日圓	The Hongkong and Shanghai Banking Corporation Limited, Tokyo Branch	SIMEU RE SIMHK FUND COLL AC	009059486030	HSBCJPJT	N.A. 不適用
AUD 澳元	HSBC Bank Australia Limited	SIMEU RE SIMHK FUND COLL AC	011661360005	HKBAAU2S	N.A. 不適用
GBP 英鎊	HSBC Bank PLC	SIMEU RE SIMHK FUND COLL AC	40417000031763	MIDLGB22	GB66MIDL40417000031763

Cheque in **HKD** should be crossed "a/c payee only, not negotiable" and payable to "**SIMEU RE SIMHK FUND COLL AC**".

港元支票應以「只入收款賬戶、不得轉讓」劃線，並以「**SIMEU RE SIMHK FUND COLL AC**」為抬頭人。

Telegraphic transfers for Schroder Hong Kong Money Market Fund and Schroder US Dollar Money Fund  
 以電匯方式認購施羅德金融市場基金及施羅德美元金融基金

Currency 貨幣	Bank Name 收款銀行	Account Name 收款賬戶	Account No. 戶口號碼	SWIFT Code SWIFT 號碼
HKD 港元	The Hongkong and Shanghai Banking Corporation Limited, Hong Kong Branch	SIMEU RE SIMHK FUND COLL AC	741400063001	HSBCHKHKKH
USD 美元	HSBC Bank USA, NA	SIMEU RE SIMHK FUND COLL AC	000291889	MRMDUS33

Cheque in **HKD** should be crossed "a/c payee only, not negotiable" and payable to "**SIMEU RE SIMHK FUND COLL AC**".

港元支票應以「只入收款賬戶、不得轉讓」劃線，並以「**SIMEU RE SIMHK FUND COLL AC**」為抬頭人。

For all telegraphic transfers, please be reminded to quote reference "client no" and the shares subscribed for in all payment instructions. To avoid any delay, please provide us with a copy of the transfer advice.

以電匯為付款方式的指示，請提供「客戶號碼」作為參考。為避免任何延誤，煩請在每次認購時呈交電匯收據副本。

## Notes and Instructions 備註

- Shares or units ("shares") are offered on the basis of the information contained in the current offering document of each Fund and the latest annual report(s) and accounts and, if later, semi-annual report(s) of the Fund(s) and such other documents (if any) as may be issued by Schroders expressly in conjunction with the issue of such offering document. Any further information provided by or representations made by any dealer, salesman or other person must be regarded as unauthorised and must not be relied upon. Reference herein to a "Trustee" means the Fund itself or the Custodian or Registrar thereof as the context requires.
  - By giving the fax authorisation in the Application Form, the subscriber(s) has/have:
    - authorised Schroders and the Trustee of the relevant Fund and any of their authorised agents to act upon instructions given by facsimile, with regard to the shares subscribed for (and any further shares 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 shares, or any other matter relating to the shares, including payment of proceeds from sales of shares;
    - agreed and acknowledged 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 the subscriber, or a person authorised to act on the subscriber's behalf;
    - acknowledged 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
    - agreed 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, by telephone or by electronic means or a decision not to act on the basis of such instructions or for any loss arising from the non-receipt of such instructions.
  - Not all Funds issue both distribution and accumulation shares – please refer to the offering document of the relevant Fund for details.
  - This form must be signed by all joint shareholders unless written instruction was given to Schroders specifying that any one of the joint holder's signature is sufficient to operate the account or otherwise. Instructions for the subscription and switching of shares shall be given in this form. The completed form shall be sent to Schroders by post or by fax if you have given the fax authorisation in the Application Form (please also refer to Note 2).
  - If this form is signed by an attorney, original power of attorney or a duly certified copy thereof should be submitted together with this form.
  - Pursuant to applicable money laundering regulations, shareholders may be asked for proof of identity and an original of this form when selling shares. In this case Schroders and the relevant parties of the Fund will not pay proceeds until satisfactory evidence and/or such original form have been received.
  - In relation to any currency conversion, details of the charges and expenses applicable to a currency conversion transactions are available upon request.
- 單位或股份(下稱「股份」)的發售乃按載於各基金最新之銷售說明書、基金最近之年報及財務報告書及期後刊發的中期報告書, 及由施羅德集團發行並明確表明須與銷售說明書一併發行之該等其他文件內之細則進行。任何由經紀、推銷員或其他人士所提供之資料或陳述皆未經授權並不應予以倚賴。本文提及的「信託人」, 根據上下文意義可指基金或保管人或註冊處。
  - 藉申請表格內之傳真授權, 認購人已:
    - 授權施羅德和有關基金的信託人及其授權的任何代理人, 依據以傳真方式的指示, 就有關認購股份(和任何進一步認購股份)或任何有關事宜行事。施羅德和信託人及其授權的任何代理人就根據該等指示進行任何轉讓、收付或任何其他有關行為, 包括其後的股份認購、贖回或轉讓, 或任何有關股份的其他事宜, 包括出售股份所得款項的收付事宜毋須負責;
    - 同意並明白施羅德和有關基金的信託人及其授權的任何代理人, 可以依賴施羅德和有關基金的信託人及其授權的任何代理人合理地及善意地相信是來自認購者或獲授權代認購者行事之人士的指示;
    - 明白該授權在施羅德收到書面終止通知書正本前維持有效。任何該等通知書無損已經依據該授權已進行之交易的完成; 及
    - 同意彌償施羅德和有關基金的信託人及其授權的任何代理人, 因根據以傳真、電話或電子方式的指示行事, 或因拒絕根據該等指示行事而導致的任何損失, 或因未收妥該等指示而導致的任何損失, 或避免使施羅德和有關基金的信託人及其授權的任何代理人因上述事件蒙受損失。
  - 並非所有基金均設有股息及累積股份, 詳情請參閱有關基金的銷售說明書。
  - 所有聯名股份持有人均須簽署本表格, 除非此等聯名股份持有人已經以書面通知施羅德, 表明任何一位聯名持有人可就戶口之事項行事或以其他方式行事。閣下須以本表格作出認購和轉換股份的指示。填妥的表格須通過郵寄或傳真發送給施羅德(傳真只適用於已作出申請表格內之傳真授權, 另請參閱備註2)。
  - 如本表格由授權人士簽署, 授權書正本或適當地經證明的副本應連同本表格一併遞交。
  - 根據適用的防止清洗黑錢條例, 股份持有人或會在賣出股份時被要求提供身份證明文件及表格正本, 則施羅德及基金有關人士將在收到滿意證明及/或該等正本後, 方會支付贖回款項。
  - 就任何貨幣兌換而言, 適用於貨幣兌換交易的收費及支出詳情可應要求索取。