



## Instruction for Fund Purchase Order (“Purchase Order”) 基金申購指示

Account Name 帳戶名稱		Account Number 帳戶號碼	
<b>Details of designated Key Investment Person who conducted the transaction 交易人士資料</b>			
Name 姓名		Contact Number 聯絡電話	
<b>Transaction Details and Suitability Assessment 交易詳情及適合性檢查</b>			
According to the Last Completed Risk Profile Questionnaire 根據客戶最近于_____完成之《風險取向問卷》中的			
A. Client Risk Profile 風險取向			
<input type="checkbox"/> 1-Conservative 保守型	<input type="checkbox"/> 2-Moderate 穩健型	<input type="checkbox"/> 3-Balanced 均衡型	
<input type="checkbox"/> 4-Growth 增長型	<input type="checkbox"/> 5-Aggressive 進取型		
B. Client's Investment Objective 客戶投資目的			
<input type="checkbox"/> Capital Preservation 保本為主	<input type="checkbox"/> Income Oriented 收入主導	<input type="checkbox"/> Income and Growth 收入及增長	
<input type="checkbox"/> Growth Oriented 增長主導	<input type="checkbox"/> Aggressive Growth 積極增長		
C. Client's maximum length of expected investment horizon 客戶期望最長的投資年期			
<input type="checkbox"/> Not more than 1 year 不超過 1 年	<input type="checkbox"/> Not more than 3 years 不超過 3 年	<input type="checkbox"/> Not more than 5 years 不超過 5 年	
<input type="checkbox"/> More than 5 years 超過 5 年			
<input type="checkbox"/> Subscription 認購			
Is the subscribed product a COMPLEX product 此產品是否複雜產品? <input type="checkbox"/> Yes, please read below Warning Statements carefully 是, 請細閱下方的警告聲明。 <input type="checkbox"/> No 否			
<b>Warning Statements in relation to the subscription of below COMPLEX product 認購以下複雜產品的警告聲明</b>			
<input type="checkbox"/> This is a <b>COMPLEX</b> product and you should exercise caution in relation to the product. You should carefully consider whether trading or investment is suitable in light of (including but not limited to) your own risk tolerance, financial situation, investment experience, investment objectives, investment horizon and investment knowledge. If needed, you should seek independent professional advice. 此產品是 <b>複雜</b> 產品, 請閣下務必審慎行事。閣下在作出任何投資決定前, 應考慮個人狀況, 包括但不限於閣下的財政狀況、投資經驗、投資目標、投資年期及投資認識。如有需要, 請考慮諮詢閣下的獨立投資顧問。			
<input type="checkbox"/> Due to dynamic changes in the market, the price movement and volatility of investment products may not be the same as expected by customers. Your fund may increase or reduce due to the purchase or sale of investment products. The loss incurred from investment may be the same or greater than initial investment amount. 由於市場瞬息萬變, 此產品的買賣價格(如有)升跌及波幅可能非如閣下預期, 閣下資金可能因買賣此產品而有所增加或減少, 投資的損失可能等同或大於最初投資金額。			
<input type="checkbox"/> The information or any product offering documentation issued of this product have not been reviewed by Securities and Futures Commission in Hong Kong ("SFC") and may contain information of non-SFC authorized products. You should exercise caution in relation to the product. If you have any query on the information or any product offering documentation provided, you should seek independent professional advice. 此產品的發行人刊發的要約文件及/或產品資料未經證監會審閱, 並可能載有未經證監會認可的產品資料, 閣下務必審慎行事。如閣下對產品發行人提供的要約文件及/或產品資料有任何疑問, 請考慮諮詢閣下的獨立投資顧問。			
<input type="checkbox"/> The product has been authorized by the SFC. SFC authorization is not a recommendation or endorsement of the product nor does it guarantee the commercial merits of the fund(s) or its performance. It does not mean the product is suitable for all investors nor is it an endorsement of its suitability for any particular investor or class of investors. 此產品雖得證監會認可, 惟證監會認可可不等同對產品作出推介或認許, 亦不是對產品的商業利弊或表現作出保證, 更不代表產品適合所有投資者, 或認許產品適合任何個別投資者或任何類別的投資者。			
<input type="checkbox"/> Past performance (if any) is not necessarily a guide to future returns, and no representation or warranty, express or implied, is made regarding future performance. 此產品的過往表現(如有)不能被視為將來表現的指示或保證, 也不能代表或對將來表現做出任何明示或暗示的保障。			
<input type="checkbox"/> This Product is offered to below persons only 此產品只供以下人士買賣:			
<ul style="list-style-type: none"> <li>■ persons falling under paragraphs (a) to (i) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the SFO 任何符合《證券及期貨條例》附表 1 第 1 部「專業投資者」的定義第(a)至(i)段所描述的人士 或</li> <li>■ persons falling under paragraphs (j) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the SFO 任何符合《證券及期貨條例》附表 1 第 1 部「專業投資者」的定義第(j)段所描述的人士。</li> </ul>			
If you have any query on the above definitions, you should seek advice from your Relationship Manager. 如閣下對上述定義存有疑問, 請向閣下的客戶經理查詢。			
1	Fund Code 基金編號		Fund Name and Class 基金名稱及分類
	Fund Currency 基金貨幣	Subscribed Amount 認購金額	Dividend Type 派息類別 <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvestment 再投資
	Suitability Assessment 適合性檢查		Commission 佣金 (%)
	A. Product Risk Level 產品風險評級		Assessment Result 評估結果
	<input type="checkbox"/> 1-Low 低風險	<input type="checkbox"/> 2-Low-Medium 中低風險	<input type="checkbox"/> Match 配对
	<input type="checkbox"/> 4-Medium-High 中高风险	<input type="checkbox"/> 5-High 高风险	<input type="checkbox"/> Mismatch 不配对
	B. Product's Investment Objective 產品投資目標		
<input type="checkbox"/> Capital Preservation 保本為主	<input type="checkbox"/> Income Oriented 收入主導	<input type="checkbox"/> Income and Growth 收入及增長	
<input type="checkbox"/> Growth Oriented 增長主導	<input type="checkbox"/> Aggressive Growth 積極增長	<input type="checkbox"/> Mismatch 不配对	
C. Product's Investment Tenor 產品投資年期			
<input type="checkbox"/> Not more than 1 year 不超過 1 年	<input type="checkbox"/> Not more than 3 years 不超過 3 年	<input type="checkbox"/> Not more than 5 years 不超過 5 年	
<input type="checkbox"/> More than 5 years 超過 5 年	<input type="checkbox"/> N/A 不适用	<input type="checkbox"/> Mismatch 不配对	
Concentration Risk 集中性風險			
<input type="checkbox"/> Below 25% 以下	<input type="checkbox"/> 25%-50%	<input type="checkbox"/> Above 50% 以上	
		<input type="checkbox"/> Match 配对	
		<input type="checkbox"/> Mismatch 不配对	

<b>Acknowledgement of Profile Mismatch 投资组合错配确认</b>	
I/We acknowledge that 本人/吾等确认	
<input type="checkbox"/> the risk rating of the Investment Product is higher than my/our risk profile or not consistent with my/our selected investment strategy; and/or 投资产品的风险类型高于本人/吾等承受风险能力; 及/或 <input type="checkbox"/> the investment objective of the Investment Product is not consistent with my/our selected investment strategy or objective; and/or 投资产品的目标有别于本人/吾等选择之投资策略或目标; 及/或 <input type="checkbox"/> the investment tenor of the Investment Product is longer than my/our maximum length of expected investment horizon; and/or 投资产品的投资年期长于本人/吾等期望最长的投资年期; 及/或 <input type="checkbox"/> I/we would expose to high concentration risk 本人/吾等将承受高度集中性风险。	
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 本人/吾等在此进一步声明和确认本人/吾等完全理解上述不配对并再三考虑在此情况下, 本人/吾等最终决定接受这种不配对并希望继续投资原本拟定的金额于上述产品, 原因如下: _____	
<b>Witness Arrangement 见证安排</b>	
I/We hereby and confirm that I/we have been accompanied by 本人/吾等谨此声明和确认	
<input type="checkbox"/> my/our undersigned relative/friend ("Witness"), who is aged between 18 and 64 with education qualification of secondary school or above and I/we have signed the CMBIS's application form in the presence of the Witness: and/or 在一位年龄介乎 18-64 岁及教育程度达中学或以上的亲友 (「见证人」) 陪同下申请上述产品, 并在见证人面前签署银行的申请表格; 及/或 <input type="checkbox"/> have a second CMBIS staff to handle the sales when making application for the above Product. 已由多一位职员处理销售事下作出投资上述产品的申请。	
The CMBIS's licensed intermediary has clearly explained to me/us and the Witness (if any) the nature and key features of, and the risks (including risk rating) associated with the above Product and has answered all queries in relation to the above Product and my/our application from me/us and the Witness (if any). I/we and the Witness (if any) fully understand the nature and key features of and the risks associated with the above Product and agree to proceed with the application. 招银国际证券的持牌中介人已向本人/吾等及见证人 (如有) 清楚解释上述产品之性质、主要特点及其相关之风险 (包括其风险评级), 并已回答了本人/吾等及见证人 (如有) 所有有关上述产品及本人/吾等的申请的查询。本人/吾等及见证人 (如有) 完全理解上述产品之性质、主要特点及其相关之风险, 并同意进行申请。	
Full Name of the Witness 见证人全名	Signature of the Witness 见证人签名
Relationship with Customer 与客户之关系	Date 日期
<b>Reason(s) for Recommendation made by the Intermediary (Mandatory field) 中介人建议原因 (必须填写)</b>	
<b>Possible downside risk(s) associated with the Product (Mandatory field) 产品可能面对的下行风险 (必须填写)</b>	
(*Investors should read carefully the Offering Documents (including the section "Risk Considerations") for the relevant risks associated with the Products before investing) 请客户投资前仔细阅读产品说明章程中的风险要素	
<b>Customers' Queries and Response 客户提问及回应</b>	
<b>Documentation checklist 文件核对表</b>	
<input type="checkbox"/> Fund Prospectus/Explanatory Memorandum 基金说明书 <input type="checkbox"/> Product Key facts Statements 产品资料概要 <input type="checkbox"/> Fund Annual/Semi-annual Reports 基金财务报告 <input type="checkbox"/> Others 其他	
I/We confirm that I/we have received and read the latest offering document(s) and financial report(s) (if any) relating to the Fund(s) subscribed to and I/we agree to be bound by the terms and conditions as set out in the offering, subscription and related document(s) as amended from time to time. 本人/吾等确认已收受及阅读有关本人/吾等所认购的基金的最新说明章程及财务报告 (如有), 并同意受发售、认购及相关文件的条款及条件约束(各文件概以最新版本为准)。	
<b>Important Notice on Sales Disclosures to Investors 致投资者的销售披露重要通知</b>	
Where CMB International Securities Limited (referred to in this notice as "We", "Us" or "our") distributes investment products, we are required under paragraph 8.3A of the code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission to disclose certain sales related information to you prior to or at the point of sale. This notice forms part of that disclosure and applies where we distribute investment products such as funds (including mutual funds, unit trusts, hedge funds and private funds), structured notes, primary offerings of ETFs, bonds and stocks and also applies to secondary market transactions in over-the-counter ("OTC") bonds, notes and similar paper. Our representative may refer to this notice when he or she enters into a transaction for you. 根据《证券及期货事务监察委员会持牌人或注册人操守准则》第 8.3A 段的规定, 招银国际证券有限公司(在本通知书中称为"我们"或"我们的"或"招银国际证券")在向客户分销投资产品时, 必须在销售前或销售时向客户披露某些与销售相关的资料。本通知书为此类披露的一部分, 并适用于我们分销的基金(包括共同基金, 单位信托基金, 对冲基金和私募基金), 结构性票据, 初次发售的交易所交易基金, 债券和股票等投资产品, 也适用于场外交易债券, 票据和类似产品等二级市场交易。我们的销售代表在与您进行交易时可能会提及本通知书。	
1 Our capacity in various transactions 我们在各类交易中的身份	
Where we act as your agent, we enter into the relevant transaction on your behalf. Where we act as principal, we source an investment at your request and then sell it to you. 如果我们作为您的代理人, 我们将代表您进行相关交易。如果我们作为主事人, 我们将根据您的要求选择投资项目, 并向您出售。	
1.1 Unless we explicitly inform you otherwise, we act as your agent for transactions in funds (including ETFs, mutual funds, private and hedge funds), exchange traded instruments (including listed shares, warrants, IPO shares, and exchange traded bonds), OTC/non-exchange traded instruments (which will also include any non-exchange traded primary market instruments), traditional investments such as OTC bonds, notes and similar paper and OTC/non-exchange traded instruments include structured notes. 除非我们明确另行通知您, 在基金 (包括交易所交易基金, 共同基金, 私募和对冲基金) 交易、交易所交易的工具 (包括上市股票、权证、IPO 新股和交易所交易的债券)、场外交易/非交易所交易工具 (还包括任何非交易所交易的一级工具) 及场外交易债券、票据和类似产品等传统投资、场外交易/非交易所交易工具包括结构性票据交易中, 我们作为您的代理人。	
2 Our affiliation with various issuers 我们与各个发行人的隶属关系	

We may be affiliated with various issuers of investment products. 我们与各种投资产品的发行人之间可能存在联属关系

2.1 CMB International Capital Corporation Limited, CMB International Capital Limited, CMB International Securities Limited, CMB International Asset Management Limited, issuers whose name bears the words "CMBI" or "CMB", Legend Fortune Limited and Golden Sunflower Limited are our Group companies. 招银国际金融有限公司、招银国际融资有限公司、招银国际证券有限公司、招银国际资产管理有限公司、其名称包含“招银国际”或“CMB”字样的发行人以及 Legend Fortune Limited 及 Golden Sunflower Limited 均属于我们的集团公司。

2.2 Unless we otherwise inform you, all other issuers are third party issuers which are not our Group companies and are therefore not affiliated with us. CMBI or the Group companies may take on advisory or other administrative roles with issuer entities, for which they may receive remuneration. 除非我们明确另行通知您，所有其他发行人为第三方发行人，并不属于我们的集团公司，因此与我们没有联属关系。招银国际证券有限公司或其它集团公司可能担任其它发行人机构的顾问或其他行政角色，并可能为此收取报酬。

3 We are not an independent intermediary, because we receive fees, commissions, or other monetary benefits from other parties (which may include product issuers) in relation to the distribution of investment products to you. For details, you should refer to the disclosure on monetary benefits which the bank is required to deliver to you prior to or at the point of entering into any transaction in investment products; and we receive non-monetary benefits from product issuers. If the product issuer is the entity mentioned above, in addition to the aforesaid, we have close links or other legal or economic relationship with the issuer of the investment products that we may distribute to you. 我们并非独立的中介人，理由如下：我们有收取由其他人士（可能包括产品发行人）就我们向您分销投资产品而提供的费用、佣金或其他金钱收益。详情请参阅我们按规定在订立任何投资产品交易前或在订立任何投资产品交易时须向您提供的金钱收益披露；及我们亦有收取由产品发行人提供的非金钱收益。若产品发行人为上述提及与我们有关的联属公司，除上述收益外，我们与向您分销的投资产品的发行人还有紧密联系或其他法律或经济关系。

4 Monetary benefits where we distribute an investment product to you 我们向您分销投资产品的金钱收益  
(The table below is for your reference only. The actual monetary benefits we received is subject to the disclosures made during and/or after the transaction. 以下只供参考，以我司向您分销投资产品时及/或分销投资产品后的披露为准。)

For the purpose of this section, the term "Product Issuer" refers to an entity that either originates the product itself or that procures the product from a third party. 在本部分中，“产品发行人”指自身原创产品或向第三方采购产品的机构。

4.1 Act as an Agent 以代理人身份

We may receive the following quantifiable monetary benefits. Such benefits include explicit monetary benefits with respect to the product distribution received by us from Product Issuers and commission, where we act as agent without taking market risk. 我们可能取得以下可量化的金钱收益。此类收益包括我们就分销产品从产品发行人取得的确切金钱收益，以及我们在不承担市场风险的情况下，作为经纪从背对背交易中赚取的销售佣金。

Product Type 产品种类	Monetary benefit 金钱收益
Funds (including mutual funds, unit trusts, hedge funds and private funds) 基金（包括共同基金、单位信托基金、对冲基金和私募基金）	Up to 5% of nominal amount 最高为分配/名义金额的 5%

4.2 Act as a Principal 以主事人身份

We are acting in the capacity of a principal in the distribution of below products and we will benefit from the distribution of these product. 我们以主事人身份分销以下产品；及我们将会从此产品的分销中取得益处。

Product Type 产品种类	Monetary benefit 金钱收益
Debt Securities (primary market transactions) 債務證券（一级市场交易）	Up to 10% of nominal amount 最高为分配金额的 10%
Debt Securities (primary market transactions) 債務證券（二级市场交易）	Up to 10% of nominal amount 最高为名义金额的 10%

Unless we explicitly inform you otherwise and rounded up to the nearest whole percentage points. 除非我们明确另行通知您，并调高至最接近的整数百分率。

For other products, including primary offerings of ETFs and stocks where monetary benefits are quantifiable, our representative will provide you at or before the point of sale with information on specific monetary benefits received. The Benefits will be disclosed as an actual figure or a percentage ceiling of the investment amount that is rounded up to the nearest whole percentage point. 对于其他可量化金钱收益的产品（包括交易所交易基金初次发售和股票）我们的销售代表将在销售前或销售时，向您提供我们取得的具体金钱收益的资料。此类收益将以实际数值或占投资额的百分率上限（调高至最接近的整数百分率）的形式披露。

5 Generic disclosures on monetary benefits received by us 对于我们获取的金钱收益的概括披露

We may also receive monetary benefits in connection with a transaction that are not quantifiable prior to or at the point of sale which are set out below. These monetary benefits may be received in addition to or instead of the specific monetary benefits described in 4. 我们还可能取得下述与某项交易的、但无法在销售前或在销售时量化计算的金钱收益。此类金钱收益可能是第 4 条中所述的具体金钱收益的附加性或替代性收益。

5.1 Funds (including mutual funds, unit trusts, hedge funds and private funds) 基金（包括共同基金、单位信托基金、对冲基金和私募基金）

We may receive from Products Issuers, as part of our compensation, one-time or recurring trailer fees, Trailer fees refer to compensation provided by the Product Issuer for investor relationship management services. As trailer fees are calculated based on aggregate holding volumes on specific dates they are not quantifiable at the time of transaction. The product issuers may compensate us with trailer fees up to a maximum percentage of the management fees that they charge to you as disclosed prior to or at the point of entering into a transaction. 我们可能从产品发行人取得一次性或经常性基金销售佣金，作为我们的报酬的一部分。基金销售佣金产品发行人为投资者关系管理服务支付的报酬。由于基金销售佣金是指按照具体日期总体持有量计算的，在交易时无法量化计算。产品发行人支付我们的基金销售佣金最高可達（我們於銷售前或銷售時向您披露）產品發行人向您收取的管理費用的百分比。

6 Non-monetary benefits where we distribute an investment product to you 我们向您分销投资产品获得的非金钱收益

We may receive non-monetary benefits from third party issuers including, but not limited to, access to research materials, free security price quotations, entertainment and invitations to seminars. Such non-monetary benefits received are based on our relationship with the issuers and are not linked to any particular client transaction. 我们可能从第三方发行人取得非金钱收益，包括但不限于获得研究材料、免费的证券价格报价、招待和研讨会邀请。此类非金钱收益是基于我们与发行人的关系，与任何待客户交易无关。

7 Occasions when you may receive a discount in relation to fees and charges 您可能有机会获得费用折扣

You may at times be eligible to benefit from a reduction in, or discount on, the fees and charges payable in relation to certain investment products. You will be informed prior to the point of sale of the investment when such a reduction or discount would apply. 您可能有机会获得某项投资产品的费用减免或折扣。当此类减免或折扣适用时，我们会在销售投资产品前通知您。

8 The Chinese translation is for reference only. In case of any discrepancy between the English version and the Chinese version, the English version shall prevail. 本文件的中文译本仅供参考之用，若本文件的英文版本与其译本有任何差异或抵触，概以英文版本为准。

Customer's Declarations and Signature 客户声明及签署	
I/we declare that 本人/吾等声明	
1	I/we confirm that I/we have not received any assurances from the Company concerning the expected net return on the Fund(s) and I/we am/are fully aware of the nature of the Fund(s) subscribed and the risks associated with the Fund(s). I am/We are subscribing for the Fund(s) on this basis. 本人/吾等没有获得由公司提出有关基金之任何预期净回报保证, 及本人/吾等充分了解本人/吾等认购的基金之性质及附带风险。本人/吾等据此确认认购基金。
2	I/We agree that any dividend and redemption payment to which I/we am/are entitled will be credited to my/our investment account only after the company receives the notification and related payment from the Fund house/the Fund's appointed trustee/custodian. 本人/吾等同意所有给予本人/吾等之股息及赎回金额将于贵司收妥由基金公司/基金公司委派之信托人/保管人发出之通知及有关款项后, 才入账入本人/吾等之投资帐户内。
3	I/We agree and understand that the order above may not be executed if the respective fund house rejects the order with reasonable grounds. 本人/吾等明白及同意上述之指示有机会被有关基金公司在合理情况下拒绝接受而未能执行。
4	I/We fully understand the nature and fundamentals of the Fund and the details of the transaction; including the terms as to price, term, expiration date, and restriction on exercising an option and other terms material to the transaction. I/We confirm that I/we fully understand and accept the associated risk and return of the Fund chosen by me/us since it is as likely that losses will be incurred as profit made as a result of buying and selling the Fund. 本人/吾等完全了解此基金的性质及基本情况及有关交易的条款, 包括有关价格、年期、届满日期、期权行使限制的条款及就交易而言属重大的其他条款。本人/吾等明白投资此基金买卖可赚亦可蚀, 并确认本人/吾等明白及接受此基金的附带风险及回报。
5	I / We agree and authorize CMB International Securities Ltd ("CMBIS") to debit my / our securities account for this purchase order (If no enough foreign currency for settlement, CMBIS will exchange my HK\$ balance to the currency needed for settlement). 本人/吾等同意并授权招银国际证券有限公司("招银国际证券")从本人/吾等之招银国际证券户口扣除申购款项(若帐户内未有足够之外币作结算, 招银国际证券会把帐户内港币兑换成需要之外币作结算)。
6	I/We consent to complete and return my/our updated Risk Profile Questionnaire at CMBIS's request if my/our answers above are inconsistent with CMBIS's existing record. 倘本人/吾等以上提供的答案与招银国际证券之现有记录有所不符, 本人/吾等同意在招银国际证券的要求下更新本人/吾等之「风险取向问卷」并递交更新后的问卷。
7	I/We have read and understood the "Important Notice on Sales Disclosures to Investors" of this form prior to my/our signing this completed form. 本人/吾等在签署填妥本表格前, 已阅读及明白本表格的「致投资者的销售披露重要通知」。
8	I/We understand that the provision of information in this form is voluntary for the purpose of my/our current application for subscription. If I/we fail to provide the information, my/ our current application will not be accepted. 本人/吾等明白于本表格上提供资料为处理是次认购申请是自愿的。倘本人/吾等未能提供有关资料, 本人/吾等是次之申请将不获处理。
9	I/We acknowledge and agree that the information collected from me/us in this form together with any subsequent alterations or supplements to it is being collected on behalf of CMBIS, I/We further acknowledge and confirm that I/we have received and read the Personal Information Collection Statement (the "PICS") attached as Schedule I to the Client Agreement entered into by me/us with CMBIS (as amended from time to time) (the "Client Agreement"). I/We understand and agree that the information collected from me/us in this form together with any subsequent alterations or supplements to it can be used and/or transferred in accordance with any of the uses and purposes (including in relation to direct marketing) and/or to any of the transferees as fully described in the PICS and agreed by me/us pursuant to the Client Agreement. 本人/吾等确认及同意从本人/吾等在本表格上收集的資料及日后之任何改动或补充, 乃代表招银国际证券所收集。本人/吾等进一步确认及确定, 本人/吾等已收讫及阅读与招银国际证券签定的客户协议中, 附表一所载的个人资料收集声明(不时作出修订)(「客户协定」)。本人/吾等确认及同意从本人/吾等在本表格上收集的資料及日后之任何改动或补充, 可根据个人资料收集声明内的使用及目的(包括直接促销)及/或转交予受让人的描述, 而作使用及转交。
10	I/We have read and agree to the Schedule to Instruction for Fund Purchase Order. 本人/吾等已阅读及同意本基金申购指示的附录。
11	I/We have a right to request access to and correction of my/our personal data by writing to the Privacy Officer, CMB International Securities Limited, 45/F, Champion Tower, 3 Garden Road, Central, Hong Kong. 本人/吾等可致函香港中环花园道3号冠君大厦45楼招银国际证券有限公司资料保护主任收, 要求查阅及更改本人/吾等的个人资料。
12	I/We hereby also declare that 本人/吾等亦确定为: I/We am/are NOT a resident in the United States of America or any other person restricted by the law of any relevant jurisdiction from acquiring the funds 本人 /吾等并非为美国居民或受任何有关司法管辖区的法律禁制购买基金之人士。
Signature 客户签署	
Date 日期	

For Official Only 只供内部使用		
Time of Order taken 收件时间		Audio Date and Reference 录音日期及编号
CMBIS licensed staff and Witness staff (if applicable) have already explained the nature, features and risks of and associated the above Product to the Customer(s) and the Witness (if applicable) to ensure the Customer(s) and the Witness (if applicable) fully understand the nature, features and risks of and associated with the above Product(s). 招银国际证券持牌中介人及见证职员已向客户及其见证人(如有)清楚解释上述产品之性质、主要特点及其相关之风险以确保客户及其见证人完全理解上述产品之性质、主要特点及其相关之风险。		
Full Name of licensed staff 持牌中介人全名	AE No 持牌中介人号码	Signature of licensed staff 持牌中介人签名
For VC transaction Only 容易受损客户交易适用		
Full Name of Witness staff 见证职员全名	AE No 持牌中介人号码	Signature of Witness staff 见证职员签名
Reviewer* and Review Date	(Mismatch Transaction)(If applicable)	
	RO Approval and Date	Compliance Approval and Date
		Trader/Time and Date of Order Executed

\*Reviewer has to ensure the followings  
-completeness of the form  
-accuracy of the form  
-suitability assessment has been properly performed

## Schedule to Instruction for Fund Purchase Order 基金申购指示的附录

Terms used, but defined in, this Schedule shall have the meaning given to them in the Purchase Order to which this Schedule relates.

本附录中术语的定义均由与本附录相关的申购指示赋予。

1. I / We appoint and authorize CMBIS to act as my / our agent and/or nominee (as CMBIS determines to be appropriate in the relevant purchase) to (i) execute, on my/our behalf (and whether in my / our name or in its own name), of any documentation (including any agreements, deeds, contracts, notices, letters or similar) determined by CMBIS as necessary relating to the purchase by me / us of the Funds that are the subject of the Purchase Order and (ii) take, on my/our behalf and without requiring our further instruction, any related actions (including voting and the giving of instructions) in connection with such purchase and products and I / we hereby approve any such execution and/or actions taken on my/our behalf by CMBIS. Notwithstanding the above, I / we understand and agree that CMBIS is not obliged to take any actions or respond to any resolution or corporate action events if I / we do not provide my / our instruction within any cutoff time stipulated by CMBIS following the relevant corporate action notice.

本人/吾等委任并授权招银国际证券作为本人/吾等的代理人 and/或代名人 (按 招银国际证券确定的有关购买的适当方式), (i) 代表本人/吾等 (无论以本人/吾等的名义还是以其自身的名义) 签署招银国际证券确定的与本人/吾等购买作为购买申购指示内的基金有关的任何文件 (包括任何协议、契约、合同、通知、信函或类似文件); (ii) 本人/吾等特此批准招银国际证券代表本人/吾等执行和/或采取与此类购买和产品有关的任何行动 (包括投票和发出指示), 而无需本人/吾等进一步指示。尽管有上述规定, 本人/吾等理解并同意, 如果本人/吾等没有在有关公司行动通知发出后, 在招银国际证券规定的任何截止时间内提供本人/吾等的指示, 招银国际证券没有义务采取任何行动或对任何决议或公司行动事件做出回应。

2. Subject to the terms and conditions of the relevant product documentation, where CMBIS is acting as agent and/or nominee regarding the same product for more than one client, I/we acknowledge and agree that it is possible that CMBIS may not be able to separately provide instruction or vote on each client's behalf, and I/we authorize CMBIS to (i) take such actions or in actions and vote based on instruction received from majority of relevant client investors (i.e. holding over 50% relevant interest or voting rights), and (ii) in the absence of instruction from such majority, take such actions, inactions and/or vote in CMBIS's absolute discretion.

受限于相关产品文件的条款和条件, 如果招银国际证券就同一产品为多个客户担任代理和/或代名人, 本人/吾等承认并同意招银国际证券有可能无法分别代表每个客户提供指示或投票, 本人/吾等授权招银国际证券 (i) 根据收到的大多数相关客户投资者 (即持有超过 50% 的相关权益, 或持有超过 50% 的相关权益) 的指示, 采取此类行动或进行行动和投票, 以及 (ii) 在没有收到大多数相关客户投资者的数指示的情况下, 由招银国际证券全权决定采取此类行动、不行动和/或投票。

3. I / We agree and acknowledge that CMBIS shall have no liability to us for acting as my / our agent and nominee in connection with the purchase of the Funds that are the subject of the Purchase Order as provided in this Schedule, save in the event of fraud on the part of CMBIS and, furthermore, agree and acknowledge that CMBIS shall have no liability to me / us with respect to the performance of the Funds that are the subject of the Purchase Order and/or with respect to any losses suffered or otherwise incurred by me / us in connection with our purchase of, holding of and/or investment in such Funds that are the subject of the Purchase Order. CMBIS and its relevant affiliates shall not be bound and shall have discretion to decide whether to take any action (including, without limitation, regarding any corporate actions, votings, events of defaults or legal proceedings), in which case then only if CMBIS and its relevant affiliates have received majority instruction (and such instruction CMBIS deems sufficient in its absolute discretion) from the relevant client investors, in which case only if CMBIS and its relevant affiliates shall be indemnified, secured and/or prefunded to their satisfaction against all liabilities to which they may render themselves liable and/or which they may incur by so doing; and provided that CMBIS and its relevant affiliates shall not be held liable for the consequences of exercising its discretion or taking any such action, and may do so without having regard to the effect of such action on individual client.

本人/吾等同意并确认, 招银国际证券 作为本人/吾等的代理人 and 代名人, 在购买本申购指示所规定的基金, 除非 招银国际证券 有欺诈行为, 否则对本人/吾等不承担任何责任。此外, 本人/吾等同意并确认, 招银国际证券对本人/吾等购买、持有和/或投资本附表所规定的基金的表现和/或本人/吾等因购买、持有和/或投资本申购指示所规定的基金而遭受或发生的任何损失, 一概不承担任何责任。招银国际证券及其相关关联公司不受约束, 并可酌情决定是否采取任何行动 (包括但不限于有关任何公司行动、投票、违约事件或法律诉讼), 除非在招银国际证券及其相关关联公司收到相关客户投资者的多数指示 (及招银国际证券按其绝对酌情权认为足够的指示), 并在客户对招银国际证券及其相关关联公司应承担的和/或可能产生的所有责任进行弥偿、担保和/或预先提供资金的情况下, 才会采取这种行动。而且, 招银国际证券及其相关关联公司不应对其行使其酌情权或采取任何此类行动的后果负责, 并且可以在不考虑此类行动对个别客户的影响的情况下行使其酌情权或采取任何此类行动。

4. Where requested by CMBIS in connection with the purchase of the Funds that are the subject of the Purchase Order, and without prejudice to any agreement, authorization or approval provided in this Schedule, we hereby agree to approve any execution and/or action taken on my / our behalf in connection with the purchase of the Funds that are the subject of the Purchase Order.

在招银国际证券要求下, 在不影响本附录规定的任何协议、授权或批准的情况下, 吾等在此同意批准以本人/吾等的名义执行和/或采取与购买申购指示内的基金有关的行动。

5. I / We hereby consent to CMBIS disclosing any information about me / us as CMBIS determines necessary, and to such persons as CMBIS determines necessary, in connection with the performance of CMBIS's role and duties as our agent and nominee pursuant to this Schedule, including with respect to the purchase of the Funds that are the subject of the Purchase Order.

本人/吾等特此同意招银国际证券在招银国际证券认为必要时披露本人/吾等的任何信息, 并向招银国际证券认为必要的人披露与招银国际证券根据本附录作为我们的代理人 and 代名人履行职责有关的信息, 包括与购买作为购买订单标的的基金有关的信息。

6. I/We confirmed that I/we have read and understood fully and carefully the entire content of the documents (including without limitation any offering circulars, pricing supplements and/or trade confirmations) related to the Funds as provided to me/us by CMBIS or other relevant parties. For the benefit of CMBIS acting as our agent and nominee as provided in this Schedule, we hereby repeat each of the declarations given by me / us set out under the section headed "Customer's Declarations and Signature" set out in the Purchase Order and confirm that I / we have made my / our own investigation into the purchase of the Funds that are the subject of the Purchase Order (including taking advice from such professional advisors as we determine appropriate) and I am / we are not relying on any information or advice given by CMBIS or any affiliate thereof in connection with such purchase.

本人/吾等确认, 本人/吾等已全面仔细阅读并理解由招银国际证券或其他相关方提供给本人/吾等的与本基金有关的文件 (包括但不限于任何发售通告、定价补充文件和/或交易确认书) 的全部内容。为了招银国际证券作为吾等的代理人 and 代名人本附表中规定的利益。吾等在此重复购买订单中 "客户声明及签署" 一节中由本人/吾等作出的每项声明, 并确认本人/吾等已对购买作为购买对象的基金进行了自己的调查 (包括听取我们认为适当的专业顾问的意见), 并且本人/吾等不依赖于招银国际证券或其任何附属机构就该购买提供的任何信息或意见。

7. I/We acknowledge and agree to make the same representations, warranties and agreements as are made by CMBIS as subscribers, investors or agent (whether on my/our behalf or in its own name) in the relevant documents and I/we shall indemnify CMBIS and hold it harmless against any claims, costs and liabilities arise as a result of such subscription made by CMBIS, save and except to the extent caused by CMBIS's fraud. For the avoidance of doubt, such representations, warranties and agreements made by CMBIS (whether on my/our behalf or in its own name) in the subscription documents shall be deemed my/our representations, warranties and agreements, as if I/we complete those relevant subscription documents.

本人/吾等确认并同意作出与招银国际证券作为认购人、投资者或代理人 (无论代表本人/吾等或以其本身名义) 在有关文件中作出的相同陈述、保证和协议, 并且本人/吾等应就招银国际证券作出的该等认购而导致的任何索赔、费用和和责任向招银国际证券作出赔偿, 但由招银国际证券的欺诈所导致者除外。为免生疑问, 招银国际证券 (无论是代表本人/吾等还是以其自身名义) 在认购文件中所作的陈述、保证和协议应被视为本人/吾等的陈述、保证和协议, 就像本人/吾等完成这些相关认购文件一样。

8. I / We hereby agree to provide CMBIS with any information that CMBIS determines necessary and requests in connection with the performance of CMBIS's role and duties as our agent and nominee pursuant to this Schedule, including with respect to the purchase of the Funds that are the subject of the Purchase Order. I / We hereby agree and acknowledge that these terms of appointment of CMBIS as our agent and nominee on the terms set out in this Schedule, and any non-contractual obligations arising in respect thereof, are governed by, and shall be construed in accordance with, the laws of Hong Kong. The English version of this Schedule shall prevail in the event of inconsistency.

本人/吾等特此同意向招银国际证券提供招银国际证券认为必要的、与招银国际证券根据本附表履行其作为我方代理人 and 代名人的角色和职责有关的任何信息, 包括与购买作为申购指示内的基金有关的信息。本人/吾等特此同意并确认, 按本附表所列条款委任招银国际证券为吾等的代理人 and 代名人的这些条款, 以及由此产生的任何非合同义务, 均受香港法律管辖, 并应按照香港法律解释。本附录英文与中文如有不一致, 以英文版本为准。