



根據《證券及期貨條例》下的持牌法團(CE編號BNH481)
Licensed Corporation under the Securities & Futures Ordinance (CE No. BNH481)

Fund Applicant Information Form – Single / Joint Applicant
基金申請人資料表 – 個人 / 聯名

Funds 基金名稱

Sequence No.: _____

序 號: _____

1. Applicant Information 申請人資料

	Single Applicant 單一申請人資料	Joint Applicant 聯名申請人資料
Name in English 英文姓名 <i>(must be identical to the ID Card/Passport 必須與身份證/護照相同)</i>	<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Ms. 女士 _____ (Surname 姓氏) (First or Given Name 名字)	<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Ms. 女士 _____ (Surname 姓氏) (First or Given Name 名字)
Name in Chinese 中文姓名		
Date of Birth 出生日期	D 日/ M 月/ Y 年	D 日/ M 月/ Y 年
Place of Birth (Town/Country) 出生地點(市鎮或城市/國家)	/	/
ID Card/Passport No. 身份證/護照號碼		
Nationality 國籍		
Residential Address 住宅地址 (P.O. Box is not accepted. 不接受郵政信箱)		
Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區		
City 城市		
Province / State 省 / 州		
Country 國家		
Post Code/ZIP Code 郵政編碼/郵遞區		
Correspondence Address 通訊地址 (if different from Residential Address 如與住宅地址不同)		
Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區		
City 城市		
Province / State 省 / 州		
Country 國家		
Post Code/ZIP Code 郵政編碼/郵遞區		
Contact Tel. No. 聯絡電話號碼		
Mobile No. 流動電話號碼		
Email Address 電郵地址		
Fax No. 傳真號碼		

Employment Status 就業情況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Self-employed (Pls. provide business nature) 自僱 (請填寫業務性質) <input type="checkbox"/> Others 其他 (Pls. specify 請註明): _____	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Self-employed (Pls. provide business nature) 自僱 (請填寫業務性質) <input type="checkbox"/> Others 其他 (Pls. specify 請註明): _____
Name of Employer / Company 僱主 / 公司名稱		
Position 職位		
Occupation/Business Nature 職業 / 業務性質		
Office Tel. No. 公司電話號碼		
Office Fax No. 公司傳真號碼		
Annual Income (HKD) 每年收入 (港幣)	<input type="checkbox"/> \$200,000 or Less 或以下 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$1,500,000 <input type="checkbox"/> \$1,500,001 - \$2,000,000 <input type="checkbox"/> Above \$2,000,000 以上	<input type="checkbox"/> \$200,000 or Less 或以下 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$1,500,000 <input type="checkbox"/> \$1,500,001 - \$2,000,000 <input type="checkbox"/> Above \$2,000,000 以上
Source of Income (HKD) 收入來源 (港幣)	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Interest Income 利息收入 <input type="checkbox"/> Business Profit 業務收益 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Interest Income 利息收入 <input type="checkbox"/> Business Profit 業務收益 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Others 其他 _____
Net Asset Value (HKD) 資產淨值 (港幣)	<input type="checkbox"/> \$8,000,000 - \$10,000,000 <input type="checkbox"/> \$10,000,001 - \$15,000,000 <input type="checkbox"/> \$15,000,001 - \$20,000,000 <input type="checkbox"/> \$20,000,001 - \$25,000,000 <input type="checkbox"/> \$25,000,001 - \$30,000,000 <input type="checkbox"/> Above \$30,000,000 以上	<input type="checkbox"/> \$8,000,000 - \$10,000,000 <input type="checkbox"/> \$10,000,001 - \$15,000,000 <input type="checkbox"/> \$15,000,001 - \$20,000,000 <input type="checkbox"/> \$20,000,001 - \$25,000,000 <input type="checkbox"/> \$25,000,001 - \$30,000,000 <input type="checkbox"/> Above \$30,000,000 以上
Amt. of Liquidity for Investment (HKD) 可用作投資的流動資產(港幣)	<input type="checkbox"/> \$1,000,000 or Less 或以下 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> \$10,000,001 - \$15,000,000 <input type="checkbox"/> \$15,000,001 - \$20,000,000 <input type="checkbox"/> Above \$20,000,000 以上	<input type="checkbox"/> \$1,000,000 or Less 或以下 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> \$10,000,001 - \$15,000,000 <input type="checkbox"/> \$15,000,001 - \$20,000,000 <input type="checkbox"/> Above \$20,000,000 以上
Ownership of Residence 住宅業權	<input type="checkbox"/> Living with Family 與家人同住 <input type="checkbox"/> Mortgaged 已按揭 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> Living with Family 與家人同住 <input type="checkbox"/> Mortgaged 已按揭 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他 _____

2. Investment Experience (can choose more than one) 投資經驗 (可選多於一項)

Product 產品	Experience (in Terms of Year) 經驗 (以年計算)					
	Nil 無	< 1	1 - 3	3 - 5	5 - 10	>10
Stocks 證券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Product (e.g., Bonds or Certificate of Deposits) 定息產品(例如:債券、存款證等)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Principal Protected Structured Product 保本結構性產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unit Trust / Mutual Fund 單位信託 / 互惠基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Margin Trading 保證金交易	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private Fund 私募基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-principal Protected Structured Product (e.g., Equity Linked Note) 非保本結構性產品(例如:股票掛鈎票據)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products (e.g., option, futures, warrant, callable bull / bear contracts, or accumulator) 衍生產品 (例如: 期權、期貨、認股權證、牛熊證、累計認購期權等)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others 其他	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Knowledge of Derivatives Assessment

<p>(a) What is your perception of financial derivatives? 閣下對金融衍生工具的認知？</p> <p><input type="checkbox"/> None, I have no knowledge of financial derivatives at all. 沒有，本人不具備金融衍生工具的知識。</p> <p><input type="checkbox"/> Low, I have only some basic knowledge of financial derivatives such as differences between traditional investment products like stocks and derivatives as different asset classes. 少許認知，本人只具備金融衍生工具的一些基本知識，例如傳統投資工具如股票等與 衍生工具屬於不同類型資產。</p> <p><input type="checkbox"/> Medium, I have above basic knowledge and understand that the value of financial derivatives can fluctuate with the value of the underlying assets and hence its performance can vary to a larger extent than traditional investment products in both directions. I know how to read terms and conditions for a financial derivative contract or offering documents and understand the factors affecting the prices of financial derivatives in general. 中等認知，本人具備基本以上的知識及明白金融衍生工具的價值可因應相關資產的價值而波動及其升跌幅度可大於傳統投資工具。本人懂得如何閱讀金融衍生工具合約或銷售文件的條款及細則及明白影響金融衍生工具價值的一般因素。</p> <p><input type="checkbox"/> Advanced, I am familiar with most financial derivatives and have been a frequent trader in financial derivatives for many years. 非常認知，本人熟悉大部分金融衍生工具及在過往多年經常買賣金融衍生工具。</p>
<p>(b) The type of financial derivatives investment experience(s) that you have (can choose more than one)? 閣下對以下金融衍生工具的投資經驗 (可選擇多於一項)？</p> <p><input type="checkbox"/> Listed financial derivatives in Hong Kong or overseas exchanges (e.g. futures contracts, commodity contracts, options and warrants) 香港或海外上市的金融衍生工具 (如期貨合約、商品合約、期權及認股權證)</p> <p><input type="checkbox"/> Over-the-counter structured products or financial derivatives (e.g. structured/convertible bonds, credit-linked, commodities-linked and equity-linked notes) 場外結構性產品或金融衍生工具 (如結構性/可換股債券、信貸掛鈎票據、商品掛鈎票據及股票掛鈎票據)</p> <p><input type="checkbox"/> Hedge funds or funds employing financial derivatives extensively for investment purpose 對沖基金或廣泛地投資於金融衍生工具以達致投資目的的基金</p> <p><input type="checkbox"/> Others 其他 (please specify 請說明): _____</p> <p><input type="checkbox"/> None 沒有 (please go to Question (d) 請回答問題(d))</p>
<p>(c) Have you executed five or more transactions in relation to those products (whether traded on exchange or not) as stated in Question (b) within the past three years? 閣下有否在過去 3 年間就問題 (b) 所述產品執行 5 項或以上交易 (不論是否於交易所買賣)？</p> <p><input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有</p>
<p>(d) Have you undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on the aforesaid derivatives and/or structured products and that you are fully aware of the nature and risks of this kind of investment products? 閣下有否曾經接受及/或參加由學術機構或金融機構所提供有關上述衍生工具及/或結構性產品的在線或教室形式培訓及/或課程，而閣下亦完全了解這類投資產品的性質和風險？</p> <p><input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有</p>
<p>(e) Have you possessed more than 1 year working experience related to the aforesaid derivatives and/or structured products? 閣下有否擁有 1 年以上有關上述衍生工具及/或結構性產品的工作經驗？</p> <p><input type="checkbox"/> Yes, please specify the job nature: _____ and period of employment from _____ to _____ (yyyy) 有，請註明工作性質: _____ 及工作時間: 由 _____ 年至 _____ 年</p> <p><input type="checkbox"/> No 沒有</p>
<p>Assessment Result 評估結果</p> <p><input type="checkbox"/> With knowledge on financial derivatives ("medium or above level" attained in question (a) and at least one positive answer "yes" in questions (c), (d) or (e)). 具備金融衍生工具的知識 (問題 (a) 達到「中等或以上水平」及問題 (c), (d) 或 (e) 至少有一條的答案是「有」)。</p> <p><input type="checkbox"/> Without knowledge on financial derivatives. 不具備金融衍生工具的知識。</p>

*For a joint applicant, the applicant who places orders or makes investment decisions should complete this part.
如為聯名申請，代表發出有關指示或作出投資決定的申請人應填寫此部份。*

4. Use of Personal Data in Direct Marketing Consent Letter 使用個人資料作直接促銷同意書

China Shandong International Asset Management Limited (“CSIAM”) intends to use your personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to CSIAM under this Information Form or obtained by CSIAM from time to time. CSIAM proposes to obtain your consent.

華魯國際資產管理有限公司(「華魯資管」)擬使用閣下的個人資料作直接促銷，該等個人資料包括本人/吾等在本資料表格中向華魯資管提供的及華魯資管不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得閣下的同意。

I/We agree to receive promotional and direct marketing information from CSIAM in respect of financial, securities, investment services and products of CSIAM may offer. I/We also agree that CSIAM can share my/our personal data with its group companies for marketing and promotional purposes. I/We understand and accept that CSIAM and its group companies may, from time to time, engage third parties to provide direct marketing services unless I indicate an objection herein below:

本人/吾等同意華魯資管向本人/吾等發放關於財務、證券、投資的服務和產品的推廣資料。本人/吾等亦同意華魯資管及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等亦明白和接受華魯資管及其集團公司可能不時聘請第三方代表華魯資管及其集團公司提供直接促銷服務，除非本人在下方表示反對：

I/We object to the CSIAM use or transfer, whether for gain or not, of all kinds of my/our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

本人/吾等反對華魯資管使用或轉移，不論是否為得益，本人/吾等所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

In the future, if you do not wish CSIAM to use or provide your data to other persons for the use in direct marketing, you may exercise your opt-out right by notifying CSIAM at (852) 3105 9683.

如閣下將來不希望華魯資管使用或提供閣下的資料給他人作直接促銷，請致電 (852) 3105 9683 通知我們。

5. Disclosure of Identity 身份披露

(i) Are you the ultimate beneficial owner(s)? 閣下是否最終實益擁有人?

Yes 是 No, detail of the ultimate beneficial owner is (if more than one, please specify on an additional paper):
否，最終實益擁有人是 (如多於一位，請另紙說明):

Name of ultimate beneficial owner 最終實益擁有人姓名	HKID/Passport No 香港身份證 / 護照號碼	Place & Date of Birth 出生地點及日期	Nationality 國籍	Phone No. 電話號碼
Residential Address 住址			Relationship with account holder(s) 與帳戶持有人的關係	

(ii) Are you or the ultimate beneficial owner(s), the holder of senior public position of any countries e.g. senior government official, political party leaders, etc. or their family members?
閣下或最終實益擁有人，是否任何國家/地區之政界人士，例如：政府高官、政黨領袖等或其家人？

No 不是 Yes 是, (Pls. Specify 請說明): _____

(iii) Are you or the ultimate beneficial owner(s), the nature of business particularly susceptible to money laundering risk (e.g. money service or gaming business that handles large amount of cash)?
閣下或最終實益擁有人的業務性質，是否特別容易蒙受較高的洗黑錢風險(如處理大量現金交易的金錢服務業或博彩業)？

No 不是 Yes 是, (Pls. Specify 請說明): _____

(iv) Are you or the ultimate beneficial owner(s), an immediate family member of any director or employee of the China Shandong International Asset Management Limited (including China Shandong Group and its subsidiaries)?
閣下或最終實益擁有人是否與華魯國際資產管理有限公司 (包括華魯集團有限公司及其附屬公司) 之任何董事或僱員有直屬關係？

No 不是 Yes 是, such director or employee's name is 該董事或僱員姓名為: _____

(v) Are you or the ultimate beneficial owner(s), a director, an employee or a representative of Licensed Corporation or Registered Institution registered with the Securities and Futures Commission in Hong Kong?
閣下或最終實益擁有人，是否香港證監會註冊之持牌法團或註冊機構之董事、僱員或代表？

No 不是

Yes 是,

a. Please provide the name of the person 請提供有關人士姓名: _____

b. Please provide the name of the Licensed Corporation or Registered Institution 請提供有關持牌法團或註冊機構名稱: _____

6. Declaration by Applicant(s) 申請人聲明

I/We hereby acknowledge and confirm that:

本人/吾等謹此承諾並確認：

1. The information contained in this Fund Applicant Information Form is true, accurate and complete.

本基金申請人資料表格的資料均屬真實、準確及完整。

2. I/We agree to inform CSIAM within 30 days in writing of any change in (i) the personal particulars of any applicant(s) in this form; and/or (ii) other information provided by me/us in this form or any other document(s).

本人/吾等茲同意(i)本人/吾等在表格內所提及任何申請人的個人資料及/或(ii)本人/吾等於本表格或任何其他文件提供的其他資料如有任何變動，本人/吾等當於三十天內以書面通知華魯資管。

3. I/We hereby confirm that I/we have received, read and understood the offering document(s) including prospectus, private placement memorandum and financial reports (if applicable) and various risk factors stated in the offering document(s) for the relevant fund/investment company before signing the subscription agreement and agreed to be bound by them as they may be amended from time to time.

本人/吾等確認在簽署認購協議時，已收到、細閱及明白有關基金/投資公司之銷售文件，包括產品說明書、私人配售備忘錄及財務報告(如適用)及所載述之各項風險因素，並同意受有關該等文件章則及其不時之修訂版本所約束。

4. I/We shall make our own independent decisions whether to subscribe units/shares in any fund/share class acting upon our own judgment and such independent advice as I/we consider appropriate and having read and understood the explanatory memorandum or offering document (or equivalent) for the relevant fund/investment company. In particular, I/we acknowledge that there are special risks involved with investment in any fund and 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 explanatory memorandum or offering document (or equivalent). Notwithstanding the aforementioned, if CSIAM solicits the sale of or recommends any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of the subscription agreement or any other document CSIAM may ask me/us to sign and no statement CSIAM may ask me/us to make derogates from this clause. For the purpose of this clause, "financial product" means any securities or futures contracts as defined under the Securities and Futures Ordinance.

本人/吾等會根據自行判斷及本人/吾等認為合適之獨立意見，以及在閱讀及明白有關基金/投資公司之說明書或銷售文件（或同等文件）後，就是否認購任何基金/股份類別之單位/股份作出獨立決定。本人/吾等明白投資於任何基金均涉及特別風險，假如本人/吾等決定投資於任何基金，本人/吾等只可在閱讀及完全明白載於有關說明書或銷售文件（或同等文件）之風險條款後方作出投資。然而，若華魯資管向本人/吾等招攬銷售或建議任何金融產品，該金融產品必須是華魯資管經考慮本人/吾等的財政狀況、投資經驗及投資目標後認為合理地適合本人/吾等的產品。申請協議的其他條文、本條款或華魯資管可能要求本人/吾等簽署的任何其他文件及華魯資管可能要求本人/吾等作出的任何聲明概不會減損此條款的效力。就此條款而言，「金融產品」指《證券及期貨條例》所界定的任何證券或期貨合約。

5. I/We acknowledge that the charges and the basis of payment in relation to each fund/share class are set out in the explanatory memorandum or offering document (or equivalent) for the relevant fund/investment company.

本人/吾等明白有關每項基金/股份類別之收費及付款基礎已於有關基金/投資公司之說明書或銷售文件（或同等文件）中列明。

6. I am/We are not prohibited or restricted by any applicable securities or other laws or regulations from subscribing, holding or redeeming any units/shares in any funds/ share classes or from receiving any Fund Application Form/Agreement and explanatory memorandum or offering document (or equivalent).

本人/吾等並無受到任何適當之證券或其他法律或條例禁止或限制認購、持有或贖回任何基金/股份類別之單位/股份或收取任何基金申請表格/合約或任何說明書或銷售文件（或同等文件）。

7. The risk disclosure statements were provided to me/us in a language of my/our choice (English or Chinese).

本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明。

8. I/We was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished.

本人/吾等已獲邀請參閱風險披露聲明，並提出問題及諮詢獨立意見(如有此意願)。

9. I/We hereby declare that I/We have received and read the Derivatives Product Risks Disclosures and understand that the investment risks associated with derivatives and structured products is High. Moreover, the staff of CSIAM has cautioned me/us about investing in derivatives and/or structured products.

本人/吾等聲明本人/吾等已接獲及閱讀衍生產品風險披露並明白衍生工具及結構性產品交易涉及高投資風險，而華魯資管員工已向本人/吾等提出有關投資衍生工具及/或結構性產品的警告。

10. I/We understand that all investment involves risk and that the decision to invest is mine/ours. I/We have read and understood the relevant Offering Documents for the chosen investment and the associated risk factors. I/We confirm that I/we consider the investment is suitable for me/us and is consistent with my/our investment objectives, even though my/ our resulting portfolio risk may be greater than my/our risk preference.

本人/吾等明白所有投資均涉及風險而本投資決定是屬於本人/吾等的。本人/吾等已參閱並理解有關投資的銷售文件及有關風險因素。雖然整體投資組合之風險可能會高於本人/吾等之風險取向，本人/吾等確認本人/吾等認為有關投資適合本人/吾等並符合本人/吾等之投資目標。

11. I/We understand that my/our investment in the Fund(s) should not result in a significant exposure of my/our total net worth, which would expose me/us to the risk of over-concentration. I/We hereby confirm that my/our aggregate investment in the Fund(s) does/do not exceed 50% of my/our total net worth and in the event of complete loss of my/our investment in the securities; my/our livelihood will not be affected.

本人/吾等明白本人/吾等投資於有關基金產品的總額不應於總資產淨值內佔重大比重，否則本人/吾等將要承受投資過度集中的風險。本人/吾等確認本人/吾等所投資於基金的總額，不會超過本人/吾等總資產淨值的50%，及即使有關基金產品出現完全損失，本人/吾等的生計亦不會被影響。

12. I/We acknowledge and agree that CSIAM, its employees and or its agents is entitled to receive remuneration in the form of transfer pricing or commission, or other non-monetary benefits including access to research and training materials, in connection with my/our investment in any Fund Product(s) made through CSIAM.

本人/吾等確認及同意華魯資管、其僱員及/或代理，可能因本人/吾等透過華魯資管投資於任何基金產品，以轉移定價或佣金形式，或其他非金錢利益（包括獲取研究及培訓資料）而取得報酬。

13. I/We hereby declare that I/we am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes. I/We undertake to notify CSIAM within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN, without which we agree that the information stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN will be deemed renewed. We shall fully indemnify and hold harmless CSIAM from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本人/吾等謹此聲明本人/吾等並非《海外帳戶稅收合規法案》下所定義的美國人士。本人/吾等的美國居民/公民自我證明的狀況資料如有變更，本人/吾等須於三十日內主動通知華魯資管，否則本人/吾等同意該資料會被當作續期。本人/吾等亦同意悉數對華魯資管因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

14. I/We agree to inform CSIAM within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to CSIAM. We shall fully indemnify and hold harmless CSIAM from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.
本人/吾等承諾若本人/吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知華魯資管。本人/吾等亦同意悉數對華魯資管因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。
15. CSIAM will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my/our tax residence or there is reason for CSIAM to know that the self-certification is incorrect or unreliable CSIAM reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. I/we shall be deemed to acknowledge that further information may need to be provided to CSIAM.
華魯資管須本人/吾等提供自我證明或其他文件以揭示本人/吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地，或令華魯資管有理由相信本人/吾等之自我證明有不正確或不可靠時，華魯資管保留權利可要求本人/吾等遞交新的自我證明及/或額外文件。本人/吾等承諾及同意向華魯資管提供進一步的資料。
16. I/We have read CSIAM's Notice to Applicant on the Personal Data (Privacy) Ordinance, understand and agree to such terms.
本人/吾等已參閱華魯資管給予申請人有關《個人資料（私隱）條例》的通知，並明白且同意其條款。
17. In the event of any difference in interpretation or meaning between the Chinese and English version, I/we agree that the English version shall prevail.
倘若中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。

Single Applicant Signature 單一申請人簽署	Joint Applicant's Signature 聯名申請人簽署
Name 姓名: Date 日期:	Name 姓名: Date 日期:

Declaration Made by a Licensed Representative 持牌代表聲明		
<p>I, the undersigned representative of CSIAM, hereby declare and confirm that I have provided the Risk Disclosure Statements in a language of the Applicant's choice and have fully explained the contents of Risk Disclosure Statements (including any additional risk disclosure statements) to the Applicant. I have invited the Applicant to read the Risk Disclosure Statements, ask questions and seek independent advice if the Applicant wishes.</p>		
<p>本人為以下簽署者華魯資管之代表，謹此聲明及確認本人已經以申請人所選擇能夠明白的語言向申請人完全解釋上述《風險披露聲明》(包括任何加入的風險披露聲明)的內容。並已邀請申請人細閱有關《風險披露聲明》及進行提問，如申請人有此意願，可就《風險披露聲明》徵求獨立意見。</p>		
<p>Signature of licensed representative 持牌代表簽署</p>	<p>Name of licensed representative 持牌代表姓名</p>	<p>CE Number 中央編號</p>

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RISK DISCLOSURE STATEMENT

風險披露聲明

Investment involves significant risks. It is impossible to describe every risk associated that is relevant to you. Before trade or invest, you should carefully consider whether trading or investment is suitable in light of his own financial position and investment objectives. You are advised to seek independent financial and professional advice before you trade or invests. You should read and fully understand all the offering documents relating to such products or investments and all the risk disclosure statements and risk warnings therein before making any investment decisions.

投資涉及重大風險，本聲明不可能披露所有涉及和閣下有關係的投資的相關風險。閣下在進行交易或投資前，應按本身的財政狀況及投資目標謹慎考慮進行交易或投資是否適宜。華魯資管建議閣下於進行交易或投資前應尋求獨立的財務及專業意見。作出任何投資決定前，閣下應細閱及了解有關該等產品或投資的所有發售文件，以及其中所載的風險披露聲明及風險警示。

1. **Risk of Investing in Collective Investment Schemes 投資集體投資計劃的風險**

Risks are involved in investing in Collective Investment Schemes. The prices of Collective Investment Schemes fluctuate, sometimes dramatically. The price of Collective Investment Schemes 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 Collective Investment Schemes.

投資集體投資計劃涉及風險。集體投資計劃價格可能非常反覆。集體投資計劃價格可升可跌，甚至變成毫無價值。一般情況下，買賣集體投資計劃未必可賺取利潤，反而會蒙受損失。

Past performance figures are not indicative of future performance. You should carefully read the offering documents for details before making any investment decision.

往績數字並非未來表現的指標。閣下於作出任何投資決定前，應仔細閱讀銷售文件。

Investment in Collective Investment Schemes is different to placing moneys on deposit with a bank. The fund company or manager is under no obligation to redeem shares in any Collective Investment Schemes at the price at which they were issued.

投資於集體投資計劃有別於在銀行存款。集體投資計劃並不屬於存款。基金公司或基金經理不負責按任何集體投資計劃的發售價贖回在集體投資計劃的股份。

Since some markets in which some of the Collective Investment Schemes invest may be subject to a higher than usual risk of political or economic instability, the assets of and income from such Collective Investment Schemes may be affected unfavorably by fluctuations in currency rates, exchange control and fiscal regulations and as a result, the shares of these funds and unit trusts may be subject to substantial price volatility. Some markets may not be subject to accounting, auditing and financial reporting standards and practices comparable to those applicable in more advanced countries, and there may be less government supervision, legal regulation and less well-defined tax laws and procedures than in countries with more advanced securities markets.

由於部分市場的某些集體投資計劃可能會受到較一般政治或經濟不穩定風險為高的限制，因此該等集體投資計劃的資產及收益可能會蒙受匯率、外匯管制及財政規例反覆的不利影響，並可能由此令此等集體投資計劃的股份受價格大幅波動的規限。部分市場可能不受會計、核數及財務報告準則及實務的規限，惟該等規限則適用於較先進的國家，此外，較諸於有較先進證券市場的國家，該等市場的政府監管、法律規例及已確立的稅法及程序可能會較少。

Certain Collective Investment Schemes may invest in higher yielding securities rated lower than investment grade. Below investment grade securities such as, for example, high yield debt securities, may be considered speculative and can include securities that are unrated or in default. As a result, investment in these funds or unit trusts are accompanied by a higher degree of credit risk than is present in investment in higher rated, lower yielding securities.

若干集體投資計劃可能會投資於低於投資級評級但具有較高收益率的證券。在投資級別以下的證券，例如高收益率債務證券可能被視為屬投機性，其中可包括非評級或失責證券。因此，投資於此等集體投資計劃較諸於目前投資於評級較高但收益率較低的證券具有更高度的信貸風險。

Certain Collective Investment Schemes may invest in emerging markets which may lack the social, political or economic stability and are subject to less government supervision, legal regulation and less well-defined tax laws and procedures than in countries with more advanced securities markets. Exposure to these markets may entail more volatility than investments in more established markets. You should read the relevant offering documents, in particular, any risks factors relating to investment in emerging markets.

個別集體投資計劃或會投資於新興市場，該等市場可能缺乏穩定的社會、政治或經濟，亦比先進的證券市場較少政治監管、法律規例及已明確的稅法及程序。投資於該等市場或須承擔較投資於已發展市場為高的波幅。您應閱讀有關銷售文件，尤其任何有關投資於新興市場的風險因素。

You should carefully consider prior to investing in Collective Investment Schemes, (a) the possible tax consequences, (b) the legal requirements and (c) any foreign exchange control requirements which you might encounter under the laws of the countries of his incorporation, citizenship, residence or domicile and which might be relevant to the purchase, sale, subscription, holding, conversion or disposal of the shares in Collective Investment Schemes.

在投資集體投資計劃前，閣下應詳細考慮，(a) 可能的稅務後果，(b) 法律規定，以及 (c) 根據閣下的註冊成立國家、公民地位、住所或本籍國家的法律，閣下可能面對的及可能與購買、銷售、認購、持有、轉換或出售集體投資計劃內股份有關的任何外匯管制規定。

The market for technology or technology-related Collective Investment Schemes can be highly volatile and in many cases their prices may reflect market speculation rather than the underlying economic value of such funds or unit trusts.

有關科技或科技相關的集體投資計劃的市場可以極之波動，且在大部分情況下，其價格可能反映市場的投機活動，而非該等集體投資計劃的當時經濟價值。

Certain capital guaranteed/capital preserved Collective Investment Schemes generally carry some terms and conditions, and redemption of shares in the Collective Investment Schemes prior to fulfilling all the terms and conditions specified in the offering documents or prospectus will be subject to market fluctuations or a redemption fee. Capital guaranteed/capital preserved Collective Investment Schemes are not guaranteed by the guarantor specified in the offering documents.

若干保本/資本保值集體投資計劃一般附帶某些條款及條件，而於達成發售文件或章程列明的所有條款及條件前，贖回集體投資計劃股份將受市場波動或贖回費所規限。保本/資本保值集體投資計劃，並非由發售文件指定的保證人作出保證。

2. **Risks of assets received or held outside Hong Kong 在香港以外地方收取或持有資產的風險**

Your assets received or held by the Collective Investment Schemes outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on assets received or held in Hong Kong.

集體投資計劃在香港以外地區收到或持有的閣下資產須受相關海外司法管轄區的適用法律及規例約束。有關法律及規例可能有別於《證券及期貨條例》（香港法例第571章）及該法例下所訂的規則。因此，該等閣下資產未必獲得在香港收取或持有的閣下資產享有的相同保障。

3. **Risks involved in derivatives 衍生工具涉及的風險**

The use of derivatives may give rise to a form of leverage, which may cause the Net Asset Value of these funds to be more volatile and/or change by greater amounts than if they had not been leveraged. A relatively small market movement will have a proportionately larger impact which may work for or against these funds. The following are the key risks related to the use of derivatives:

使用衍生工具可能產生一種槓桿，會導致基金的資產淨值較沒有使用槓桿時更加波動及/或錄得較大變幅。較小的市況變動會相對地帶來較大的影響，這可能有助，也可能不利基金的表现。使用衍生工具涉及的主要風險如下：

3.1. Market risk – The risk that arises from movements in price as a result of changes in market conditions. Since most derivative products involve a degree of leverage, market risks can be substantial.

市場風險 – 市況變動引致價格波動的風險。由於大部份衍生工具都含有一定程度的槓桿效應，市場風險可能相當顯著。

3.2. Liquidity risk – The risk that buyers and sellers may not exist when it is necessary or desirable to enter or exit a position.

流動性風險 – 在需要或有意買入或沽售倉盤時，未能找到買家及賣家的風險。

3.3. Counterparty credit risk – The risk that a loss may be sustained by a fund as a result of the failure of the other party to a derivative instrument to comply with the terms of derivative instrument contract.

交易對手信貸風險 – 衍生工具的交易對手方未能履行衍生工具合約的條款，導致基金可能蒙受虧損的風險。

3.4. Settlement risk – The risk exists when futures, forwards, contracts for differences options and swaps (of any type) are not settled in a timely manner, thereby increasing counterparty credit risk prior to settlement and potentially incurring funding costs that would otherwise not be experienced.

結算風險 – 結算風險是指期貨、遠期合約、差價合約、期權和掉期（任何種類）合約未能及時結算，導致結算前的交易對手信貸風險上升，繼而令基金可能產生在別的情況下毋須負擔的融資成本。

3.5. Fund management risk – Derivative instruments are highly specialized instruments that require investment techniques and risk analyses different from those associated with stocks and bonds.

基金管理風險 – 衍生工具是高度專門的投資工具，所需的投資技巧和風險分析，與適用於股票和債券的投資技巧和分析不同。

There may be some other risks involved in derivative instruments. You are advised to refer to the latest offering document/fund prospectus for details of relevant risks.

使用衍生工具可能涉及其他風險。閣下應參閱最新的基金說明書/基金認購章程，以了解有關風險的詳情。

Personal Information Collection Statement

收集個人資料聲明

1. 根據香港個人資料（私隱）條例（香港法例第486章）（「私隱條例」），申請人明白及完全接受，申請人過去或日後可能須不時應要求向華魯資管提供個人資料。華魯資管可能收集進一步的資料。
 2. 申請人未能填妥資料表格及遵守按該表格提出的資料要求，可能會導致華魯資管無法開立帳戶或繼續向申請人及其他人士提供服務，或未能遵守任何適用法律。
 3. 申請人同意，華魯資管可向以下人士提供自申請人獲得的資料：
 - (i) 華魯資管及聯屬公司及/或集團的任何其他成員；
 - (ii) 可能以其名義註冊證券或申請人其他資產的任何代名人；
 - (iii) 任何因為向華魯資管及聯屬公司及/或集團提供行政/資料處理、資料處理、財務、電腦、電訊、付款或證券結算、專業服務或其他有關服務而獲轉交資料/處理的承辦商、代理人或服務供應者；
 - (iv) 華魯資管為及代表申請人進行交易或擬進行交易的任何人士；
 - (v) 協議的任何受讓人、承讓人、參與者、次參與者、授權人、繼承人或為其變更協議義務的人士；
 - (vi) 按適用於華魯資管及聯屬公司及/或集團的適用法例所規定，政府、監管機構或其他團體或機構；及
 - (vii) 根據由於華魯資管或聯屬公司及/或集團在相關當地或外國監管機構、政府機構、或公認行業組織（無論在香港境內還是境外）所在司法管轄區的或涉及該等司法管轄區的財務、稅務、商業、業務或其他利益或活動而由華魯資管或聯屬公司及/或集團承擔或施加給其的、與該等當地或外國監管機構、政府機構、公認行業組織之間的任何合同、其他承諾或安排，有義務或必須向其披露的任何人士按適用於華魯資管及聯屬公司及/或集團的適用法例所規定，政府、監管機構或其他團體或機構。
 4. 申請人同意，申請人不時提供的資料可作下列用途：
 - (i) 令申請人有關交易或其他事項的指示得以生效，及執行申請人的所有指示；
 - (ii) 提供有關帳戶的服務，不論該等服務是由華魯資管或聯屬公司/集團或任何其他人士提供；
 - (iii) 查詢或查核申請人的信用狀況，確定申請人的財務狀況及投資目標，以及促使或協助任何其他人士如此行事；
 - (iv) 收取到期欠款、執行抵押、押記或其他有利華魯資管及聯屬公司/集團的權利與權益；
 - (v) 推廣華魯資管及聯屬公司/集團現有及未來的服務或產品；
 - (vi) 作為可能獲轉交資料的華魯資管或聯屬公司/集團紀錄的一部分；
 - (vii) 遵守華魯資管及聯屬公司/集團或任何其他人士可能須遵守的任何法律、監管或其他規定；
 - (viii) 遵從由華魯資管或聯屬公司及/或集團在相關當地或外國監管機構、政府機構、或公認行業組織（無論在香港境內還是境外）所在司法管轄區的或涉及該等司法管轄區的財務、稅務、商業、業務或其他利益或活動而由華魯資管或聯屬公司及/或集團承擔或施加給其的、與該等當地或外國監管機構、政府機構、或公認行業組織之間的任何合同、其他承諾或安排；及
 - (ix) 以上任何一項或多項有關或附帶的其他用途。
 5. 在直接促銷中使用資料
1. Pursuant to the Personal Data (Privacy) Ordinance of Hong Kong (Cap.486) (the "Ordinance"), The Applicant understands and fully accepts the Applicant may have or may in future be requested to supply personal information to CSIAM from time to time. Further information may be collected by CSIAM.
 2. Any failure on the part of the Applicant to complete the Applicant Information Form and to comply with a request for Data on the same may result in CSIAM being unable to open or administer the Account or unable to effect Transactions under the Account.
 3. The Applicant agrees that CSIAM may provide the Data received from the Applicant to the following persons: —
 - (i) any other members of CSIAM and the Affiliates and / or Group;
 - (ii) any nominees in whose name Securities or other assets of the Applicant may be registered;
 - (iii) any contractor, agent or service provider who provides CSIAM and Affiliates / Group administrative, data processing, financial, computer, telecommunication, payment or securities clearing, professional services or other related services to whom the Data is passed;
 - (iv) any person with whom CSIAM enters into or proposes to enter into the Transaction for and on the Applicant's behalf;
 - (v) any assignee, transferee, participant, sub-participant, delegate, successor or person to whom the Agreement is novated;
 - (vi) governmental, regulatory or other bodies or institutions, as required by Applicable Laws which are applicable to CSIAM and the Affiliates / Group; and
 - (vii) any person to whom CSIAM or its Affiliates / Group is under an obligation or otherwise required to make disclosure pursuant to any contractual or other commitment or arrangement with local or foreign regulators, government bodies, or industry recognized bodies (whether within or outside Hong Kong) that is assumed by or imposed on CSIAM or its Affiliates / Group by reason of its financial, tax, commercial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign regulators, governmental bodies, industry recognized bodies.
 4. The Applicant agrees that the purposes for which the Data provided by the Applicant from time to time may be used are:
 - (i) giving effect to the Applicant's orders relating to Transactions or otherwise, and carrying out all the Applicant's instructions;
 - (ii) providing services in connection with the Account, whether the services are provided by or through CSIAM or the Affiliates / Group or any other person;
 - (iii) conducting credit enquiries or checks on the Applicant and ascertaining the Applicant's financial situation and investment objectives, and enabling or assisting any other person so to do;
 - (iv) collection of amounts due, enforcement of security, charge or other rights and interests in favour of CSIAM and of the Affiliates / Group;
 - (v) marketing existing and future services or products of CSIAM and the Affiliates / Group;
 - (vi) forming part of the records of CSIAM or the Affiliates / Group to whom the Data may be passed;
 - (vii) observing any legal, regulatory or other requirements to which CSIAM and the Affiliates / Group or any other persons may be subject;
 - (viii) complying with any contractual or other commitment or arrangement with local or foreign regulators, governmental bodies, or industry recognized bodies (whether within or outside Hong Kong) that is assumed by or imposed on CSIAM or its Affiliates / Group by reason of its financial, tax, commercial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign regulators, governmental bodies, or industry recognized bodies; and
 - (ix) other purposes related or incidental to any one or more of the above.
 5. USE OF DATA IN DIRECT MARKETING

華魯資管擬把申請人資料用於直接促銷，而華魯資管為該用途須獲得申請人同意（包括表示不反對）。就此，申請人同意：

CSIAM intends to use the Applicant's Data in direct marketing and CSIAM requires the Applicant's consent (which includes an indication of no objection) for that purpose. In this connection, the Applicant agrees that:

- (i) 華魯資管及華魯資管之聯屬公司／集團可能把華魯資管不時持有的申請人姓名、聯絡資料、產品及服務組合資料、交易模式及行為、財務背景及在統計中使用的資料用於直接促銷；
 - (ii) 可用作促銷下列類別的服務、產品及以促銷為目標的任何事項：
 - (a) 任何種類的證券、財務、投資及相關服務及產品；
 - (b) 客戶關係管理及任何優惠折扣計劃及相關服務及產品；
 - (iii) 上述服務、產品及以促銷為目標的任何事項可能由華魯資管及／或華魯資管之聯屬公司／集團提供；
 - (iv) 除由華魯資管促銷上述服務、產品及以促銷為目標的任何事項以外，華魯資管亦擬將以上(a)段所述的資料提供予以上(c)段所述的全部或任何人士，以供該等人士在促銷該等服務、產品及以促銷為目標的任何事項中使用，而華魯資管為此用途須獲得申請人書面同意（包括表示不反對）。
6. 申請人可書面要求獲得資料的副本，並有權查閱及更正資料。任何有關要求，可致函到香港灣仔港灣道1號會展廣場辦公室大樓42樓 華魯資管有限公司資料保護主任。申請人明白，華魯資管亦會就任何有關要求徵收合理費用。
- (i) the name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data of the Applicant held by CSIAM from time to time may be used by CSIAM and CSIAM's Affiliates / Group in direct marketing;
 - (ii) the following classes of services, products and subjects may be marketed:
 - (a) any type of Securities, financial, investment and related services and products;
 - (b) client relationship management, any discount programme and related services and products;
 - (iii) the above services, products and subjects may be provided by CSIAM and/or its Affiliates / Group;
 - (iv) in addition to marketing the above services, products and subjects itself, CSIAM also intends to provide the Data described in paragraph (a) above to all or any of the persons described in paragraph (c) above for use by them in marketing those services, products and subjects, and CSIAM requires the Applicant's written consent (which includes an indication of no objection) for that purpose.
6. The Applicant may request a copy of the Data in writing and has the right to assess to and correct the Data. Any such request may be addressed to the Data Protection Officer of China Shandong International Asset Management Limited at 42/F, Office Tower, Convention Plaza, 1 Harbour Road, Wanchai, Hong Kong. The Applicant understands that a reasonable fee will be charged by CSIAM for any such request.