

## INVESTMENT FUND SUBSCRIPTION FORM--CFUND – CHINA EQUITY

### “C基金--中國股票” 認購表格

Note: This subscription form is only applicable to existing clients of Centaline Securities Limited (“CSE”) who have sufficient fund or margin facility in the account with CSE to subscribe units in the CFund—China Equity (“the Fund”).

註: 此認購表格只適用於中原證券有限公司 (“中原證券”) 的現有客戶, 而該客戶在其中原證券戶口有足夠資金或保證金額去認購 “C基金--中國股票” (“C基金”) 的信託單位。

Client is required to sign this transaction form and return to CSE via one of the following ways 客戶需要簽署這表格及用以下一種方式送回中原證券:-

- by mail or by hand to Settlement Department of CSE at Units 1003-05, 10/F., Mira Place Tower A, 132 Nathan Road, Tsimshatsui, Kowloon, Hong Kong 以郵寄或親身送交中原證券交收部--香港九龍尖沙咀彌敦道 132 號美麗華廣場 A 座 10 樓 1003-05 室;
- by e-mail (cs@centasec.com), subject to the below disclaimer 以電郵(受制於以下免責聲明); or 或
- by fax (no. 35790880), subject to the below disclaimer 以傳真(受制於以下免責聲明).

為保障客戶利益, 所有經非見面方式遞交之申請表格需經中原證券指定職員接收申請後盡快以電話與客戶核實後方為有效。

To protect client's interest, non-face-to-face application will be considered valid only after designated staff of CSE makes telephone verification with client right after receipt of the application.

#### Disclaimer 免責聲明

Client is aware of the possible risks involved in connection with the transmission of information via e-mail or fax. CSE is not liable for any errors or omissions in the content of the client's e-mail/fax instruction and the attachment. Client undertakes to keep CSE indemnified at all claims, loss, costs and expenses which shall have arisen either directly or indirectly from the errors or omissions in connection with the e-mail/fax instruction.

客戶知道資料經電郵或傳真傳送有可能產生傳遞風險。中原證券不會就客戶的電郵或傳真指令及附件因傳遞的任何錯誤或遺留負責任。就該等電郵或傳真指令直接或間接產生的錯誤或遺留而引起的任何索賠、損失、花費及支出, 客戶同意彌償中原證券。

#### **Client Details 客戶資料**

Client Name: 客戶姓名:	CSE Account No.: 中原帳戶號碼:	Contact No. : 聯絡電話:
Representative: 營業代表:	Representative Code: 營業代表編號:	Ext: 內線:

#### **Detail of Subscription 認購內容**

Trust Name 信託名稱	Investment Currency 投資貨幣	Investment Amount (HKD) or Number of Units 投資金額(HKD)或信託單位數目	Plus Subscription Fee 另加認購費用 %	Total of investment amount & subscription fee 投資金額及認購費用之總額
CFund—China Equity C基金--中國股票	HKD	HKD _____ OR 或 _____ Units 單位數目		HKD _____

#### **Disclosure of benefits 利益披露**

CSE will receive the following benefits (not exceed 60% of total amount in each category) from the Manager of the Trust as a distributor of units in the Trust:-  
中原證券作為C基金的信託單位分銷商, 會從信託經理人收取以下利益 (每一項不會超過總數的60%):-

- Trailer fee 基金銷售佣金
- Net Operation Profits made by the Manager from the management of the Trust 信託經理人由C基金獲得的淨營運收益
- Net Performance Fee the Manager receives from the Trust 信託經理人由C基金獲得的淨基金表現費

All valid orders submitted before 11:00 am (“cut off time”) would be classified as a qualified application on the same day. If order is received after the cut off time, it shall be deemed to be received on the next working day. The subscription price of the Trust and the dealing date will be subject to the confirmation by the Manager of the Trust.

所有於上午11:00前(“截止時間”)遞交之有效認購表格將視為當日合資格之申請, 如果遞交之認購表格在截止時間後收到會在下一個工作日處理。信託單位之認購價格及交易生效日期以信託經理人之確認為準。

## Declaration 聲明

I / we confirm that I / we have received and read the following product information:

本人/我們確認收到並閱讀以下產品資訊/資料:

- Product Key Facts Statement (KFS) 產品資料概要
- Explanatory Memorandum of the Trust 信託解釋備忘錄
- Other information 其他資料, please specify 請列明:

1. I/We hereby authorize Centaline Securities Limited (hereinafter as "CSE") to do, on my/our behalf and in my/our name(s), the acts and things relating to my/our account(s) opened with CSE specified on this instruction form.
2. I/We understand that CSE recommends the financial product to me/us according to suitability of the financial product for me/us having regard to due diligence of the financial product, my/our financial situation and my/our investment experience and investment objectives. Based on this prerequisite, I/We declare that the investment decision is made by me/us and I/We have read and understand the Explanatory Memorandum ("EM") and Product Key Facts Statement ("KFS") of the relevant Fund(s), as amended, supplemented or replaced from time to time, and if applicable, the latest financial reports of the relevant Fund(s) I/We elected to subscribe for above and hereby agree to be bound by the terms and conditions contained therein. I/We have consulted Independent/Professional Advisors for further details and other risk factors before making any investment decision as I/We deem necessary. I/We agree and acknowledge that the value of the investment(s) may go up and down and by instructing CSE to make investments on my/our behalf, I/We am/are prepared to accept and am/are responsible solely for this risk and CSE shall be discharged from the liability whatsoever to me/us for any losses I/We may suffer as a result of the investment performance. In any transactions involving foreign currency conversion, I/We agree to adhere to the foreign exchange rates to be determined by CSE and/or its counter-parties.
3. I/We declare that I/We have examined the information provided by me/us on this form and confirm that they are correct and complete. I/We fully authorize CSE to carry out the instructions specified on this form and I/We agree to indemnify CSE for any losses, damages, costs, expenses or claims which CSE may suffer arising from CSE's reliance on any of the information I/we have given.
4. I/We hereby acknowledge that CSE is an Authorized Distributor distributing units in the Trust and is entitled to receive the benefits disclosed above.

1. 本人/吾等謹此授權中原證券代表本人/吾等及以本人/吾等之名義就本人/吾等之中原賬戶執行於本指示列明之行為及事項。
2. 本人/吾等明白中原向本人/吾等建議的金融產品是根據該金融產品的盡職審查、本人/吾等的財政狀況、投資經驗及投資目標考慮產品對本人/吾等的適合性。在此前提下，本人/吾等聲明此乃本人之投資決定。本人/吾等已詳讀並明白所選擇認購的相關基金不時修訂、補充及替代之注釋備忘錄（“備忘錄”）、產品資料概要（“產品概要”）和（如適用）最新財務報告，並特此同意受當中所載之條款及細則所約束。本人/吾等已就本人/吾等認為有需要之進一步資料及其他風險因素徵詢獨立/專業意見。本人/吾等同意及確認投資之價值可升可跌。指示中原代本人/吾等作出投資，本人/吾等接受及將獨自承擔此風險，中原將不就任何因投資表現而令本人/吾等蒙受之損失負責。有關任何涉及外幣兌換之交易，本人/吾等接受中原與其另一方決定之外幣兌換率。
3. 本人/吾等聲明本人/吾等已檢閱本人/吾等於本指示提供之資料及確定其為正確及完整。本人/吾等完全授權中原執行本表格內之指示。本人/吾等同意就所有中原因依賴本人/吾等提供之資料而蒙受之損失、損害、成本、費用或申索作出彌償。
4. 本人/吾等確認知悉中原證券是相關基金的特許分銷商及其有權收取上述披露的利益。

S.V.

Client Signature 客戶簽署

Date 日期

Internal Use Only				
Form received by	Client signature verified by	Handled by	Checked by	
Date :	Time:	Date:	Date:	Date:

## Declaration by Client - Product Nature, Risk and Material Information Disclosure

### 客戶聲明 - 產品資料概要及風險披露

Re: Name of Investment Product to be purchased:

購買投資產品名稱： CFUND – CHINA EQUITY C 基金--中國股票

I \_\_\_\_\_ (Client Name) \_\_\_\_\_ (HKID No. / Passport No.) confirmed that I have been clearly explained the nature, expected return, associated risk and material information of the product in a language of my choice (Chinese / English) by consultant \_\_\_\_\_ (Consultant Name). Consultant has conducted the suitability assessment for me and I have been given an appropriate opinions or warning according to the suitability assessment result.

本人 \_\_\_\_\_ (姓名) \_\_\_\_\_ (身份證號碼 / 護照號碼) 確認理財顧問 \_\_\_\_\_ (顧問名稱) 已經按本人明白的語言(中文 / 英文) 向本人詳細講解有關產品特性、回報、披露相關風險及重要產品資訊等資料，並替本人完成適合性評估及因應以下結果給予本人適當的意見或警告。

#### **Suitability Assessment Result 適合性評估結果**

The product to be purchased meets my investment objective, and risk level of the product is ***consistent*** with the investment risk level that I am able to financially bear.

產品特性符合本人的投資目標，產品風險類別跟本人承受風險類別 **相稱**。

The risk level of the product is ***not consistent*** with my investment objective. I am unlikely to financially bear any potential losses arising from the related risks, and the consultant had already explained to me that the product is not suitable for me.

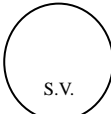
產品風險類別跟本人承受風險類別 **不相稱**，本人未必有承受此產品風險所帶來的潛在損失之能力，理財顧問已經向本人解釋過此產品並不適合本人。

Notwithstanding the above, I confirm that it is my intention and desire to proceed with the purchase application, and the final purchase decision is made by me solely. I am willing to bear all losses and legal liabilities arising from the associated risks.

本人確認此單交易是出自於個人意願，也屬於個人決定。本人願意承擔一切因相關風險帶來的損失及法律責任。

\_\_\_\_\_  
Name of Client 客戶姓名

\_\_\_\_\_  
Name of Joint Client 聯名客戶姓名

  
S.V.

\_\_\_\_\_  
Signature of Client 客戶簽署

\_\_\_\_\_  
Signature of Joint Client 聯名客戶簽署

Date 日期：

Date 日期：

**Declaration by Consultant - Product Nature, Risk and Material Information Disclosure**

**持牌顧問聲明 - 產品資料概要及風險披露**

I \_\_\_\_\_ (Name of Consultant) \_\_\_\_\_ (Name of Licensed Institution & Registration No.) confirmed that I have fully explained the nature, expected return, associated risk and material information of the product in a language of the client's choice (Chinese / English). I have conducted the suitability assessment for \_\_\_\_\_ (name of client) on \_\_\_\_\_ (date), and the result is as follows:

本人 \_\_\_\_\_ (姓名) \_\_\_\_\_ (牌照機構及牌照號碼) 已經於 \_\_\_\_\_ (日期) 以客戶明白的語言(中文 / 英文) 向客戶 \_\_\_\_\_ (客戶姓名) 詳細講解有關產品特性、回報、披露相關風險及重要產品資訊等資料。本人已替客戶完成適合性評估並將以下結果告知客戶。

**Suitability Assessment Result 適合性評估結果**

- The product to be purchased meets the client's investment objective, and risk level of the product is **consistent** with the investment risk level that the client is able to financially bear.  
產品特性符合客戶的投資目標，產品風險類別跟客戶承受風險類別 **相稱**。
- The risk level of the product is **not consistent** with the client's investment objective. The client is unlikely to financially bear any potential losses arising from the related risks, and I already explained to the client that the product is not suitable for him / her.  
產品風險類別跟客戶承受風險類別 **不相稱**，客戶未必有承受此產品風險所帶來的潛在損失之能力，本人已經向客戶解釋過此產品並不適合客戶。

\_\_\_\_\_  
Consultant Name 持牌顧問姓名

\_\_\_\_\_  
Consultant Signature 持牌顧問簽署

\_\_\_\_\_  
Date 日期：