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Capital Dynamics Asset Management (HK) Private Limited

資威資產管理(香港)有限公司

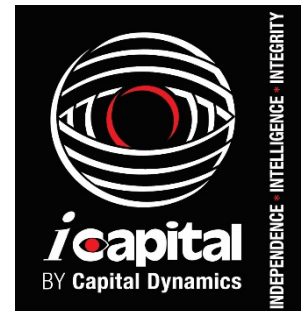
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香港銅鑼灣禮頓道29號華懋禮頓廣場7樓701室

Investment Fund Services Hotline : (852) 21531455

投資基金服務熱線

Website 網址: www.capitaldynamics.hk



Before completing this Form, you should read the latest Offering Documents of the relevant fund.

Please complete all questions in this Form in block capitals. If any question is not applicable, please write "N/A".

All alterations hereto must be signed by the applicant concerned signing this Form in the same manner they sign the Form to show that the alterations are made by them.

在填寫本開戶表格前，務請細閱有關基金的最新解釋備忘錄。

請用正楷填寫所有問題。如該問題不適用，請填寫"N/A"。

凡經修改之處，必須由相關申請人簽署此表格的人士以其簽署此表格的簽名式樣簽署，以表示有關更改乃由他們本人作出。

1. REGISTRATION DETAILS 登記資料
(Please read (6) – Declaration / Notes 請細閱(6) 聲明 / 附註)

1.1 INDIVIDUAL INVESTOR 個人投資者

- ☐ Single Account 單名賬戶 ☐ Joint Account (Maximum 2 joint account holders. Each account only submits one Form together with the relevant supporting documents for each account holder)
聯名賬戶 (最多兩名聯名賬戶持有人。每個賬戶只須提交一份本表格及每名賬戶持有人的相關證明文件)

Name of Main Applicant
主要申請人姓名

Name of Joint A/C Holder
聯名賬戶持有人姓名

Note 附註:

For Joint Account, the main applicant will be regarded as a contact person.
如屬聯名賬戶，主要申請人將被視為聯絡人。

Note for 1.1.1:

附註1.1.1:

- (a) P.O. Box address is not accepted for registered/permanent address, residential address or mailing address.
不接受郵政信箱地址為註冊 / 永久地址、住址或郵寄地址。
- (b) For individual investor, commercial address is not accepted for registration.
概不接受個人投資者以商業地址登記。
- (c) For individual investor, registered address must be a permanent address.
個人投資者的註冊地址必須為永久地址。
- (d) For Joint Account, all documents will be issued in accordance with the main applicant's mailing address for the operations of the account. In connection with tax residency related matters under the Common Reporting Standard however, the joint account holder may also be contacted for this purpose.
如屬聯名賬戶，所有文件將根據主要申請人的郵寄地址發出，以作賬戶營運用途。然而，我們亦可能就有關共同匯報標準的稅務居民事項而聯絡聯名賬戶持有人。

1.1.1 ACCOUNT DETAILS 賬戶資料			
Main Applicant 主要申請人			
Title 稱謂	Mr 先生 Ms 小姐	Full Name in English 英文姓名	Full Name in Chinese 中文姓名
ID / Passport No. 身份證 / 護照號碼		Country of Issue 簽發國家	Citizenship / Residence 公民身份/許可永久居住
Date of Birth 出生日期		City and Country of Birth 出生城市 and 國家	Nationality 國籍
Home Tel. No. (include Country Code) 電話號碼(包括國家代碼) ()		Fax No. (include Country Code) 傳真號碼(包括國家代碼) ()	
Occupation 職業	Name of Employer/Company 僱主/公司名稱		Years spent in the occupation 在職年期
E-mail Address 電郵地址		Mobile Tel. No. (include Country Code) 手提電話 (包括國家代碼) ()	
Residential Address 住址			
Country 國家		Postal code 郵編	
Permanent Address (if different from the above) 永久地址 (如與上述不同)			
Country 國家		Postal code 郵編	
Are you the only person with authority to operate this Account? 閣下是否唯一獲授權營運此賬戶的人士?		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No, both the main applicant and the joint account holder below have the authority to operate this Account. 否, 主要申請人及以下聯名賬戶持有人均獲授權營運此賬戶 <input type="checkbox"/> No, either the main applicant or the joint account holder below has the authority to operate this Account. 否, 主要申請人或以下聯名賬戶持有人獲授權營運此賬戶	

Joint Account Holder (if applicable) 聯名賬戶持有人 (如適用)			
Title 稱謂	Mr 先生 Ms 小姐	Full Name in English 英文姓名	Full Name in Chinese 中文姓名
ID / Passport No. 身份證 / 護照號碼		Country of Issue 簽發國家	Citizenship / Residence 公民/居留身份
Date of Birth 出生日期		City and Country of Birth 出生城市及國家	Nationality 國籍
Home Tel. No. (include Country Code) 電話號碼 (包括國家代碼) ()		Fax No. (include Country Code) 傳真號碼 (包括國家代碼) ()	
Occupation 職業	Name of Employer/Company 僱主/公司名稱		Years spent in the occupation 在職年期
E-mail Address 電郵地址		Mobile Tel. No. (include Country Code) 手提電話 (包括國家代碼) ()	

Residential Address 住址	
Country 國家	Postal code 郵編
Permanent Address (if different from the above) 永久地址（如與上述不同）	
Country 國家	Postal code 郵編

Investor must provide the supporting documents as set out in the relevant Customer Due Diligence (CDD) Checklist Appendices (if not in English or Chinese, please provide notarized translation copy of it).
投資者須提供下文客戶盡職審查核對清單所載的證明文件（若文件並非英文或中文，請提供經認證的翻譯本）。

We reserve the right to request additional documents for application approval.
本公司保留權利要求閣下提供額外文件以作申請審批。

In accordance with the anti-money laundering (AML) obligations applicable to the relevant funds, requests for transfer or payment of redemption proceeds will not be effected until receipt of all outstanding identification documents and information pertaining to AML obligations. None of the relevant funds, the Manager, the Trustee, the Registrar or their agents or affiliates accepts any responsibility for any loss caused as a result of any such delay or refusal to process transfer requests or effect payment of redemption proceeds (as the case may be) and claims for payment of interest due to such delays will not be accepted.

根據適用於本基金的打擊洗黑錢責任，贖回款項的轉賬或付款要求將不會生效，直至收妥所有有關打擊洗黑錢責任的尚欠身份證明文件及資料。本基金、管理人、受託人、過戶登記處或其代理或聯屬公司概不就因任何該等延誤或拒絕處理贖回款項的轉賬要求或付款（視乎情況而定）而導致的任何損失負責，亦不接受因該等延誤而需繳付利息的申索。

1.1.2 ADDITIONAL INFORMATION 額外資料

Investor must also provide the following information by completing the fields below.
投資者亦須填寫以下各項以提供所需資料。

- (a) Information on source of funds for investment (can tick more than one)
用作投資的資金來源資料 (可以剔選多個)

Main Applicant 主要申請人	Joint Account Holder (if applicable) 聯名賬戶持有人 (如適用)
<input type="checkbox"/> Salary / Commissions 薪金 / 佣金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Rental income 租金 <input type="checkbox"/> Sale of assets 出售資產 Type of assets sold 出售資產類別 _____ <input type="checkbox"/> Investment income/Sale of Investments 投資收入或投資收益 <input type="checkbox"/> Lottery/betting win 彩票/博彩之收益 <input type="checkbox"/> Others, please specify 其他, 請註明 _____ _____	<input type="checkbox"/> Salary / Commissions 薪金 / 佣金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Rental income 租金 <input type="checkbox"/> Sale of assets 出售資產 Type of assets sold 出售資產類別 _____ <input type="checkbox"/> Investment income/Sale of Investments 投資收入或投資收益 <input type="checkbox"/> Lottery/betting win 彩票/博彩之收益 <input type="checkbox"/> Others, please specify 其他, 請註明 _____ _____

- (b) Are you an employee of a Securities & Futures Commission of HKSAR ("SFC") licensee?
閣下是否受僱於香港特別行政區證券及期貨事務監察委員會 (「證監會」) 發牌之持牌機構?

Main Applicant 主要申請人	Joint Account Holder (if applicable) 聯名賬戶持有人 (如適用)
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes; you are required to provide a letter of consent from your current employer to agree on this account application. No application will be accepted until the provision of the aforesaid documentation is provided. 是; 閣下必須提交由現有僱主簽發此開戶申請的同意書。若未能提交有關文件, 申請將不獲接納。	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes; you are required to provide a letter of consent from your current employer to agree on this account application. No application will be accepted until the provision of the aforesaid documentation is provided. 是; 閣下必須提交由現有僱主簽發此開戶申請的同意書。若未能提交有關文件, 申請將不獲接納。

- (c) Are you related* to any employee or director of Capital Dynamics Asset Management (HK) Private Limited?

*related – immediate family members: spouse, children, parents.

閣下是否與資威資產管理 (香港) 有限公司的僱員或董事有任何關係*?

關係* – 直屬親屬: 配偶、子女、父母

Main Applicant 主要申請人	Joint Account Holder (if applicable) 聯名賬戶持有人 (如適用)
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify the following information and provide a written consent from Compliance Department of Capital Dynamics Asset Management (Hong Kong) Limited in supporting of the application of account opening. 是; 閣下請註明以下資料並提交由資威資產管理 (香港) 有限公司合規部簽發以支持此開戶申請的書面同意書。 Name of the employee/director 僱員/董事姓名: _____ Relationship 與僱員/董事之關係: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify the following information and provide a written consent from Compliance Department of Capital Dynamics Asset Management (Hong Kong) Limited in supporting of the application of account opening. 是; 閣下請註明以下資料並提交由資威資產管理 (香港) 有限公司合規部簽發以支持此開戶申請的書面同意書。 Name of the employee/director 僱員/董事姓名: _____ Relationship 與僱員/董事之關係: _____

2. CORRESPONDENCE FROM THE MANAGER**管理人通訊方式**

Please indicate below how you would like to receive the correspondence (e.g. Contract Notes, Financial Reports, Notices) from the Manager or the Registrar:

請於以下指明閣下希望從管理人或過戶登記處收取通訊的方式（例如合約、財務報告、通告）：

Channel of Account Statement Collection 賬戶結單收取方式	<input type="checkbox"/> By Post 郵寄方式 <input type="checkbox"/> By E-mail 電郵方式
Mailing Address 郵寄地址	<div style="text-align: right;">Country 國家</div> (required only if different from the Registered/Permanent address 如與註冊 / 永久地址不同才須填寫)

3. FIRST SUBSCRIPTION 首次認購

Name of Fund(s) 基金名稱	Currency 貨幣	Subscription Amount 認購金額

NOTE:

附註：

Please note that your first subscription application will be processed on the immediate dealing day after your master account is opened. The due diligence and master account opening process may take up to 4 weeks from the day your application is received. 請注意，閣下的首次認購申請將於開立總賬戶後第一個交易日處理。盡職審查及總開戶過程所需時間最長可能為收妥申請當天起計4星期。

The Account details are as follows 銀行賬戶資料如下：

By Telegraphic Transfer 透過電匯

Bank Account Name 銀行名稱	Bank Account Number 銀行賬戶號碼	Beneficiary Bank 收款銀行	Beneficiary Bank SWIFT Code 收款銀行 SWIFT 代號	Beneficiary Bank Address 收款銀行地址
BOCI-Prudential Trustee Limited - iCapital Master Fund	012-875-9-295472-6	BANK OF CHINA (HONG KONG) LTD, HONG KONG	BKCHHKHHXXX	Bank of China Tower, 1 Garden Road, Central, Hong Kong

By RTGS CHATS 透過 RTGS CHATS

Correspondent Bank 往來銀行	Bank Account Name 銀行名稱	Bank Account Number 銀行賬戶號碼	SWIFT Code SWIFT 代號
BANK OF CHINA (HONG KONG) LTD	BOCI-Prudential Trustee Limited - iCapital Master Fund	012-875-9-295472-6	BKCHHKHHXXX

4.	Payment Instruction 付款指示 <ul style="list-style-type: none"> - All subscription money must originate from an account held by you and in the case of joint account, from an account held by the joint account holder and main applicant. No third party payments shall be permitted. 所有認購款項必須源自閣下持有的賬戶。不允許第三方付款。 - No cash or third party cheque payment will be accepted. We reserve the right not to process your instruction until receipt of the payment in cleared funds by us. 概不接受現金或第三方支票付款。在收到結算資金的付款之前，本公司保留權利不處理閣下的指示。 - Cheque has to be issued by a licensed bank in Hong Kong. 支票必須由香港持牌銀行發行 - For Cashier's Order/Bank draft, please instruct the bank to certify that the draft is issued upon the account holder's request at the back of the draft and submit source of payment. 如屬本票 / 銀行匯票，請指示銀行背面以核實匯票乃按賬戶持有人要求發出，並提交付款來源的證明文件。 		
I/We confirm that payment of the above subscription amount has been made by 本人 / 我們確認上述認購金額以下列方式支付			
<input type="checkbox"/>	Telegraphic transfer for the sum _____ of _____ 以電匯於 _____	(Date日期) 支款: _____	
<input type="checkbox"/>	RTGS CHATS Amount 金額: _____	(Date日期) 支款: _____	
<input type="checkbox"/>	Cheque Payment 支票付款	Cheque No. 支票號碼: _____	

5. STANDING INSTRUCTION OF REDEMPTION PAYMENT 贖回付款的常行指示 <ul style="list-style-type: none"> - This section is not compulsory. You can provide the information below when you submit your redemption form later. 本部分可不填寫。閣下可在日後遞交贖回表格時提供以下資料。 - The cheque option is only available for those with a bank account opened in Hong Kong. 支票僅供持有香港開立的銀行賬戶者選擇。 			
<input type="checkbox"/>	Please arrange to credit proceeds by telegraphic transfer to the following account: 請安排款項電匯到以下賬戶:	Currency of proceeds 貨幣款項	<input type="checkbox"/> USD 美元 <input type="checkbox"/> Other (please specify) 其他 (請註明) _____
Address of Correspondent Bank 往來銀行地址			
Country 國家			
Name of Beneficiary Bank 收款銀行名稱	BIC/SWIFT Code of Beneficiary Bank 收款銀行 BIC/SWIFT 代號		
Address of Beneficiary Bank 收款銀行地址			
Country 國家			
Name of Bank Account Holder 銀行賬戶持有人名稱			
Bank Account Number 銀行賬戶號碼			
<input type="checkbox"/>	Please issue a cheque payable to me / us and mail to my/our mailing address. 請簽發應付予本人 / 我們的支票並郵寄至本人 / 我們的郵寄地址。	Currency of proceeds 貨幣款項	<input type="checkbox"/> USD 美元 <input type="checkbox"/> Other (please specify) 其他 (請註明) _____

6. DECLARATION / NOTES 聲明 / 附註

1. I/We acknowledge that I/we have received and considered the Offering Documents relating to the relevant funds (the **“Funds”**) and the relevant sub-funds thereunder (the **“Sub-Funds”**) managed by Capital Dynamics Asset Management (HK) Private Limited (the **“Manager”**) from time to time and that this application is based thereon.
本人 / 我們確認，本人 / 我們已收到關於不時由資威資產管理（香港）有限公司（「**管理人**」）管理的相關基金（「**本基金**」）及其相關子基金（「**子基金**」）的銷售文件並加以考慮，而且本申請乃據此作出。
2. I/we confirm that I am/we are not a US Person (as defined in Regulation S under the United States Securities Act of 1933 (as amended)) nor do I/we hold or intend to hold units of the Funds or the Sub-Funds (the **“Units”**) for the benefit of any such person.
本人 / 我們確認，本人 / 我們並非美國人士（定義見 1933 年美國證券法規例 S（經修訂）），本人 / 我們亦沒有為或擬為任何該等人士持有本基金或子基金單位（「**單位**」）。
3. I/We hereby represent and warrant that I am/we are a Non-resident (an **“Investment Company Act Non-Resident Person”**) within the meaning of the United States Investment Company Act of 1940 (as amended).
本人 / 我們謹此聲明及保證，本人 / 我們為 1940 年美國投資公司法（經修訂）所指的非居民人士（「**投資公司法的非居民人士**」）。
4. I/We hereby represent and warrant that I am/we are a Non-United States person (a **“CFTC Non- United States Person”**) within the meaning of United States Commodity Futures Trading Commission Rule 4.7(a)(1)(iv).
本人 / 我們謹此聲明及保證，本人 / 我們為美國商品期貨交易委員會規則第 4.7 條(a)(1)(iv)所指的非美國人士（「**CFTC 的非美國人士**」）。
5. I/We hereby represent and warrant that I am/we are not a US Person for the purpose of the Foreign Account Tax Compliance Act (**“FATCA”**).

For this purpose, a “US Person” (“US Person for FATCA purpose”) is defined as follows:

- (i) an individual who is a citizen of the US or a resident alien for US federal income tax purposes. In general, the term “resident alien” is defined for this purpose to include any individual who (i) holds an Alien Registration Card (a “green card”) issued by the US Citizenship and Immigration Service or (ii) meets a “substantial presence” test. The “substantial presence” test is generally met with respect to any calendar year if (a) the individual was present in the US on at least 31 days during such year, and (b) the sum of the number of days in which such individual was present in the US during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days; or
- (ii) a corporation, an entity taxable as a corporation or a partnership created or organized in or under the laws of the US or any state or political subdivision thereof or therein, including the District of Columbia (other than a partnership that is not treated as a US person under Treasury Regulations); or
- (iii) an estate the income of which is subject to US federal income tax regardless of the source thereof; or
- (iv) a trust with respect to which a court within the US is able to exercise primary supervision over its administration and one or more US persons have the authority to control all of its substantial decisions, or certain electing trusts that were in existence on 20 August 1996 and were treated as domestic trusts on 19 August 1996; or
- (v) a Passive Non-Financial Foreign Entity (“Passive NFFE”) with “substantial US owner(s)” that are “Specified US Person(s)” (within the meaning of Treasury Regulations under FATCA as set forth in Sections 1471 through 1474 of the US Internal Revenue Code (“IRC”)), where the country in which the relevant entity is formed or resident has not signed an Intergovernmental Agreement with the US relating to FATCA (“IGA”). A Passive NFFE is generally a non-US and non-financial institution entity that is neither a “publicly traded corporation” nor an “active NFFE” (within the meaning of Treasury Regulations under FATCA). A substantial US owner is generally a US Person (as described above under paragraphs 4(i) through 4(iv)) that owns, directly or indirectly, a more-than-10 percent interest in the Passive NFFE; however there are generally a number of exemptions with specified requirements including, but not limited to, the following types of entities: i) a regularly traded corporation on an established securities market or an affiliate; ii) an organization exempt from US tax under IRC Section 501(a), iii) an IRC Section 581 US bank, and iv) an IRC Section 851 regulated investment company; or
- (vi) a “Non-U.S. Entity” with one or more “Controlling Persons” (within the meaning of an applicable IGA) that is a US Person (as described above under paragraph 4(i)).

本人 / 我們謹此聲明及保證，本人 / 我們並非就《海外賬戶稅收合規法案（「FATCA」）目的所定義的美國人士。就此目的而言，「美國人士」（「就FATCA目的所定義的美國人士」）的定義如下：

- (i) 就美國聯邦所得稅目的而言屬美國公民或外國居民的個人。一般來說，「外國居民」一詞的定義就此目的而言包括任何(i)持有由美國公民及移民服務局簽發的外國人登記卡（「綠卡」），或(ii)通過「實質居留」測試的個人。如就任何公曆年有下列情況，一般即屬已通過「實質居留」測試：(a)該名個人在該年度內在美國居留至少31天，及(b)該名個人在該年度內於美國居留的天數，與其前一年度內居留天數的三分之一及其前兩年度內居留天數的六分之一的總和，相等於或超過183天；或
- (ii) 企業、作為企業的應課稅實體，或位於美國或美國任何州或政治分區（包括哥倫比亞特區）或根據美國或美國任何州或政治分區（包括哥倫比亞特區）的法律設立或組成的合夥公司（根據美國財政部規例不被視作美國人士的合夥公司除外）；或
- (iii) 收入（不論其來源）須繳納美國聯邦所得稅的遺產；或
- (iv) 美國境內法院能對其行政管理行使主要監控權及一名或以上美國人士有權控制其所有實質決定的信託，或於1996年8月20日已存在而於1996年8月19日被視作國內信託的若干選定信託；或
- (v) 具「特定美國人士」（符合《美國國內稅收法》（「國內稅收法」）第1471至1474條FATCA下的財政部規例所指）身份的「實質美國擁有人」的被動非金融外國實體（「被動NFFE」），而有關實體的所屬成立或註冊國家

並未就FATCA與美國簽署《政府間協議》（「政府間協議」）。一般而言，被動NFFE是既非「上市買賣企業」，亦非「主動NFFE」（符合FATCA下財政部規例所指）的非美國及非金融機構實體。實質美國擁有人一般是直接或間接擁有被動NFFE 10%以上權益的美國人士(如上文第4(i)至4(iv)段所述)；然而，一般存在具有特定規定的多個豁免，包括但不限於下列各類實體：i)在具規模的證券市場定期買賣的企業或聯屬公司；ii)根據《國內稅收法》第501(a)條獲豁免美國稅項的組織；iii)《國內稅收法第581條的美國銀行；及iv)《國內稅收法》第851條的受監管投資公司；或

(vi) 具有一名或以上屬美國人士(如上文第4(i)段所述)的「控制人士」(符合適用政府間協議所指)的「非美國實體」。

6. I/We acknowledge that all parties meeting any definition of US Person (as described above) should note the relevant regulatory requirements. If I am /we are in any doubt as to my/our status, I/we should consult my/our financial or other professional adviser.

本人 / 我們確認所有符合任何美國人士定義(定義見上文)的各方應注意相關監管規定。如本人 / 我們對本人 / 我們的狀況有任何疑問，本人 / 我們應諮詢本人/我們的財務顧問或其他專業顧問。

7. I/We hereby represent and warrant that I/we have provided the required information relating to the Automatic Exchange of Financial Account Information (“**AEOI**”) to the Funds by completing the relevant Tax Residency Self-Certification Form within this Form.

本人 / 我們謹此聲明及保證，本人 / 我們已透過填妥本表格內的稅務居民自我證明表格，向本基金提供有關自動交換財務賬戶資料（「自動交換資料」）的所需資料。

8. I/We hereby represent and warrant that I am/we are acquiring the Units for our own account or I am/we are acquiring the Units for the account of one or more acquiring persons (each an “**Acquiring Person**”) each of which is (i) not a US Person under the United States Securities Act of 1933 (as amended), (ii) an Investment Company Act Non-Resident Person, (iii) a CFTC Non-United States Person, (iv) not a US Person for FATCA purpose; or (v) not a person falling within the description under the section headed “Compulsory redemption of Units” in the explanatory memorandum of the relevant Fund) acquiring beneficial interests in the Funds or Sub-Fund (the “**Beneficial Interests**”) for its own account.

本人 / 我們謹此聲明及保證，本人 / 我們個人的身份購入單位或本人 / 我們為一名或以上購入人士購入單位（各稱「**購入人士**」），而每名購入人(i)並非1933年美國證券法（經修訂）下的美國人士；(ii)為投資公司法的非居民人士；(iii)為CFTC的非美國人士；(iv)並非就FATCA目的所定義的美國人士；或(v)不符合本基金說明備忘錄「強制贖回單位」一節所描述及以個人身份購入本基金或子基金的實益權益（「**實益權益**」）的人士。

9. I/We hereby represent and warrant that I/we and each Acquiring Person will not offer, resell, pledge or transfer, the Units or the Beneficial Interests, at any time, within the United States or to or for the account or benefit of (i) a US Person under the United States Securities Act of 1933 (as amended), (ii) a person that would not qualify as an Investment Company Act Non-Resident Person, (iii) a person that would not qualify as a CFTC Non-United States Person, (iv) a US Person for FATCA purpose, or (v) defined person falling within the description under the section headed “Compulsory redemption of Units” in the explanatory memorandum of the relevant Fund).

本人 / 我們謹此聲明及保證，本人 / 我們，以及每名購入人士將不會於任何時間在美國或向(i) 1933年美國證券法（經修訂）下的美國人士、(ii)不符合投資公司法的非居民人士資格之人士、(iii)不符合CFTC的非美國人士資格之人士、(iv)就FATCA目的所定義的美國人士、或(v)符合本基金說明備忘錄「強制贖回單位」一節所描述的人士要約、轉售、質押或轉移單位或實益權益。

10. I/We also acknowledge and understand the following:

(i) If, subsequent to my/our investment, I/we become a person as described under paragraph 8(i), (ii), (iii), (iv) or (v) above, I/we (i) will be restricted from making any additional subscriptions and (ii) as soon as practicable have my/our Units compulsorily redeemed (subject to the requirements of applicable laws and requirements).

(ii) The Manager, the Funds and/or the Sub-Funds may exercise their right to:

(a) report my/our relevant information to the US Internal Revenue Service (IRS) ; or

(b) withhold or deduct from my/our redemption proceeds or distributions to the extent permitted by applicable laws and regulations

if I/We fail to provide the necessary information and/or upon request to satisfy relevant requirements under any applicable local or foreign laws and regulations issued by regulatory or governmental authorities of relevant jurisdiction, including but not limited to FATCA obligations.

(iii) In order to comply with FATCA, the Funds and/or the Sub-Funds may need to disclose, inter alia, the name, address, taxpayer identification number and investment information relating to certain US investors who are US Persons that own, directly or indirectly, an interest in certain entities, as well as certain other information relating to such interest, to the US IRS. The extent to which the Funds and/or the Sub-Funds are able to report to the US IRS will depend on each affected unitholder in the Funds and/or the Sub-Funds providing the Funds and/or the Sub-Funds or their delegate with any information and consent that the Funds and/or the Sub-Funds determine is necessary to satisfy such obligations.

本人 / 我們確認及明白下列各項：

(i) 如本人 / 我們於投資後成為上文第8(i)、(ii)、(iii)、(iv)或(v)段所述的人士，本人 / 我們(i)將被限制作出任何額外的認購，及(ii)本人 / 我們所持有的單位須在可行情況下盡快被強制贖回（須受制於適用法律及規定的要求）。

(ii) 如本人 / 我們未能按要求提供所需資料以履行任何由相關司法管轄區的監管或政府機構發出的適用本地或海外法律和規例下的規定，包括但不限於FATCA責任，則管理人、本基金及 / 或子基金可行使以下：

(a) 向美國國稅局（「美國國稅局」）申報本人 / 我們的相關資料；或

(b) 在適用法律及規例容許的程度下，從本人 / 我們的贖回款項或分派中預扣或扣除款項。

(iii) 為遵守FATCA，如若干美國投資者屬美國人士，而且直接或間接擁有若干實體的權益，則本基金及 / 或子基

金可能需要向美國國稅局披露資料，當中包括該等投資者的姓名、地址、納稅人識別號碼及有關投資資料，以及與該權益有關的若干其他資料。本基金及／或子基金可向美國國稅局申報的程度，將取決於本基金及／或子基金的每名受影響單位持有人有否向本基金及／或子基金或其授權代表提供本基金及／或子基金認為履行該等責任所需的任何資料和同意。

11. I/We undertake to observe and be bound by the provisions of the Offering Document of the Funds and the trust deed constituting the Funds (as amended from time to time).

本人／我們承諾遵守本基金銷售文件及構成本基金信託契據（經不時修訂）的條文並受其約束。

12. I/We acknowledge that future subscription application is made at a price determined in accordance with the Offering Document and the trust deed (as amended from time to time) of the relevant Fund and that the Manager reserves the right to reject any application in whole or in part.

本人／我們確認日後的認購申請將按本基金銷售文件及信託契據（經不時修訂）所釐定的價格作出，而且管理人保留權利拒絕全部或部分申請。

13. In the case of joint applicants, each applicant must sign and write their names below. A corporation should sign under the hand of a duly authorised official who should state his representative capacity. If this Form is signed under a power of attorney, such power or a duly certified copy thereof must accompany this Form.

如屬聯名申請人，每名申請人必須在下文簽署及填寫姓名。如屬企業，則應由經正式授權的代表簽署並應註明其代表身份。若根據授權書簽署本表格，則該授權書或其經核證副本必須隨本表格一併提交。

14. Where the applicant is a financial institution, broker or other person applying to acquire Units on behalf of its individual client(s), the applicant represents and warrants that it has full power and authority on behalf of the individual investor to subscribe for Units and to execute any necessary subscription documentation, in particular but without limitation to the aforesaid, to make the representations above on behalf of such individual investor as to the agreement of such individual investor regarding the use of personal data.

如申請人為金融機構、經紀或代表其個人客戶申請購入單位的其他人士，則申請人聲明及保證其擁有充分權力及授權代表個人投資者認購單位及簽立任何所需認購文件，尤其（但不限於）代表該等個人投資者作出上述有關該個人投資者同意使用個人資料的聲明。

Anti-Money Laundering and Prevention of Crime 打擊洗黑錢活動及防止罪行

15. In order to comply with the relevant laws and regulations for the purpose of prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, terrorist financing and any other violation of laws or unlawful activities, you are required to provide evidence to prove your identity. For individuals, the proof will include a certified true copy of passport or identity card. For corporations and institutions, a certified true copy of the Certificate of Incorporation, Business Registration Certificate, Memorandum and a list of authorised signatories with specimen signatures and any other relevant proof as may be required by the Manager must be submitted with this application. You are required to provide identification information and documentation in accordance with the CDD checklist appendices included in this Form and the Manager may request for additional documentation from time to time. Failure to provide such information and documentation may result in the Fund not being able to accept your investment.

為遵守預防、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、恐怖分子融資及任何其他違法或不合法活動的相關法律及規例，閣下須提供閣下的身份證明文件。如屬個人投資者，證明文件將包括護照或身份證的經核證真實副本。如屬企業及機構，則須於申請時一併提交公司註冊證明書的經核證真實副本、商業登記證、備忘錄、獲授權簽署人名單及其簽名式樣、以及管理人可能要求的任何其他相關證明。閣下須根據本表格附件的客戶盡職審查核對清單提供身份識別資料及文件，而管理人可不時要求索取額外文件。未能提供該等資料及文件，可能導致本基金未能接受閣下的投資。

Personal Information Collection Statement 個人資料收集聲明

16. Pursuant to the Personal Data (Privacy) Ordinance (the "PDPO"), the following information is provided to you (the "Investor") in connection with your dealings with and provision of personal data or information ("Data") to Capital Dynamics Asset Management (Hong Kong) Limited, or its associated or affiliated companies or connected persons including Capital Dynamics Global Private Limited from time to time ("Capital Dynamics"). Capital Dynamics is committed to maintaining Investor's personal data in accordance with the requirements of the PDPO. This Statement is designed to assist the Investor in understanding why and how Capital Dynamics collects and uses such data and the safeguards in place to protect such data. This Statement replaces any notice or statement of similar nature that may have been provided to you previously and may be updated, amended or supplemented from time to time.

- (i) From time to time, it is necessary for the Investor to supply Capital Dynamics with Data in connection with the opening or continuation of accounts, the provisions of services to the Investor or compliance with any laws and regulations or guidelines issued by regulatory or other authorities or governmental bodies.

- (ii) Failure to provide such Data may result in Capital Dynamics being unable to open or maintain an account or provide or continue to provide services to the Investor or taking appropriate action or reporting to the relevant authorities or complying with the relevant laws and regulations or guidelines.

- (iii) Data relating to the Investor are collected or received by Capital Dynamics from time to time in the ordinary course of the continuation of the customer relationship with the Investor, for example, when the Investor transfers funds, effects transactions or communicates with Capital Dynamics.

- (iv) Purposes for Data Collections and Uses

The purpose for which data relating to the Investor may comprise any or all of the following purposes:

- a. offering provision of services and/or products from time to time and administering, maintenance, management and daily operation of such services and/or products which may include, without limitation, financial, securities, advisory, investment or MPF products and services;

- b. matching and verifying data /information provided by the Investor or third party;
 - c. completing the information on the Register of Unitholders;
 - d. processing, assessing and approving application made by the Investor for the services or products provided by Capital Dynamics ;
 - e. conducting transactions relating to fund subscription, redemption and transferring or switching of fund units;
 - f. carrying out instruction or responding to Investor's enquiries, providing administrative services and performing any functions and activities related to the services or products provided by Capital Dynamics , including, without limitation, conducting audit, preparing and mailing of reports, newsletters and notices;
 - g. designing and organizing financial or investment seminars/events/ forums;
 - h. designing and conducting surveys or questionnaires for Investor profiling or for internal research, statistical and market analysis;
 - i. complying with any applicable law, regulation, statute, ordinance, rule, judgment, decree, code, guidelines, directive, circulars, sanctions regime, court order issued by other regulatory authorities of relevant jurisdiction, exchange or market, whether legal, regulatory, governmental, tax, law enforcement, self-regulatory, industry or others which apply in respect of the Fund or the Investor's investments or bind/ apply to Capital Dynamics from time to time ("**Relevant Laws**");
 - j. meeting any demands, disclosure, notification or reporting requirements to which Capital Dynamics or any recipient of the data is subject under the Relevant Laws, including but not limited to compliance with obligations pursuant to the FATCA, verifying the identity of the Investor or establishing whether the Investor is a US Person for the purposes of FATCA (collectively, the "**Regulatory Requirements**");
 - k. prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, tax evasion, terrorist financing and any other violation of laws or unlawful activities and fulfilling related Regulatory Requirements;
 - l. fulfilling internal operational or compliance requirements of Capital Dynamics ;
 - m. the maintenance or continuation of overall relationship with the Investor;
 - n. enforcing or defending the rights of Capital Dynamics or otherwise participating in any legal or administrative proceedings or inquiry before any court or competent authority;
 - o. enabling an actual or proposed assignee, transferee, participant or sub-participant of our rights or business to evaluate the transaction intended to be the subject of the assignment, transfer, participation or sub-participation; and
 - p. for any purposes relating or incidental to the purposes listed above (including seeking professional advices).
- (v) Use of Data in Direct Marketing

Capital Dynamics intends to use the Investor's data in direct marketing and promotional purposes, including contacting the Investor directly to inform him / her of new services, campaigns or events and Capital Dynamics requires the Investor's consent (which includes an indication of no objection but with a positive response) for that purpose. In this connection, please note that:

- a. the name, contact details (including but not limited to telephone number, email address and correspondence address), of an Investor held by Capital Dynamics from time to time may be used by Capital Dynamics in direct marketing;
 - b. the following classes of services, products and subjects may be marketed:
 - (i) financial, securities, advisory, wealth management, retirement/ pension, investment products and services, including but not limited to securities trading, derivatives, commodity, equity and fixed income sales, prime services (including execution, brokerage, settlement, give-up, clearing, custody, reporting and financing services) and exchange-traded funds;
 - (ii) reward, loyalty or privileges programmes and related services and products;
 - (iii) services and products offered by Capital Dynamics 's co-branding partners (the names of such co-branding partners will be provided during the application of the relevant services and products, as the case may be);
 - (iv) invitations to or notification of financial and investment seminars, events, forums, new services or campaigns, including contacting the Investor directly to inform him/her the relevant details; and
 - (v) donations and contributions for charitable and/or non-profit making purposes.
 - c. the above services, products and subjects may be provided or (in case of donations and contributions for charitable purposes) solicited by Capital Dynamics and/or
 - (i) group companies within Capital Dynamics' group;
 - (ii) third party companies which the shareholders of Capital Dynamics group companies are also shareholders;
 - (iii) [third party financial institutions, insurers, banks, securities and investment services providers;
 - (iv) third party reward, loyalty or privileges programmes providers (the names of such co- branding partners will be provided during the application of the relevant services and products, as the case may be); and
 - (v) charitable or non-profit making organizations.
 - d. In addition to marketing the above services, products and subjects itself, Capital Dynamics also intends that from time to time it may provide the Data described in paragraph (5)a above to all or any of the persons described in paragraph (5)c(i) and (ii) above which is not for gain and for other third parties described the remaining paragraph in 5c (iii) to (v) above for gain] and for use by them in marketing those services, products and subjects, and Capital Dynamics requires the Investor's written consent for that purpose.
- (vi) Investor's Preference / Opt-Out Right
- Investor can choose not to give consent to the above direct marketing purposes when completing this Form or after giving such consent if at any point of time the Investor does not wish Capital Dynamics to use or transfer Data to any third parties for direct marketing as described above or does not wish to receive any unsolicited communications from Capital Dynamics, the Investor may exercise his / her opt-out right by simply notifying Capital Dynamics in writing.

(vii) Disclosure of Data Collected

The Investor acknowledges and authorizes that all Data supplied by him / her will be retained by Capital Dynamics and stored in one or more of Capital Dynamics 's databases and may be disclosed or transferred to the following persons (who

may be within or outside Hong Kong), to the extent necessary to achieve the purposes set out in paragraph (iv) above and for such period as may be required under applicable laws or as otherwise needed to fulfill any of those purposes:

- a. any persons or bodies corporate within the group of companies of which Capital Dynamics or its shareholder is a member;
- b. any persons or bodies corporate under a duty of confidentiality to Capital Dynamics ;
- c. any connected persons, associated or affiliated companies, contractors, delegates, authorised agents, or other persons engaged by or in relation to any of the purposes listed above or any third party service providers who provide administrative, telecommunications, computer, payment, securities trading, clearing or settlement, insurance or professional services or other services related or incidental to the above;
- d. any banking, financial or other institution with which the Capital Dynamics has or proposes to have dealings;
- e. the intermediaries, promoters/ distributors or referring parties of Capital Dynamics (including independent financial advisors and insurers), third party product issuers, correspondent banks which may handle or process payment to and from the Investor;
- f. the employees, officers, directors and agents of Capital Dynamics ;
- g. any person or corporation to whom Capital Dynamics transfers or proposes to transfer its interests and/or obligations in respect of the Investor or any product or service provided to the Investor;
- h. any person or entity to whom Capital Dynamics is under an obligation pursuant to the Relevant Laws or Regulatory Requirements to make disclosure; or
- i. any person reasonably requiring the same in order for Capital Dynamics to carry out the purposes set out above.

(viii) Security

Capital Dynamics is concerned with the security of data collected and has put in place measures to prevent unauthorized access to that data.

(ix) Telephone recording

Calls between the Investor and Capital Dynamics may be recorded for training, quality and contractual purposes.

(x) Other Rights

Nothing in this Statement shall limit the rights of any person under the PDPO. You are aware of your rights under the PDPO, including the right

- a. to check whether Capital Dynamics holds any of your personal data;
- b. to have access to your data held by Capital Dynamics ;
- c. to request correction of your data;
- d. to ascertain Capital Dynamics's policies and practices (from time to time) in relation to the data and the types of data held by Capital Dynamics ; and
- e. to object to the access or use of your data by Capital Dynamics and be informed of action taken in response to any such request.

(xi) Fee for data access request

In accordance with the terms of the PDPO, Capital Dynamics has the right to charge a reasonable fee for the processing of any data access request.

(xii) Contacting Capital Dynamics

Any requests for access to data and correction of data held by Capital Dynamics or any request for information regarding Capital Dynamics' data policies and practices and kinds of data held by Capital Dynamics should be made in writing by completing the Data Access Request Form (Form OPS003) (the "Data Form") prescribed by the Privacy Commissioner for Personal Data and addressed to:

The Data Protection Officer

Capital Dynamics Asset Management (HK) Private Limited

Email: cdhk@capitaldynamics.hk

Capital Dynamics may refuse to comply with your data access request if it is not made by using the Data Form.

(xiii) Nothing in this Statement shall limit the rights of the Investor under the PDPO. (In the event of inconsistency between this Statement and the relevant Offering Documents, this Statement shall prevail.)

16. 根據《個人資料（私隱）條例》（「私隱條例」），本公司就閣下（「投資者」）與資威資產管理（香港）有限公司或其聯營或聯屬公司或關聯人士（「資威」）進行交易及向彼等不時提供的個人或資訊（「資料」），向閣下提供以下資料。資威致力根據私隱條例的規條保障投資者的個人資料。本聲明旨在協助投資者了解資威為何及如何收集和使用該等資料，以及現時用以保障該等資料的措施。本聲明取代可能曾向閣下提供的任何同類性質的通告或聲明，並可能不時更新、修訂或補充。

① 投資者須不時向資威提供有關開立或延續賬戶、向投資者所提供服務或就遵守任何由監管或其他機關或政府機構所頒佈的任何法律、規例或指引的有關資料。

② 若投資者未能提供該等資料，可能導致資威無法開立或維持賬戶，或向投資者提供或繼續提供服務，或作出適當行動或向相關機關申報或遵守相關法律及規例或指引。

③ 在與投資者維持客戶關係的正常業務往來中，資威不時會向客戶收集或接收資料，例如：當投資者轉讓基金、執行交易或與資威通訊。

④ 收集及使用資料的目的

投資者的資料可能用作下列任何或所有目的：

- a 不時提供服務及 / 或產品及執行、維持、管理和日常運作該等服務及 / 或產品，包括但不限於金融、證券、顧問、投資或強積金產品及服務；
- b 核對及驗證由投資者或第三方提供的資料 / 資訊；
- c 填妥單位持有人名冊上的資料；

- d 處理、評估和批准投資者就資威所提供的服務或產品的申請；
 - e 進行有關基金認購、贖回及基金單位轉讓或轉換的交易；
 - f 執行指示或回應投資者的查詢、提供行政服務及履行任何有關資威所提供服務或產品的職能和活動，包括但不限於進行審計、準備及郵寄報告、簡訊和通告；
 - g 規劃及籌備金融或投資講座／活動／論壇；
 - h 設計及進行問卷調查或統計分析，以作投資者取向檔案分析或內部研究、統計和市場分析之用；
 - i 遵守由相關司法管轄區、交易所或市場的其他監管機構頒佈而適用於本基金或投資者的投資或不時約束／適用於資威的任何適用法律、規例、法規、條例、規則、判決、法令、守則、指引、指令、通函、制裁制度及法院命令，不論是關乎法律、監管、政府、稅務、執法、自律監管、行業或其他方面（「相關法律」）；
 - j 符合對受相關法律約束的資威或任何資料接收者作出的任何要求、披露、通知或申報規定，包括但不限於履行根據FATCA的責任，核實投資者的身份或就FATCA的目的確立客戶是否美國人士（統稱「監管規定」）；
 - k 防止、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、逃稅、恐怖分子融資及任何其他違法或不合法活動及滿足有關的監管規定；
 - l 履行資威的內部營運或合規要求；
 - m 維持或繼續與投資者的整體關係；
 - n 執行或捍衛資威的權利或在任何法院或主管當局前參與任何法律或行政訴訟或調查；
 - o 讓本公司或業務的實際或建議承讓人、受讓人、參與人或附屬參與人評核其擬承讓、轉讓、參與或附屬參與所涉的交易；及
 - p 與上述目的有關或附帶的任何其他目的（包括尋求專業意見）。
- (v) 在直接促銷中使用資料
- 資威擬把投資者資料用於直接促銷及業務推廣目的，包括直接聯繫投資者以通知其有關最新服務、宣傳或活動的消息，而資威須就該目的獲得投資者同意（包括在有作出回應下表示不反對）。就此，請注意：
- a 資威或會將資威不時持有的投資者姓名、聯絡資料（包括但不限於電話號碼、電郵地址及通訊地址）直接促銷；
 - b 以下是可能被促銷的服務類別、產品及項目：
 - (i) 金融、證券、顧問、資產管理、退休／養老金、投資產品及服務，包括但不限於證券交易、衍生工具、商品交易、證券及定息產品交易、主要服務（包括執行、經紀業務、結算、過戶、清算、託管、申報和融資服務）以及交易所買賣基金；
 - (ii) 獎賞、年資或優惠計畫及相關服務及產品；
 - (iii) 資威品牌合作夥伴提供之服務及產品（該等品牌合作夥伴名稱將視乎情況而於申請相關服務及產品時提供）；
 - (iv) 金融及投資的研討會、活動、論壇、最新服務或宣傳活動的邀請或通知；及
 - (v) 為慈善或非牟利機構作捐款及捐贈的用途。
 - c 上述服務、產品及項目可能由資威提供或（就捐款及捐贈而言）徵求：
 - (i) 資威
 - (ii) 股東的集團公司；
 - (iii) 第三方金融機構、承保人、銀行、證券及投資服務供應商；
 - (iv) 第三方獎賞、長期客戶或尊享優惠計劃供應商（該等品牌合作夥伴的名稱將視乎情況而於申請有關服務及產品時提供）；及
 - (v) 慈善或非牟利機構。
 - d 除由資威自行促銷的上述服務、產品及項目外，資威亦擬不時將上文第(5)a段所述的資料提供予上文第(5)c(i)段所述的全部或任何人士及其他第三方，以供其用於促銷該等服務、產品及項目，而資威須為此目的獲得投資者的書面同意。
- (vi) 投資者意向／退出選擇權
- 投資者可於填寫本表格時選擇不同意上述直接促銷目的；或在表示同意後，若投資者於任何時間不希望資威使用其個人資料或轉移資料予任何第三方作上述直接促銷目的，或不希望收到資威主動提供的任何通訊，投資者可以書面通知資威行使其退出選擇權。
- (vii) 披露收集所得的資料
- 投資者確認及授權其提供的所有資料可由資威保留，並儲存於資威的一個或以上數據庫，而且如需要為達到上文第(iv)段所載目的，可於任何適用法律要求或完成任何該等目的所需的期間內披露或轉交予（香港境內或境外的）以下人士：
- a 資威或其股東所屬的集團公司內的任何人士或法人團體；
 - b 對資威承擔保密責任的任何人士或法人團體；
 - c 為上述任何目的而委聘或與之有關的任何關連人士、聯營或附屬公司、承辦商、授權代表、獲授權代理或其他人士，或提供行政、電訊、電腦、付款、證券交易、結算或交收、保險或專業服務或上述相關或附帶的其他服務的任何第三方服務供應商；
 - d 資威現有或擬有業務往來的任何銀行、金融或其他機構；
 - e 資威的中介機構、推廣人／分銷商或介紹人（包括獨立財務顧問及承保人）、第三方產品發行商、處理或執行投資者收取及支付付款項的往來銀行；
 - f 資威的僱員、高級職員、董事和代理；

- g 資威向其轉移或擬向其轉移名下投資者或投資者獲提供的任何產品和服務的權益及 / 或責任的任何人士或企業；
- h 根據相關法律或監管規定，資威有責任向其作出披露的任何人士或實體；或
- i 為使資威進行上述目的而合理地需要取得相同資料的任何人士。

(iv) 保安

資威關注所收集資料的保安問題，並已實施措施防止未經授權取得該等資料的行為。

(v) 電話錄音

為協助培訓、監察服務質素及釐清合約事宜，投資者與資威的電話對話可能會被錄音。

(vi) 其他權利

本聲明的內容不得限制任何人士在私隱條例下的權利。閣下知悉自身在私隱條例下的權利，包括有權：

- a 查核資威是否持有閣下的任何個人資料；
- b 查閱資威所持有的閣下資料；
- c 要求更改閣下的資料；
- d 確定資威就資威所持資料及資料種類而不時實施的政策及慣例；及
- e 反對資威查閱或使用閣下的資料，並有權知道資威在接獲任何該等要求後所採取的行動。

(vii) 查閱資料的費用

根據私隱條例的條款，資威有權就處理任何查閱資料要求而收取合理的費用。

(viii) 聯絡資威

任何關於查閱及更改資威所持資料、索取有關資威資料政策及慣例的資料或資威所持資料種類的要求，應填妥個人資料私隱專員規定的查閱資料要求表格（表格OPS003）（「資料表格」），以書面形式向下列人士提出：

資料保護主任

資威資產管理（香港）有限公司：

香港銅鑼灣禮頓道29號華懋禮頓廣場7樓701室

電郵：cdhk@capitaldynamics.hk

如不採用表格提出申請，資威可拒絕有關查閱資料的要求。

(ix) 本聲明的內容不會限制投資者在私隱條例下的權利。如本聲明與相關銷售文件有歧義，概以本聲明為準。

Subscriptions 認購

- 17. All of my/our subscription orders should be registered using the details on this Form as standard registration details.
本人 / 我們的所有認購指令應以本表格所載資料作為標準登記資料而登記。
- 18. My/Our Holder Account Number will be quoted when placing future subscription (either by fax or in writing) / redemption orders (in writing)
發出認購（以傳真或書面方式） / 贖回（以書面方式）指令時，將引用本人 / 我們的持有人賬戶號碼。
- 19. All declarations contained in this Form apply in respect of subsequent orders.
本表格所載的所有聲明適用於日後的指令。
- 20. I/We confirm that I/we have and undertake to obtain a copy of the Offering Document of the relevant Fund, prior to placing subscription orders both now and in the future.
本人 / 我們確認本人 / 我們需要及承諾現在或日後發出認購指令前取得本基金的銷售文件副本。
- 21. I/We undertake that all cheques sent as payment will be met on first presentation.
本人 / 我們承諾所有為付款而發出的支票可在首次出示要求承兌時將可兌現。

Death of Joint Holders 聯名持有身故安排

- 22. In the case of the death of any one of the joint holders of Units, the survivor(s) shall be the only person(s) recognised as having title of any interest in the Units. Such persons shall be authorized to dispose of this interest provided the relevant certified true copy of Death Certificate(s) is/are provided to the Trustee when redeeming.
若任何一名單位聯名持有人身故，則尚存者應獲承認為僅餘擁有該等單位的任何權益的所有權的人士。該等人士可自由處置該等權益，條件是在贖回單位時向受託人提供死亡證的相關經核證真實的副本。
- 23. I/We confirm that the above authorisation will remain in effect until revoked in writing, with such revocations being received by the Trustee.
本人 / 我們確認上述授權在經書面撤銷（該撤銷已由受託人收妥）前將仍然有效。

Indemnity 彌償

- 24. I/We hereby hold harmless the Manager and the Trustee of the Fund and agree to indemnify each of them in relation to any losses or expenses incurred as a result of any of them acting pursuant to the above considerations.
本人 / 我們謹此同意就本基金的管理人及受託人任何一方因根據上述考慮而行事所招致的任何損失或開支向彼等各自作出彌償，並使其免受損失。

Others 其他

- 25. Calls between investors and the Manager may be recorded for training, quality monitoring, complaint handling and contractual purposes without warning.
為協助培訓、監察服務質素、處理投訴及釐清合約事宜，投資者與管理人的電話對話可能在未有事先警告下被錄。
- 26. I/We acknowledge and agree that the Manager may pay to any intermediary or referring party (if applicable) an initial commission or referral fee and/or an ongoing commission or referral fee for introducing me/us to the Funds or Sub-Funds managed by the Manager. The commission or referral fee is paid out of the fees received by the Manager under the current fee structure as clearly stated out in the Offering Documents of the Funds and/or the Sub-Funds, including the initial fees

and/or management fees paid to the Manager and is not an additional charge to me/us.

本人／我們確認及同意管理人可向任何向本人／我們介紹管理人管理的本基金或子基金的中介機構或轉介人（如適用）支付首次佣金或介紹費及／或持續佣金或介紹費。有關佣金或介紹費是管理人自其按本基金及／子基金的銷售文件內清楚列明的現行費用結構下所收取的費用中支付，該等費用包括支付予管理人的首次費用及／或管理費，而不會對本人／我們構成額外收費。

27. For redemption payments, the holder of the Units has to bear the necessary cost incurred and charges including but not limited to those in relation to inward CHATS and telegraphic transfer of monies by your receiving bank, outward telegraphic transfer of monies (about HK\$200) and cheque clearing. Such charges are subject to change without prior notice. Please contact the bank's staff for details.

就贖回付款而言，單位持有人須支付所招致的一切開支及收費，包括但不限於由閣下的收款銀行就匯入CHATS及電匯所收取的費用，匯出電匯（約200港元）及支票結算費用。該等收費可予更改而毋須事先通知。詳情請向有關銀行職員查詢。

28. For corporate or institution investors only: By making an application, we represent, warrant and undertake that we are either acting as a principal for our own account or duly authorised by our customer(s) to make such application, and if we make such an application as agent for our customer(s), we shall notify the Manager of the identity of the customer(s) and any such information as may be required by the Manager.

此項僅適用於企業或機構投資者：提出申請即代表我們聲明、保證及承諾我們是作為當事人為自身提出申請，或獲我們的客戶正式授權而提出申請，若我們作為代理為我們的客戶提出申請，我們將通知管理人客戶的身份及提供管理人要求的任何該等資料通。

29. I/We declare, acknowledge, confirm and agree that:

the information and representations contained in this Form are true, complete and correct, and that the Manager is entitled to rely fully on such information and representations for all purposes, unless and until the Manager receives notice in writing from me/us of any change. I/We undertake to notify the Manager in writing forthwith upon any material change(s) in the information provided herein. The Manager is authorized at any time to contact any person or persons, including banks, brokers, advisors or any credit agency, for the purpose of verifying the information provided by me/us in this Form.

本人／我們聲明、承、確認及同意：

在本總開戶表格所載資料和陳述為真實、完整和正確，管理人有權為一切目的完全依賴該等資料和陳述，除非及直至管理人收到本人／我們作出任何變動的書面通知。本人／我們承諾若本表格內的資料出現任何重大變動，將立即書面通知管理人。管理人獲授權在任何時間聯絡任何人士（包括銀行、經紀、顧問或任何信貸機構），以核實本人／我們在本表格內所提供的資料。

30. I/We declare, acknowledge, confirm and agree that:

unless otherwise specifically stated, I am/we are ultimately responsible for originating the instructions in relation to transactions conducted through the Account, and I am/we are the person who stands to gain the commercial or economic benefit of the transactions in the Account and/or bear the commercial or economic risks.

本人／我們聲明、承認、確認及同意：

除非另有指明，否則本人／我們是最終負責就透過賬戶進行之交易發出指示的人士，而且本人／我們是獲享賬戶交易帶來的商業或經濟利益及／或承擔商業或經濟風險的人士。

31. I/We declare, acknowledge, confirm and agree that:

the Account is subject to this Form for subscription/redemption services as amended, restated or supplemented by the Manager from time to time. I/We confirm that I/we have read and understood the Form and agree to be bound by the terms herein.

本人／我們聲明、承認、確認及同意：

就認購／贖回服務而言，賬戶須受本表格（經管理人不時修訂、重述或補充）所約束。本人／我們確認，本人／我們已細閱及明白本表格，並同意受其所載條款約束。

Consolidated Mandate 合併指示

32. I/We confirm that the duly signed Form is applicable to future Funds and Sub-Funds managed by the Manager. All the indicated instructions including but not limited to redemption payment instruction, standing instruction for distribution payment, etc are applicable to all of the Funds and the Sub-Funds until further notice.

本人／我們確認正式簽署的本表格將適用於日後由管理人管理的基金及子基金。除非另行通知，否則所有特定指示適用於所有基金及子基金，包括但不限於贖回付款指示及派息付款的持續指示。

33. I/We confirm that I am/we are over 18 years of age.

本人／我們確認本人／我們已年滿18歲。

34. I/We confirm that the information provided with respect to CRS is true and correct to the best of knowledge is correct.

35. I am/we are the beneficiary owner(s) of this account and will provide the necessary documents of identification for this account.

本人／我們為本賬戶的實益擁有人，並會提供本賬戶所需之身份證明文件。

36. I/We confirm prior to signing this Form, I/we have read the matters relating to Funds subscription printed on the Form, including the terms under the Declaration section. I/We hereby signify my/our confirmation, acknowledgement and agreement to such matters by signing at the box.

本人／我們確認簽署本表格前已細閱本表格有關本基金認購事項，包括聲明部份的條款。本人／我們現於右方空格簽署，以表示本人／我們確認、承認及同意該等事項。

37. I/We confirm the address (including correspondence address) of my/our Funds account is valid and understand that the Manager has the right not to proceed with my/our order if the address (including correspondence address) of my/our account is unknown or invalid.

本人 / 我們確認本人 / 我們的基金賬戶地址（包括通訊地址）為有效地址，及明白如本人 / 我們的賬戶地址（包括通訊地址）不詳或無效，管理人有權決拒絕處理本人 / 我們的指令。

38. I/We have received, read and been explained the up-to-date Offering Document(s) of the relevant Fund(s) including prospectus and financial reports (if applicable) and understand the information contained therein.

本人 / 我們已收到、細閱及獲解釋有關本基金的最新銷售文件，包括基金章程及財務報告（如適用），並明白有關文件的所載資料。

39. I/We have understood the essential features of the Fund, including but not limited to the market or the underlying index to be invested, fund management company, fund currency, minimum investment amount, subscription fee, management fee, performance fee (if any), dealing date and dividend policy (if any), etc.

本人 / 我們已明白本基金的主要特色，包括但不限於所投資的市場或掛鈎指數、基金管理公司、基金貨幣、最低投資金額、認購費、管理費、表現費（如有）、交易日及派息政策（如有）等。

40. I/We have read and understand the risk factors mentioned in the Offering Document(s).

本人 / 我們已細閱及明白銷售文件所述的風險因素。

41. I/we have received, read, understood and agree to be bound by the Offering Document relating to the Funds and the Declaration / Notes (including the Personal Information Collection Statement as may be amended from time to time).

本人 / 我們已收到、細閱、明白及同意接受有關本基金的銷售文件及聲明 / 附註（包括經不時修訂的個人資料收集聲明）的約束。

42. By signing herein, I/we consent that my/our personal data may be used, disclosed and transferred for the purposes and to the persons specified in the Personal Information Collection Statement (subject to my/our preference relating to the use of data for direct marketing purposes as indicated below). In particular, I/we consent that my/our personal data and personal data of Controlling person(s) of certain Entity Account may be disclosed to persons (including any tax authority) within or outside Hong Kong:

- (i) for various local or foreign legal or regulatory compliance and/or tax reporting purposes, including but not limited to FATCA; and/or
- (ii) for prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, terrorist financing and any other violation of laws or unlawful activities.

透過簽署本表格，本人 / 我們同意本人 / 我們的個人資料可能為個人資料收集聲明所指目的而被使用、披露及轉移予個人資料收集聲明所指的人士（須受制於本人 / 我們就下述有關使用資料作直接促銷目的之意願）。具體而言，本人 / 我們同意本人 / 我們的個人資料及若干實體賬戶控制人士的個人資料可披露予香港境內或境外的人士（包括任何稅務機關）：

- (i) 以遵從各地方或海外法律或監管合規及 / 或稅務申報目的，包括但不限於FATCA；及 / 或
- (ii) 以防止、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、恐怖分子融資及任何其他違法或不合法活動。

43. Direct marketing by Capital Dynamics (and its group companies)

In connection with direct marketing, I/we understand that Capital Dynamics and its group companies will use your personal data for its own direct marketing purposes in connection with a wide range of products and services including but not limited to financial product and services.

就直接促銷而言，本人 / 我們明白資威及其集團公司將使用本人 / 我們的個人資料作其直接促銷目的，而不限於有關金融的產品和服務。

44. Transfer of my/our personal data to related third parties for direct marketing

I/we understand that Capital Dynamics and its group companies may transfer my personal data to third parties outside Capital Dynamics group where the shareholders of Capital Dynamics (and its group companies) are also shareholders of those companies for their direct marketing purposes in connection with a wide range of products and services including but not limited to financial product and services. This transfer is not for gain.

45. I/We confirm that we have read the direct marketing related contents carefully in the Personal Data Collection Statement (“PICS”) and have considered whether to opt out from the direct marketing services by ticking the box(es) below before proceeding to sign at the end of this Form. **I/ We understand that if we do not tick the boxes below, it means we consent to these direct marketing purposes.**

本人 / 我們確認本人 / 我們已細閱個人資料收集聲明（「PICS」）內有關直接促銷的內容，並已在簽署本表格前考慮是否在以下方格填上「✓」號，以選擇不接受直接促銷服務。本人 / 我們明白如本人 / 我們沒有在以下方格填上「✓」號，即表示同意直接促銷目的。

46. Please tick (“✓”) the appropriate box(es) below to indicate your objection (if any) before signing:

- ☐ I/We **do not wish** Capital Dynamics or its group companies to use my/ our personal data for direct marketing as described in paragraph 43 above and also in more detail in the PICS.
- ☐ I/We **do not wish** Capital Dynamics or its group companies to transfer my/our personal data to any related third parties outside Capital Dynamics group whether in connection with direct marketing purposes as described in paragraph 44 above and in more detail in the PICS.

請於下列適當方格填上「✓」號：

- ☐ 本人 / 我們不希望資威或其集團公司使用本人 / 我們的個人資料作上文第43段所述及PICS詳列的直接促銷目的。
- ☐ 本人 / 我們不希望資威或其集團公司把本人 / 我們的個人資料轉移予任何第三方，以達到上文第44段所述及PICS詳列的直接促銷目的

SIGNATURE

ALL JOINT APPLICANTS MUST SIGN THIS FORM.

所有聯名申請人必須簽署本表格。

IF THIS FORM CANNOT BE SIGNED BY THE APPLICANT IN THE PRESENCE OF A REPRESENTATIVE OF THE MANAGER, IT MAY BE SIGNED IN THE PRESENCE OF A SPECIFIED PERSON IN SECTION 7 BELOW

若申請人未能在基金管理人代表見證本表格，則可在下文第7部分的指定人士見證下簽署。

Signature 簽署:

Name 姓名:

Date 日期:

Signature 簽署:

Name 姓名:

Date 日期:

APPLICANT TO FILL IN IF APPLICABLE:

Bank / Intermediary

銀行 / 中介機構

Agent's Name & Code

中介人姓名及編號

Contact Person's Name

聯絡人姓名

Company Chop

公司印章

FOR DECLARATION BY REPRESENTATIVE OF MANAGER DURING IN-PERSON APPLICATION

基金管理人職員與投資者面談的聲明

I certify that the applicant(s) has/have signed or executed this Form in my presence AND that I have seen the original documentation required of the applicant(s) and have certified by signing on copies of these documents which are enclosed with this Form.

本人謹此證明，申請人已在本人見證下簽署或簽立本表格，且本人已查閱申請人必須提供的正本文件，並已通過簽署本表隨附的該等文件副本加以證明。

Signature 簽署:

Name 姓名:

Date 日期:

7. Third Party Certification 第三方證明:

THIS SECTION MUST BE COMPLETED FOR MAIL IN APPLICATION.

對於郵寄申請表格，必須填寫本部分。

I certify that the applicant(s) has/have signed or executed this Form in my presence AND that I have seen the original documentation required of the applicant(s) and have certified by signing on copies of these documents which are enclosed with this Form.

本人謹此證明，申請人已在本人見證下簽署或簽立本表格，且本人已查閱申請人必須提供的正本文件，並已通過簽署本表格隨附的該等文件副本加以證明。

Certified this _____ day of _____.

簽署於 _____ 年 _____ 日，特此證明。

Name

姓名:

Signature (and company chop/seal) of certifier
證明人簽署（加企業蓋/印鑑）:

Position

職位:

Company
公司:

Licence / Registration number (if applicable)

註冊編號（如適用）: _____

Address 地址:

Contact number

聯絡電話號碼: _____

(Note) Signing can be witnessed by any Hong Kong SFC licensed or registered person or a licensed individual of a financial institution which is an affiliate of CDHK and is regulated in a FATF member country, a Justice of the Peace, a branch manager of a bank in a FATF member country, Hong Kong practicing certified public accountant, lawyer in a FATF member country or notary public in a FATF member country.

附註) 簽署可由任何香港證監會持牌人或註冊人或屬資威香港聯屬公司並受FATF成員國監管的金融機構之持牌個人、太平紳士、FATF成員國的銀行分行經理、香港執業註冊會計師、FATF成員國的律師或FATF成員國的公證人見證。

For Internal use only 僅供內部使用		
Input by 填寫人 Date 日期	Checked by 核對人 Date 日期	Reviewed by 審查人 Date 日期

Account Acceptance by Manager
 由基金管理人接納 / 認可賬戶

Signature (with company chop, if adequate): 簽署（公司印章，如適用）：	
Name姓名：	
Title職位：	Date日期：

8. RETURN YOUR FORM TOGETHER WITH THE REQUIRED DOCUMENTS BELOW

把表格和下列適當文件交回

Please make sure you have taken all the following steps by ticking all the boxes below.

請確保已完成以下所有步驟。

☐ enclosed a cheque or copies of both sides of the Cashier's Order/Bank draft or telegraphic transfer advice

附上支票副本或本票 / 銀行匯票正反兩面 / 電匯指示的副本

☐ completed this Form

填妥本表格

☐ completed the Common Reporting Standard Tax Residency Self-Certification Form

填妥稅務居民自我證明表格

☐ completed the Investor Profile Questionnaire Form

填妥投資者類型問卷調查表格

☐ completed the IRS Form W-8BEN (also available at www.irs.gov)

填妥 IRS 表格 W-8BEN (也可在 www.irs.gov 取)

☐ enclosed appropriate copies of the following documentation under the applicable Appendices 1 to 14 required by the Hong Kong anti-money laundering legislation.

附上香港打擊洗黑錢法例規定的下列文件的適當副本

Sample: Certified by Notary Public

樣本：經公證人核證



Certified True Copy of Original Document

正本的經核證真實副本

Peter Chan (Signature of certifier 核證人的簽署)

[Name of Certifier 核證人的姓名] Peter Chan

[Capacity of Certifier 核證人的身份] Notary Public – Malaysia 公證人 – 馬來西亞

[License No. 許可證編號] No. 01-11111111

[Office Address 辦公室地址]

[Office Contact number 辦公室聯絡電話號碼]

[Date 日期] 1 January 2017 二零一七年一月一日

*The third party certifier can be a Hong Kong SFC licensed or registered person or a licensed individual of a financial institution which is an affiliate of CDHK and is regulated in a FATF member country, a Justice of the Peace, a branch manager of a bank in a FATF member country, Hong Kong practicing certified public accountant, lawyer in a FATF member country or notary public in a FATF member country.

*第三方證明人可為香港證監會持牌人或註冊人或屬資威香港聯屬公司並受 FATF 成員國監管的金融機構之持牌個人、太平紳士、FATF 成員國的銀行分行經理、香港執業註冊會計師、FATF 成員國的律師或 FATF 成員國的公證人見證。

CUSTOMER DUE DILIGENCE (CDD) CHECKLIST

Appendix 1A – Individual - HK Permanent Resident

附錄1A – 個人 – 香港永久居民

Identification document – Certified copy ^(See Note 1 at the end of these CDD checklist appendices)

身份證明文件—經核證副本 ^(見載於此等客戶盡職審查核對清單附錄結尾的附註 1)

- ☐ 1. HK permanent resident identity card or
香港永久性居民身份證；或
- ☐ 2. HKSAR passport
香港特區護照

Address proof (e.g. Utility bill or bank statement issued within the last 3 months) – Original or certified copy ^(see Note 1)

住址證明 (例如：最近 3 個月內發出的公用事業賬單或銀行結單) – 正本或經核證副本 ^(見附註 1)

- ☐ 3. Residential address
住址
- ☐ 4. Permanent address (Not required if same as item 3)
永久地址 (如與第 3 項相同，則毋須提供)

Appendix 1B – Individual – HK Permanent Resident (Required if investor not present for identification purpose)

附錄 1B – 個人 – 香港永久居民 (適用於未能親身接受身份識別的投資者)

Additional requirements – certified copy ^(see Note 1) and investor may be requested to provide supplemental documentation in addition to the following

其他規定 – 經核證副本 ^(見附註 1)，除下列文件外，投資者可能需要提交補充文件

- ☐ 5. An additional identification document (if item 1 is ticked above, provide item 2 and vice versa)
Together with items 1 to 4 in Appendix 1A above as appropriate
其他身份證明文件 (如已剔選上述第 1 項，則須提供第 2 項文件，反之亦然)
連同上述附錄 1A 中的第 1 至 4 項文件 (如適用)

Appendix 1C – Individual – HK Non-Permanent Resident

附錄 1C – 個人 – 非香港永久居民

Identification document – Certified copy ^(see Note 1)

身份證明文件—經核證副本 ^(見附註 1)

- ☐ 1. ‘personal data’ page with photograph in a valid travel document or
載有個人照片及「個人資料」的有效旅遊證件；或
(This item must contain all of the following identification information)
(文件必須包括以下所有身份識別資料)
 - ☐ Full name and 姓名；及
 - ☐ Date of birth and 出生日期；及
 - ☐ Nationality and 國籍；及
 - ☐ Identity document type and 證件類型；及
 - ☐ Identify document number 證件編號
- ☐ 2. HK non-permanent resident identity card and national ID card with photograph or
非香港永久居民身份證及載有個人照片的國民身份證；或
- ☐ 3. HK non-permanent resident identity card and government resident identity card with nationality
非香港永久居民身份證及由政府發出並載有國籍的居民身份證

Address proof (e.g. Utility bill or bank statement issued within the last 3 months) – Original or certified copy ^(see Note 1)

住址證明 (例如：最近 3 個月內發出的公用事業賬單或銀行結單) – 正本或經核證副本 ^(見附註 1)

- ☐ 4. Residential address
住址
- ☐ 5. Permanent address (Not required if same as item 4)
永久地址 (如與第 4 項相同，則毋須提供)

Appendix 1D – Individual – HK Non-Permanent Resident (Required if investor not present for identification purpose)

附錄 1D – 個人 – 非香港永久居民 (適用於未能親身接受身份識別的投資者)

Additional requirements – certified copy ^(see Note 1) and investor may be requested to provide supplemental documentation in addition to the following

其他規定 – 經核證副本 ^(見附註 1)，除下列文件外，投資者可能需要提交補充文件

- ☐ 6. An additional identification document (if item 1 is ticked above, provide item 2 or 3 and vice versa)
Together with items 1 to 5 in Appendix 1C above as appropriate
其他身份證明文件 (如已剔選上述第 1 項，則須提供第 2 或 3 項文件，反之亦然)
連同上述附錄 1C 中的第 1 至 5 項文件 (如適用)

Appendix 1E – Individual – Non-HK Resident

附錄 1E – 個人 – 非香港居民

Identification document – Certified copy ^(See Note 1)

身份證明文件 – 經核證副本 ^(見附註 1)

- ☐ 1. ‘personal data’ page with photograph in a valid travel document or
載有個人照片及「個人資料」的有效旅遊證件；或
(This item must contain all of the following identification information)
(文件必須包括以下所有身份識別資料)
 - ☐ Full name and 姓名；及
 - ☐ Date of birth and 出生日期；及
 - ☐ Nationality and 國籍；及
 - ☐ Identity document type and 證件類型；及
 - ☐ Identify document number 證件編號E.g. 例如
 - ☐ Macau – Permanent Resident ID card of Macau Special Administrative Region
澳門 – 澳門特別行政區永久性居民身份證
 - ☐ Macau – Permit for residents of Macau issued by Director of Immigration
澳門 – 由入境事務處處長簽發的澳門居民許可證
 - ☐ Taiwan – Mainland Travel Permit for Taiwan Residents
台灣 – 台灣居民來往大陸通行證
 - ☐ PRC – Taiwan Travel Permit for Mainland Residents
中華人民共和國 – 大陸居民往來台灣通行證
 - ☐ HK & Macau – Exit-entry Permit for Travelling to and from Hong Kong and Macau for Official Purposes
香港及澳門 – 因公務往來香港澳門特別行政區通行證
 - ☐ HK & Macau – Exit-entry Permit for Travelling to and from Hong Kong and Macau
香港及澳門 – 往來港澳通行證
 - ☐ Seaman – Seaman’s Identity Document (issued under and in accordance with International Labour Organization Convention / Seafarers Identity Document Convention 1958)
海員 – 海員身份證件 (根據並按照國際勞工組織公約 / 1958 年海員身份證件公約簽發)
 - ☐ Others (please specify below)
其他 (請於以下註明)

Address proof (e.g. Utility bill or bank statement issued within the last 3 months) - original / certified copy ^(See Note 1)
住址證明 (例如：最近 3 個月內發出的公用事業賬單或銀行結單) — 正本或經核證副本 ^(見附註 1)

- ☐ 2. Residential address
住址
- ☐ 3. Permanent address (Not required if same as item 2)
永久地址 (如與第 2 項相同，則毋須提供)

Appendix 1F – Individual – Non-HK Resident (Required if investor not present for identification purpose)

附錄 1F – 個人 – 非香港居民 (適用於未能親身接受身份識別的投資者)

Additional documents - certified copy ^(see Note 1) and investor may be requested to provide supplemental documentation in addition to the following

其他文件 — 經核證副本 ^(見附註 1)，除下列文件外，投資者可能需要提交補充文件

- ☐ 4. National ID card with photograph or
載有個人照片的國民身份證；或
Together with items 1 to 3 in Appendix 1E above as appropriate
連同上述附錄 1E 中的第 1 至 3 項文件 (如適用)

(This item must contain all of the following identification information)

(文件必須包括以下所有身份識別資料)

- ☐ Full name and 姓名；及
- ☐ Date of birth and 出生日期；及
- ☐ Nationality and 國籍；及
- ☐ Identity document type and 證件類型；及
- ☐ Identify document number 證件編號

- ☐ 5. National driving licence with photograph
載有個人照片的國民駕駛執照
Together with items 1 to 3 in Appendix 1E above as appropriate
連同上述附錄 1E 中的第 1 至 3 項文件 (如適用)

(This item must contain all of the following identification information)

(文件必須包括以下所有身份識別資料)

- ☐ Full name and 姓名；及
- ☐ Date of birth and 出生日期；及
- ☐ Nationality and 國籍；及
- ☐ Identity document type and 證件類型；及
- ☐ Identify document number 證件編號

Key to Notes Relating to CDD Checklist Appendices

1. Certified copies of original documents should be independently certified by a suitable certifier who has seen the original, such as a lawyer/attorney, Justice of the Peace, certified public accountant, notary public, officer of an embassy or consulate, any person licensed by or registered with the HK SFC, or an equivalent authority in a country or region that is a FATF member country (e.g. HK SAR and the PRC) or an equivalent jurisdiction. The certified copies should be marked with the words "True copy of Originals". The Signature full name, title / designation, address, contact telephone number and license number (if applicable) of the individual certifying the document must be provided. The document should also be stamped by the entity certifying the document. 經核證副本是指正本文件經由適合的核證人查看後獨立核證為真實的副本，適合的核證人包括律師 / 事務律師、太平紳士、執業會計師、公證人、大使館或領事館人員、獲香港證監會或在屬於 FATF 成員國的國家或地區 (例如香港特區及中國) 或在對等司法管轄區獲同等權力機關發放牌照或註冊的任何人士。經核證副本須註明「正本的真實副本」字樣，並經核證文件的個人簽名，而且必須列明其姓名、職銜 / 職位、地址、聯絡電話號碼及牌照號碼 (如適用)。文件亦須經由核證文件的實體蓋上印章。

2. Certified copies of original documents should be provided in Chinese or English Language. If provided in other languages, a certified translation must be provided.
經核證副本須以中文或英文提供。若經核證副本為其它語言，必須提供經核證的翻譯文件。
3. High Risk Jurisdictions - FATF recommended from time to time that certain countries are high risk and must carry out enhanced due diligence (EDD). They are accessible at the FATF website at: <http://www.fatf-gafi.org/countries/#high-risk>
高風險司法管轄區 — 打擊清洗黑錢財務行動特別組織（FATF）不時建議屬於高風險的若干國家及必須採取更嚴格的盡職審查。有關國家的資料載於 FATF 網頁：<http://www.fatf-gafi.org/countries/#high-risk>
4. FATF member country are available at the FATF website at: <http://www.fatf-gafi.org/countries/#FATF>
有關 FATF 成員國的資料，可於 FATF 網頁查閱：<http://www.fatf-gafi.org/countries/#FATF>