



## II. Distribution Method 收息方法

- <sup>^</sup> No dividends will be distributed if their amount is below EUR50 or its equivalent. Such amount will automatically be reinvested.  
股息款額若低於五十歐元或其等值，將不會被派發。該等款額將自動再作投資用途。
- \*\* For joint accounts, in the absence of any other instructions, all payments will be made to the account of the first registered holder and no third party payments will be made.  
就聯名賬戶而言，如無任何其他指示，所有付款將向首名登記持有人作出，並不會向第三方作出付款。
- ## If no currency is indicated, payment will be made in the base currency of the relevant shares.  
如無指示，將以有關股份之計算貨幣支付。

<sup>^</sup> Please Indicate Income Distribution Method 請選擇收息方法 - This will apply to all distribution shares in your account. 這將適用於閣下戶口中所有的收息股份。

(please refer to Clauses 9 & 10 of the Terms 請參閱條款第9及10條)

Same as the Bank Account nominated for redemption proceeds 與指定收取贖回款額之賬戶相同

HKD Cheque 港元支票 (payable to FIRST registered shareholder) (支付予首名登記股份持有人)

Telegraphic Transfer 電匯 \*\* Currency 貨幣:  Fund Currency 基金貨幣  Others Currency 其他貨幣

\*\* Beneficiary 收款人 \_\_\_\_\_

Bank Name and Branch

銀行及分行名稱 \_\_\_\_\_

Bank Account No. / IBAN No.

銀行戶口賬號 / IBAN 號碼 \_\_\_\_\_

## III. Administration Details 行政事項資料

- <sup>△</sup> If there is no indication, valuation reports will be expressed in US dollars.  
如無指示，估值報告將以美元計算。

**Fax Authorisation 傳真之授權** Please indicate by placing a ✓ in the box below if you wish to authorise Schroders and the other parties of the relevant Fund to act on facsimile instructions from you concerning subscription, redemption or switching of shares, or any other matter relating to shares including payment of proceeds from sale of shares. (Please refer to Clause 11 of the Terms)

請於下面空格內以 ✓ 號表示閣下欲授權施羅德和有關基金的其他人士，依據閣下以傳真給予的指示，為閣下認購、贖回或轉換有關股份，或任何其他有關股份之事宜包括出售股份所得款項之交付。(請參閱條款第11條)

I/We wish to authorise fax dealing. 本人 / 吾等欲授權以傳真方式進行交易。

### Valuation Reports 估值報告

<sup>△</sup> I/We would like to receive valuation reports in the following currency (Please tick one box only)

本人 / 吾等欲收取以下貨幣單位計算的估值報告 (請選擇一種貨幣單位):

HKD 港元  USD 美元  GBP 英鎊  EUR 歐元  JPY 日圓  SGD 新加坡元

## IV. Payment of Redemption Proceeds – Bank Account Details 贖回款項付款賬戶資料

Please provide details to ensure payments can be made to you on a timely basis.

請提供資料以便能夠盡快處理付款安排。

Please refer to Clause 6 of the Terms.

請參閱條款第6條。

<sup>†</sup> For joint accounts, in the absence of any other instructions, all payments will be made to the account of the first registered holder and no third party payments will be made.

就聯名賬戶而言，如無任何其他指示，所有付款將向首名登記持有人作出，並不會向第三方作出付款。

<sup>††</sup> If no currency is indicated, payment will be made in the base currency of the relevant shares.

如無指示，贖回款項將以有關股份之計算貨幣支付。

I/We wish to have all proceeds of redemptions of shares paid direct to the following account unless contrary instructions are given at the time of redemption. This instruction applies to all shares in any Fund acquired at any time.

本人 / 吾等希望所有贖回股份之款項直接付予以下銀行賬戶，除非本人 / 吾等在作出贖回指示時另作付款安排。此授權適用於所有任何時候買入任何基金的股份。

Telegraphic Transfer 電匯 \*\* Currency 貨幣 \_\_\_\_\_

<sup>†</sup> Beneficiary

收款人 \_\_\_\_\_

Bank Name and Branch

銀行及分行名稱 \_\_\_\_\_

Bank Account No. / IBAN No.

銀行戶口賬號 / IBAN 號碼 \_\_\_\_\_

Beneficiary Bank SWIFT Code

收款銀行編碼 \_\_\_\_\_

Correspondent Bank Name and Branch

中介銀行及分行名稱 \_\_\_\_\_

Correspondent Bank SWIFT Code

中介銀行編碼 \_\_\_\_\_

If you would like to provide us with additional account details for other currencies, please attach a separate list.  
如欲提供其他貨幣的賬戶資料，請另行附上有關詳情。

## V. Appointment of Agent (if applicable) 代理人之委任 (如適用)

Agent Stamp (經紀蓋印)

I/We have appointed (agent name) 本人 / 吾等已委任 (代理人名稱) \_\_\_\_\_

of (address 地址) \_\_\_\_\_

(telephone 電話) \_\_\_\_\_ (fax 傳真) \_\_\_\_\_

to give instructions on my/our behalf provided that the agent shall be authorised to give all instructions including those for redemption but, save as otherwise agreed with Schroders and the other relevant parties of the relevant Fund and me/us, the agent is not authorised to give instructions for payment of redemption proceeds other than to me/us or a bank account as above specified. I/We authorise Schroders and all other relevant parties of the Funds to rely upon instructions from such agent given on my/our behalf, unless or until not less than seven Hong Kong business days' notice (or such shorter notice as agreed) is given in writing by me/us revoking this authority. (See Clause 12 of the Terms)

代表本人 / 吾等發出所有包括贖回之指示，但除非得到施羅德及基金的其他有關人士和本人 / 吾等同意，代理人不得就支付贖回款項予本人 / 吾等或上述的銀行賬戶以外之賬戶發出指示。本人 / 吾等授權施羅德及基金的所有其他有關人士依據該代理人代表本人 / 吾等發出的指示行事，除非本人 / 吾等在至少七個香港工作日 (或商定的較短通知期限) 前發出書面通知撤銷此項授權。(請參閱條款第12條)

## VI. Direct Marketing 直接促銷

I/We have read and understood Clause 13 of the Terms relating to the use of my/our personal data. I/We agree that my/our personal data may be transferred overseas. I/We understand that Schroders may inform me/us about other of its products that Schroders believe I/we may be interested in based on what I/we have already purchased from Schroders and from surveys that Schroders may send me/us from time to time. I/We hereby indicate my/our choice by ticking the applicable election box as follows.

本人/吾等已細閱並明白有關使用本人/吾等的個人資料的條款第13條。本人/吾等同意本人/吾等的個人資料可被轉移至海外。本人/吾等明白，施羅德可通知本人/吾等有關施羅德依據本人/吾等已從施羅德購買的產品及按照施羅德可不時寄予本人/吾等的意見調查而相信本人/吾等可能感興趣的施羅德其他產品。本人/吾等謹在以下適當的選項空格別選本人/吾等的選擇。

- I/We consent to Schroders sending me/us direct marketing communications and using my/our personal data for direct marketing purposes as described in Clause 13 of the Terms. 本人/吾等同意施羅德向本人/吾等寄發直接促銷通訊及使用本人/吾等的個人資料作條款第13條所說明的直接促銷用途。
- I/We do not wish Schroders to use my/our personal data for direct marketing purposes and we do not wish to receive direct marketing communications from Schroders. 本人/吾等並不願意施羅德使用本人/吾等的個人資料作直接促銷用途，吾等並不願意收到施羅德的直接促銷通訊。

## VII. Signature(s) 簽署

I/We have read and understood the terms and conditions of this application form (the "Terms") (including the Risk Disclosure Statements contained therein) and the relevant offering document of the Fund(s) in respect of which application is made. I/We undertake to observe and be bound by the Terms and the provisions of the offering documents and constitutive documents of the Fund(s) (as amended from time to time) and I/we apply to Schroder Investment Management (Hong Kong) Limited or its affiliates ("Schroders") and other relevant parties of the Fund(s) to be entered in the Register(s) of shareholders as the holder(s) of the shares of the Fund(s) shown above or of shares of Fund(s) subscribed for hereafter.

I/We acknowledge that by giving the fax authorisation above I am/we are subject to certain risks as well as terms and conditions (see Clause 11 of the Terms).

I/We wish to invest in shares of the Fund(s) at the relevant prices ruling on the relevant Valuation/Dealing Day and undertake to pay therefor. The price per share and the amount paid will be shown on a contract note to be sent shortly after the Valuation/Dealing Day.

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

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

I/we confirm that Schroders is only providing services to me/us. I/We acknowledge that if Schroders solicit the sale of or recommend any of the Funds to me/us, the Fund(s) must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives which I/we have disclosed to Schroders. No other provision of this application form or any other document Schroders may ask me/us to sign and no statement Schroders may ask me/us to make derogates from this provision.

I/we further confirm that I/we have independently made my/our own judgements and decisions with regard to each instruction to Schroders to **subscribe to** the shares of the Fund(s) and assume full responsibility therein.

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

I/We understand that all applications are subject to acceptance by the Schroders and the relevant parties of the Fund.

I/We declare that the shares are not being acquired or held beneficially by or for a U.S. person (please refer to Clause 14 of the Terms) or in violation of any applicable laws and regulations.

Schroder Investment Management (Hong Kong) Limited is entitled to, in its absolute discretion (without giving reasons), revise this form from time to time.

I/We acknowledge that there are special risks involved with investment in any Fund, in particular, Schroder Alternative Solutions 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 offering document.

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

I/We hereby undertake to notify Schroder Investment Management (Hong Kong) Limited by giving written notice at its registered address in the event of any material change to such information or documents provided by me/us. I/we acknowledge and agree that Schroder Investment Management (Hong Kong) Limited will notify me/us in the event of any material change to the information provided by Schroders in this form.

本人/吾等已細閱並明白本申請表格的條款及細則(「條款」)(包括本申請表格所載的風險披露聲明)及所申請認購基金的有關銷售文件。本人/吾等承諾遵守條款及基金的銷售文件及成立文件內的各項條款(不時予以修訂)及受其約束。本人/吾等要求施羅德投資管理(香港)有限公司或其聯號公司(「施羅德」)及其他相關各方在股東名冊內登記為上文所示基金股份或隨後認購的基金股份的持有人。

本人/吾等明白透過上述之傳真授權，本人/吾等須承受某些風險及條款(請參閱條款第11條)。

本人/吾等欲以適用估值/交易日之價格投資於基金股份，並謹此承諾繳付有關之款項。股份價格及應繳付之金額將載於合約書上。認購合約書將於有關估值/交易日後寄發予股份持有人以作確實。

本人/吾等明白施羅德為本人/吾等認購、贖回、轉換或處理基金之股份提供服務。本人/吾等確認施羅德已要求如本人/吾等希望，本人/吾等可尋求獨立的法律、稅務、財務或投資意見，使獨立顧問在考慮本人/吾等之財務狀況、投資經驗及投資目標後，可向本人/吾等解釋基金如何適合本人/吾等。

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

本人/吾等確認施羅德僅向本人/吾等提供服務。本人/吾等明白若施羅德向本人/吾等招攬銷售或推介任何基金，經考慮本人/吾等曾向施羅德披露的財政狀況、投資經驗及投資目標後，該(等)基金必須在合理情況下適合本人/吾等。施羅德不得要求本人/吾等簽署本申請表格的其他條款或任何其他文件，[施羅德]亦不得要求本人/吾等作出任何減損本條款效力的聲明。

本人/吾等再次確認本人/吾等給予施羅德有關基金股份認購的各指示，均為本人/吾等獨立地作出的判斷和決定。本人/吾等就此承擔所有責任。因此，本人/吾等明白並同意施羅德及其高級職員、董事、職員及獲授權代理人對本人/吾等無任何受信或類似責任，並對本人/吾等認購基金股份的決定毋須負責。

本人/吾等明瞭所有認購申請之接納與否將由施羅德及基金的其他有關人士決定。

本人/吾等聲明所認購之股份並非由或代美國人士(請參閱條款第14條)申請或持有，亦無觸犯任何適用的法律及法規。施羅德投資管理(香港)有限公司全權決定(並毋須提出理由)不時修訂此表格。

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

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

本人/吾等在此保證若申請表內所提供之資料或文件有任何重大變動，本人/吾等有責任以書面寄發至施羅德投資管理(香港)有限公司的註冊辦事處作出通告。本人/吾等明白並同意，若施羅德在本申請表格內提供的資料有任何重大變動，施羅德投資管理(香港)有限公司將通知本人/吾等。

Signature 簽署 (1)

Signature 簽署 (2)

Date 日期

**Applicants must submit the new account application form in person. Copies of Hong Kong ID cards/passports must be verified by corresponding agent.**

申請人須親身遞交申請表格，香港身份證/護照副本須經由相關代理人核證。

## Terms and Conditions:

- This general application form applies to individual investors subscribing for shares or/and units of Funds managed by Schroders (the "Funds"). Shares or units ("shares") are offered on the basis of the information contained in the current offering document of each Fund and the latest annual report(s) and accounts and, if later, semi-annual report(s) of the Fund(s) and such other documents (if any) as may be issued by Schroders expressly in conjunction with the issue of such offering document. Any further information provided by or representations made by any dealer, salesman or other person must be regarded as unauthorised and must not be relied upon. Reference herein to a "Trustee" means the Fund itself or the Custodian or Registrar thereof as the context requires.
- An account cannot be opened in the name of any person below the age of 18.
- All shares are issued pursuant to the provisions of the relevant Fund's constitutive document and its offering document (as amended from time to time).
- Schroders reserve the right to allot fewer shares than the number applied for or to refuse any application in its entirety without assigning any reason. Instructions for the subscription, redemption and switching of shares shall be given in forms prescribed by Schroders. Completed forms shall be sent to Schroders by post or by fax if you have given the fax authorisation above (please also refer to Clause 11 of the Terms).
- Investments in Funds may be held jointly in the names of two or more investors. Following the death of any joint holder, in the case of Funds governed by Luxembourg laws, (i) where single signatory authority applies, any one of the survivor(s) shall have full authority to operate and control the joint account and exercise all the rights attached to the shares, based on the authority to act singly given to each other under this application form; and (ii) where joint signatory authority applies, the sole survivor or (if more than one survivor) all the survivors and the inheriting holder(s) of the deceased's shares jointly shall have authority to operate and control the joint account and exercise all the rights attached to the shares. In the case of Funds governed by Hong Kong laws, unless the constitutive document of the relevant Fund provides otherwise, (i) where single signatory authority applies, any one of the survivor(s) shall have full authority to operate and control the joint account; and (ii) where joint signatory authority applies, the sole survivor or (if more than one survivor) the survivors jointly shall have authority to operate and control the joint account. Notwithstanding the aforesaid, we reserve the right to refuse to accept instructions until we have received satisfactory proof, including proof of death, evidence of compliance with all applicable law and/or such other evidence as we may require in our absolute discretion.

Investors should be aware that third parties may acquire interests in the assets of a deceased holder as a result of the operation of applicable inheritance laws. We assume no responsibility for advising investors as to the effect of such laws and each joint holder agrees (for himself/herself and his/her heirs, representatives and successors) to indemnify and hold Schroders harmless from and against any claims, liabilities and losses arising in connection with acting on any instruction or request of the survivor(s).

- Fees and charges for transaction in the Funds are set out in the offering documents of the Funds. If in accordance with the offering documents payments to and from the relevant accounts (as shown in Clause 7 of the Terms) require a foreign exchange service Schroders will provide this service to you. Details of the charges applicable to foreign exchange transactions retained by Schroders are available upon request. The cost of currency conversion and other related expenses will be borne by the relevant investor.
- Payment should be made in the following manner. Payment may be made in any other manner or currency as consulted with Schroder Investment Management (Hong Kong) Limited.

7.1 Settlement details for Funds managed by **Schroder Investment Management (Europe) SA** are as follows:-

Telegraphic transfers for Schroder International Selection Fund (SISF) and Schroder Alternative Solutions (SAS)					
Currency	Bank Name	Account Name	Account No.	SWIFT Code	IBAN Number
HKD	Bank of America N.A. Hong Kong	SIM EU SA RE INV FUND COLLECT ACC	89142016	BOFAHKHX	N/A
USD	Bank of America N.A. New York		6550-367971	BOFAUS3N	N/A
GBP	Bank of America N.A. London		N/A	BOFAGB22	GB63BOFA16505035964015
EUR	Bank of America N.A. London		N/A	BOFAGB22	GB41BOFA16505035964023
JPY	Bank of America N.A. Tokyo		20561018	BOFAJPJX	N/A
CHF	Bank of America N.A. Zurich		N/A	BOFACH2X	CH6008726000013837012
SGD	Bank of America N.A. Singapore		54716019	BOFASG2X	N/A
AUD	Bank of America N.A. Sydney		14737018	BOFAAUSX	N/A
CNY	Bank of America N.A. Hong Kong		6055-89142066	BOFAHKHX	N/A

Cheques in HKD should be crossed "a/c payee only, not negotiable" and payable to "SIM EU SA RE INV FUND COLLECT ACC".

7.2 Settlement details for Funds managed by **Schroder Investment Management (Hong Kong) Limited** are as follows:-

Telegraphic transfers for Schroder Unit Trusts (excluding Schroder Hong Kong Money Market Fund & Schroder US Dollar Money Fund)					
Currency	Bank Name	Account Name	Account No.	SWIFT Code	IBAN Number
HKD	Bank of America N.A. Hong Kong	SIM EU RE SIMHK FUND COLL ACC	89142032	BOFAHKHX	N/A
USD	Bank of America N.A. New York	SIM EU RE SIMHK FUND COLL ACC	6550-367933	BOFAUS3N	N/A
CNY	Bank of America N.A. Hong Kong	SIM EU RE SIMHK FUND COLL ACC	6055-89142058	BOFAHKHX	N/A
JPY	Bank of America N.A. Tokyo	SIM EU RE SIMHK FUND COLL ACC	20561042	BOFAJPJX	N/A
AUD	Bank of America N.A. Sydney	SIM EU RE SIMHK FUND COLL ACC	14737042	BOFAAUSX	N/A
GBP	Bank of America N.A. London	SIM EU RE SIMHK FUND COLL ACC	N/A	BOFAGB22	GB52BOFA16505035964213

Cheques in HKD should be crossed "a/c payee only, not negotiable" and payable to "SIM EU RE SIMHK FUND COLL ACC".

Telegraphic transfers for Schroder Hong Kong Money Market Fund and Schroder US Dollar Money Fund					
Currency	Bank Name	Account Name	Account No.	SWIFT Code	
HKD	Bank of America N.A. Hong Kong	SIM EU RE SIMHK MMF COLL ACC	89142040	BOFAHKHX	
USD	Bank of America N.A. New York	SIM EU RE SIMHK MMF COLL ACC	6550-567932	BOFAUS3N	

Cheques in HKD should be crossed "a/c payee only, not negotiable" and payable to "SIM EU RE SIMHK MMF COLL ACC".

**For telegraphic transfers, you should quote reference "client no" and the share subscribed for in all payment instructions. To avoid any delay, you should provide us with a copy of the transfer advice.**

- You agree to indemnify and hold Schroders/Administrator/Registrar/Trustee/Transfer Agent and their respective agent/delegate (collectively, the "Indemnified Parties") harmless against any losses (including, but not limited to, overdraft interest), related costs and expenses incurred by the Indemnified Parties due to or arising out of (i) a breach of any representation, warranty or agreement by you or any failure to fulfil any covenants or agreements, whether contained in this application form, the offering document or any other document provided by you in connection with your investment in the shares; (ii) the acquisition or holding of the shares by you in violation of applicable law; and (iii) your failure to make good settlement by the settlement date of the Funds as set out in the offering document of the relevant Funds. All indemnification obligations provided herein shall survive your death or disposition of your shares in the Fund(s), and shall be in addition to any liability you may have.
- Not all Funds issue both distribution and accumulation shares - please refer to the offering document of the relevant Fund for details.
- Currency conversion costs may be significant if distributions are paid in currencies other than the base currency of the relevant shares. Details of the charge applied to foreign exchange transactions, which is retained by Schroders, are available upon request. The cost of currency conversion and other related expenses will be borne by the relevant investor. If no distribution method is indicated, payment will be made by cheque in the base currency of the relevant shares.
- By giving the fax authorisation above, the subscriber(s):
  - 11.1 authorise(s) Schroders and the Trustee of the relevant Fund and any of their authorised agents to act upon instructions given by facsimile, with regard to the shares subscribed for (and any further shares purchased) or any matter in connection with them or any of them without liability in respect of any transfer, payment or any other act done in accordance with such instructions, including the subsequent subscription, redemption, or switching of shares, or any other matter relating to the shares, including payment of proceeds from sales of shares;
  - 11.2 agree(s) and acknowledge(s) that Schroders and the Trustee of the relevant Fund and any of their authorised agents shall be entitled to rely on the instructions which Schroders and the Trustee and any of their authorised agents reasonably believe, in good faith, to be from the subscriber, or a person authorised to act on the subscriber's behalf;
  - 11.3 acknowledge(s) that this authorisation shall remain in force until an original notice in writing of its termination is received by Schroders and any such notice shall be without prejudice to the completion of transaction already initiated pursuant to this authorisation; and
  - 11.4 agree(s) to indemnify and hold Schroders and the Trustee of the relevant Fund and any of their authorised agents harmless from and against any loss arising in respect of acting on instructions given by facsimile, by telephone or by electronic means or a decision not to act on the basis of such instructions or for any loss arising from the non-receipt of such instructions.
- If an agent is appointed, the terms of such appointment will be as agreed with the agent and none of the Manager, the Trustee or the Registrar of any relevant Fund or other relevant person ("Relevant Person") shall be liable for the acts of the agent. Any instruction from the agent shall be treated as if given by the Shareholder. If conflicting instructions are received, the Relevant Person has the right to decide not to accept the same. Where an agent is appointed the relevant Manager or Trustee may disclose information on your account to the agent.



13. You provide personal information to the relevant Manager and the Trustee/Registrar/Transfer Agent or other administrator of the relevant Fund(s) and authorise each of them to disclose the same and financial and other information on your account ("personal data") to each such person and the Agent of the Registrar for the time being and/or to the ultimate holding company of the Manager and/or its subsidiaries and/or affiliates within or outside Hong Kong ("Schroder Group") or to any agent appointed by you or any third party employed to provide administrative, computer or other services or facilities to any person to whom personal data is provided or may be transferred as aforesaid and to a regulatory authority entitled thereto by law by inspection of the records of any such person or otherwise to the extent such rights are exercised whether any such persons are within or outside Hong Kong. You are entitled at any time to request access to the personal data held by the Manager about you and your account and to request correction of such personal data. Any such request should be made in writing to Data Protection Officer c/o Head of Compliance, at the office of Schroder Investment Management (Hong Kong) Limited. The personal data held is required to process your application for shares, for the purpose of completion of the information on the Register of holders of the shares of the relevant Fund. Failure to supply such personal data may result in your application for shares being rejected. The personal data is also used for the purpose of carrying out your instructions or responding to any enquiry from you, given by you or on your behalf, dealing in any other matters relating to your account and holdings therein, forming part of the records of the recipient as to the business carried on by it, observing any legal, governmental or regulatory requirements of Hong Kong or other relevant jurisdiction including any disclosure or notification requirements to which any recipient of the personal data is subject.

In addition, if you explicitly give your consent by ticking the election box in the "Direct Marketing" section of this application form, your personal data may be used for direct marketing purposes, including to provide you with information about products we believe may be of interest to you and/or to invite you to participate in market research studies which help us better understand your interests.

If you consent to us using your personal data for direct marketing purposes, please note that:

- (i) your name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data held by Schroders from time to time may be used by Schroders in direct marketing;
- (ii) the following classes of services, products and subjects may be marketed in direct marketing:
  - (a) financial, investment, wealth management, securities, retirement and related services and products; and
  - (b) invitations to financial and investment seminars/events/forums.

You may withdraw your consent to Schroders using your personal data for direct marketing purposes any time by writing to:

Data Protection Officer, c/o Head of Compliance, Schroder Investment Management (Hong Kong) Limited, Level 33, Two Pacific Place, 88 Queensway, Hong Kong.

For further information on personal data protection, please refer to Schroders' group privacy policy: <http://www.schroders.com/en/privacy-policy/> and Schroders' Hong Kong privacy policy: <http://www.schroders.com/en/hk/institutional-service/footer/data-protection-policy/>

14. Rule 902 of Regulation S under the United States Securities Act of 1933 as amended (the "Securities Act") defines US Person to include inter alia any natural person resident of the United States and with regards to Investors other than individuals, (i) a corporation or partnership organised or incorporated under the laws of the US or any state thereof; (ii) a trust: (a) of which any trustee is a US Person except if such trustee is a professional fiduciary and a co-trustee who is not a US Person has sole or shared investment discretion with regard to trust assets and no beneficiary of the trust (and no settlor if the trust is revocable) is a US Person or (b) where a court is able to exercise primary jurisdiction over the trust and one or more US fiduciaries have the authority to control all substantial decisions of the trust and (iii) an estate (a) which is subject to US tax on its worldwide income from all sources; or (b) for which any US Person is executor or administrator except if an executor or administrator of the estate who is not a US Person has sole or shared investment discretion with regard to the assets of the estate and the estate is governed by foreign law. The term "US Person" also means any entity organised principally for passive investment (such as a commodity pool, investment company or other similar entity) that was formed: (a) for the purpose of facilitating investment by a US Person in a commodity pool with respect to which the operator is exempt from certain requirements of Part 4 of the regulations promulgated by the United States Commodity Futures Trading Commission by virtue of its participants being non-US Persons or (b) by US Persons principally for the purpose of investing in securities not registered under the Securities Act, unless it is formed and owned by "accredited investors" (as defined in Rule 501 (a) under the Securities Act) who are not natural persons, estates or trusts. Pursuant to the Internal Revenue Code of 1986, as amended including to reflect the provisions of Foreign Account Tax Compliance Act, the term US Person means (i) a citizen or resident of the US, (ii) a partnership or other entity treated as a partnership for US federal income tax organised under the laws of the US or any political subdivision thereof, (iii) a corporation or other entity treated as a corporation for US federal income tax purposes organised under the laws of the US or any political subdivision thereof, (iv) an estate the income of which is subject to US federal income tax without regard to its source or (v) a trust, if, either (a) a court within the US is able to exercise primary supervision over the administration of the trust and one or more US persons have the authority to control all substantial decisions of the trust, or (b) the trust was in existence on August 20, 1996 and properly elected to be treated as a US person.
15. According to applicable laws and regulations on combating money laundering and terrorist financing, obligations have been imposed on professionals of the financial sectors to verify the identity of subscribers, economic beneficiaries and/or legal representatives to prevent the use of funds for the purpose of money laundering and terrorist financing. The application form must be accompanied by a certified true copy (including original stamp, date, signature, and contact details) of the following documents certified by a competent authority in accordance with local laws, including without limitation a notary public, embassy, consulate or high commission of the country that is responsible for issuing documentary verification of identity, practising lawyer, qualified practising accounting professionals, Justice of Peace, regulated financial institution: 1) A copy of a valid and official identification document (e.g. passport, identity card) bearing the owner's full name, date and place of birth, photo, nationality, identification document type and number, and expiration/validity date; AND 2) A proof of residential address (dated within the last three months or where an annual statement is provided, it should be current and not exceed 12 months). Schroders and/or the Trustee/Registrar/Transfer Agent/Administrator (including its agent/delegate) reserve the right to withhold any redemption proceeds if exceptionally the identification process could not be completed before the investor's application was accepted. Schroders and/or the Trustee/Registrar/Transfer Agent/Administrator (including its agent/delegate) reserve the right to request additional information or due diligence documentation on a case by case basis.
16. Risk Disclosure Statements
- (i) The prices of Funds fluctuate, sometimes dramatically. The price of a Fund 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 funds.
  - (ii) Since transactions may be settled overseas, client assets received or held by Schroders may be subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Hong Kong Securities and Futures Ordinance and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.
  - (iii) If you provide Schroders with an authority to hold mail or to direct mail to third parties, it is important for you to promptly collect in person all contract notes and statements of your account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.
17. **This application form should be distributed only with the current offering document and annual/semi-annual reports of a Fund.** The provisions of this application form are governed by and construed in accordance with the laws governing the relevant Fund, which will be the laws of Hong Kong for a Hong Kong-domiciled Fund and the laws of Luxembourg for a Luxembourg-domiciled Fund.

## 條款及細則：

1. 本申請表格適用於個別投資者申請認購施羅德所管理基金（「基金」）之股份／及單位。單位或股份（下稱「股份」）的發售乃按載於各基金最新之銷售說明書、基金最近之年報及財務報告書及期後刊發的中期報告書，及由施羅德集團發行並明確表明須與銷售說明書一併發行之該等其他文件內之細則進行。任何由經紀、推銷員或其他人士所提供之資料或陳述皆未經授權並不應予以倚賴。本文提及的「信託人」，根據上下文意義可指基金或保管人或註冊處。
2. 凡年齡未滿十八歲的人士，一概不得以其名義開戶。
3. 所有股份均根據有關基金的成立文件及其銷售文件的條款（不時予以修訂）發行。
4. 施羅德保留權利配發數量較所申請者少的股份或拒絕全數的股份申請而無須給予任何理由。閣下須以施羅德規定的表格作出認購，贖回和轉換股份的指示。填妥的表格須通過郵寄或傳真（如果閣下作出上述之傳真授權，另請參閱條款第11條）發送給施羅德。
5. 基金的投資可由兩名或多名投資者聯名持有。在任何聯名持有人去世後，如屬由盧森堡法律管限的基金，(i)倘單一簽署人權限適用，按照本申請表格下聯名持有人給予各方各自單獨行事的權限，任何一名尚存者將擁有全面權限以運作及控制聯名賬戶及行使股份所附的一切權利；及(ii)倘聯名簽署人權限適用，唯一尚存者或（如超過一名尚存者）所有尚存者及已故人士的股份繼承持有人將共同擁有權限以運作及控制聯名賬戶及行使股份所附的一切權利。如屬香港法律管限的基金，除非有關基金的成立文件另有訂明，否則(i)倘單一簽署人權限適用，任何一名尚存者將擁有全面權限以運作及控制聯名賬戶；及(ii)倘聯名簽署人權限適用，唯一尚存者或（如超過一名尚存者）各尚存者將共同擁有權限以運作及控制聯名賬戶。儘管有上述規定，吾等保留權利拒絕接受指示，直至吾等已收到令人滿意的證明，包括死亡證明、遵從所有適用法律及／或吾等可絕對酌情決定要求的其他證據為止。

投資者應留意，第三方可因適用繼承法律的施行而取得已故持有人的資產的權益。吾等並不承擔責任就該等法律的效力向投資者提供意見，以及每名聯名持有人同意（就他／她本身及他／她的繼承人、代表及繼任人）因就尚存者的任何指示或要求行事而產生的任何申索、負債及損失向施羅德作出彌償及使施羅德免受損失。

6. 基金交易的費用及開支載於基金的銷售文件。倘若付款根據銷售文件存入有關賬戶或自有開賬戶中轉出（如條款第7條所示）需要外匯兌換服務，施羅德將為閣下提供此項服務。適用於外匯兌換交易的收費詳情可向施羅德索取，收費由施羅德保留。貨幣兌換的成本及其他相關支出將由有關投資者承擔。
7. 繳款應依以下方式作出。認購款項的繳付可以與施羅德投資管理（香港）有限公司協商的任何其他方式或貨幣進行。

### 7.1 認購 Schroder Investment Management (Europe) SA 所管理的基金付款方法如下：

以電匯方式認購施羅德環球基金系列(SISF)及施羅德另類投資方略(SAS)					
貨幣	收款銀行	收款賬戶	戶口號碼	SWIFT 號碼	IBAN 號碼
港元	Bank of America N.A. Hong Kong	SIM EU SA RE INV FUND COLLECT ACC	89142016	BOFAHKHX	不適用
美元	Bank of America N.A. New York		6550-367971	BOFAUS3N	不適用
英鎊	Bank of America N.A. London		不適用	BOFAGB22	GB63BOFA16505035964015
歐元	Bank of America N.A. London		不適用	BOFAGB22	GB41BOFA16505035964023
日圓	Bank of America N.A. Tokyo		20561018	BOFAPJX	不適用
瑞士法郎	Bank of America N.A. Zurich		不適用	BOFACH2X	CH600872600013837012
新加坡元	Bank of America N.A. Singapore		54716019	BOFASG2X	不適用
澳元	Bank of America N.A. Sydney		14737018	BOFAAUSX	不適用
人民幣	Bank of America N.A. Hong Kong		6055-89142066	BOFAHKHX	不適用

港元支票應以「只入收款賬戶、不得轉讓」劃線，並以「SIM EU SA RE INV FUND COLLECT ACC」為抬頭人。

### 7.2 認購施羅德投資管理（香港）有限公司所管理的基金的付款方式如下：

以電匯方式認購施羅德單位信託基金（施羅德金融市場基金及施羅德美元金融基金除外）					
貨幣	收款銀行	收款賬戶	戶口號碼	SWIFT 號碼	IBAN 號碼
港元	Bank of America N.A. Hong Kong	SIM EU RE SIMHK FUND COLL ACC	89142032	BOFAHKHX	不適用
美元	Bank of America N.A. New York	SIM EU RE SIMHK FUND COLL ACC	6550-367933	BOFAUS3N	不適用
人民幣	Bank of America N.A. Hong Kong	SIM EU RE SIMHK FUND COLL ACC	6055-89142058	BOFAHKHX	不適用
日圓	Bank of America N.A. Tokyo	SIM EU RE SIMHK FUND COLL ACC	20561042	BOFAPJX	不適用
澳元	Bank of America N.A. Sydney	SIM EU RE SIMHK FUND COLL ACC	14737042	BOFAAUSX	不適用
英鎊	Bank of America N.A. London	SIM EU RE SIMHK FUND COLL ACC	不適用	BOFAGB22	GB52BOFA16505035964213

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

以電匯方式認購施羅德金融市場基金及施羅德美元金融基金					
貨幣	收款銀行	收款賬戶	戶口號碼	SWIFT 號碼	
港元	Bank of America N.A. Hong Kong	SIM EU RE SIMHK MMF COLL ACC	89142040	BOFAHKHX	
美元	Bank of America N.A. New York	SIM EU RE SIMHK MMF COLL ACC	6550-567932	BOFAUS3N	

港元支票應以「只入收款賬戶、不得轉讓」劃線，並以「SIM EU RE SIMHK MMF COLL ACC」為抬頭人。

以電匯為付款方式的指示、閣下應提供「客戶號碼」及認購之股份作為參考。為避免任何延誤，閣下應在每次認購時呈交電匯收據副本。

8. 閣下同意就施羅德／管理人／註冊處／信託人／轉讓代理人及彼等各自的代理人／受委人（統稱「獲彌償各方」）因或由於(i)閣下違反任何陳述、保證或協議或未能履行任何契約或協議（不論是否載於本申請表格、銷售文件或閣下就閣下在股份的投資提供的任何其他文件）；(ii)閣下購入或持有股份違反適用法律；及(iii)閣下未能於有關基金的銷售文件所載的基金結算日期進行妥善結算而招致的任何損失（包括但不限於透支利息）、相關成本及費用，向獲彌償各方作出彌償或使獲彌償各方免受損失。在本條中訂明的所有彌償責任於閣下身故或處置閣下所持的基金股份後仍將有效，並將屬於閣下可能承擔的責任之上的責任。
9. 並非所有基金均設有股息及累積股份，詳情請參閱有關基金的銷售說明書。
10. 如果以相關股份的基本貨幣以外的貨幣支付派息，貨幣兌換成本可能很高。適用於外匯兌換交易的收費詳情可向施羅德索取，收費由施羅德保留。貨幣兌換的成本和其他相關支出將由有關投資者承擔。如無收息方式指示，將以有關股份之計算貨幣以支票支付。
11. 藉上述傳真授權，認購人：
  - 11.1 授權施羅德和有關基金的信託人及其授權的任何代理人，依據以傳真方式的指示，就有關認購股份（和任何進一步認購股份）或任何有關事宜行事。施羅德和信託人及其授權的任何代理人就根據該等指示進行任何轉讓、收付或任何其他有關行為，包括其後的股份認購、贖回或轉讓，或任何有關股份的其他事宜，包括出售股份所得款項的收付事宜毋須負責；
  - 11.2 同意並明白施羅德和有關基金的信託人及其授權的任何代理人，可以依賴施羅德和有關基金的信託人及其授權的任何代理人合理地及善意地相信是來自認購者或獲授權代理認購者行事之人士的指示；
  - 11.3 明白該授權在施羅德收到書面終止通知書正本前維持有效。任何該等通知書無損已經依據該授權已進行之交易的完成；及
  - 11.4 同意彌償施羅德和有關基金的信託人及其授權的任何代理人，因根據以傳真、電話或電子方式的指示行事，或因拒絕根據該等指示行事而導致的任何損失，或因未收到該等指示而導致的任何損失，或避免使施羅德和有關基金的信託人及其授權的任何代理人因上述事件蒙受損失。
12. 若投資者委任代理人，委任條款須與代理人商定，任何有關基金的經理人、信託人及註冊處或其他有關人士（「有關人士」）一概不會就該代理人的行為負責。代理人發出的任何指示應被視作由股份持有人發出。若收到有抵觸的指示，有關人士有權不接受該等指示。閣下如已委任代理人，有關經理人或信託人可向代理人提供閣下賬戶內的資料。

13. 閣下向有關基金經理及信託人／註冊處／轉讓代理人或有關基金的其他管理人提供個人資料，並授權他們各人將上述資料及閣下賬戶的財務及其他資料（「個人資料」）披露予各有關人士及當時的註冊代理人及／或基金經理在香港境內或境外的最終控股公司及／或其附屬公司及／或聯號公司（「施羅德集團」）或閣下委任的任何代理人或獲僱用向如上所述獲提供或可獲轉交個人資料的任何人士提供行政、電腦或其他服務或設施的任何第三方，以及根據法律審查任何有關人士的記錄或在行使該等權利的範圍下以其他方式有權取得上述資料的監管機構，不論任何有關人士是否在香港境內或境外。閣下有權隨時要求取用基金經理所持有關於閣下及閣下賬戶的個人資料，並要求更正該個人資料。上述任何要求應以書面向施羅德投資管理（香港）有限公司辦事處的資料保密員提出，由監察科主管轉交。所持有的個人資料乃供處理閣下的股份申請，以填寫有關基金的股份持有人名冊。未能提供該個人資料可導致閣下的股份申請被拒絕。個人資料亦將用作執行閣下的指示或回應由閣下或代表閣下提出的詢問、處理與閣下的賬戶和持股有關的任何其他事務、構成資料接收者所進行的業務記錄的一部份、遵從香港或其他有關司法管轄區的任何法律、政府或監管的規定，包括任何個人資料接收者須遵從的披露或通知規定。
- 此外，倘閣下藉別選本申請表格「直接促銷」一節的選項空格明確地表示同意，閣下的個人資料可用作直接促銷用途，包括向閣下提供吾等相信閣下可能感興趣的產品的資料及／或邀請閣下參與有助吾等更能了解閣下的興趣的市場研究。
- 倘閣下同意吾等使用閣下的個人資料作直接促銷用途，請注意：
- (i) 施羅德可能把施羅德不時持有的閣下的姓名、聯絡資料、產品及服務組合資料、交易模式和行為、財政背景及人口統計數據用於直接促銷；
- (ii) 可直接促銷以下類別的服務、產品及標的：
- (a) 金融、投資、財富管理、證券、退休及相關服務和產品；及
- (b) 就金融及投資講座／事件／論壇發出的邀請。
- 閣下可隨時以書面形式撤回閣下給予施羅德有關使用閣下的個人資料作直接促銷用途之同意，地址：
- 資料保障主任轉交監察部主管，施羅德投資管理（香港）有限公司，香港金鐘道88號太古廣場第二座33字樓
- 有關個人資料保障的進一步資料，請參閱施羅德的集團私隱政策：<http://www.schroders.com/en/privacy-policy/>及施羅德的香港私隱政策：<http://www.schroders.com/en/hk/institutional-service/footer/data-protection-policy/>
14. 美國人士之定義如下：
- 根據美國1933年證券法（經修訂）（「證券法」）S條例第902規則界定的美國人，除其他事項外，包括任何居於美國的人士和個人身份以外被視為投資者的個體，(i) 根據美國或任何國家法例籌組或成立的公司或合夥商行；(ii) 信託：(a) 其任何一位受託人為美國人士，除非該受託人是專業的受信人和共同受託人並不是美國人士，而就信託資產擁有唯一或部份投資酌情權，以及該信託受益人（若屬於可撤銷的信託，則財產授予人）並不是美國人士或(b) 法院可就該信託行使主要司法管轄權和一位或多位美國受託人就該信託的所有重大決定擁有控制權和(iii) 產業權(a) 其需要繳付美國全球稅；或(b) 其擔任執行人或管理人是美國人士，除非該業權的執行人或行政人並不是美國人士，而就該業權資產擁有唯一或部份投資酌情權和該業權受外國法例監管。
- 「美國人士」一詞亦指主要作被動式投資（例如匯集商品、投資公司或其他類似的實體）的任何實體：(a) 目的是方便美國人士憑藉非美國人士參與投資於匯集商品，而其營辦商不受美國商品期貨交易委員會公布的法例第四部份若干規則的規管或(b) 由美國人士成立，主要目的是投資於並非根據證券法註冊的證券，除非該證券由並不屬於個體、產業權或信託的「獲認可投資者」（按證券法第501(a)規則之定義）成立和擁有。
- 根據《1986年國內稅收指引》（經修訂，包括反映了《海外賬戶稅收合規法案》的條款），「美國人士」一詞指：(i) 美國市民或居民，(ii) 依美國法律或任何政府分支機構法律組織的合夥商行或其他在美國聯邦入息稅方面而言被視為合夥商行的實體，(iii) 依美國法律或任何政府分支機構法律而組織，為美國聯邦入息稅目的被視為一間公司的公司或其他實體，(iv) 產業權，其收入須繳付美國聯邦入息稅（無論其來源為何），或(v) 信託，假如(a) 美國法院可就該信託行使主要司法管轄權，且一位或多位美國人士擁有該信託的所有重大決定控制權，或(b) 該信託於1996年8月20日經已存在，並適當地經選擇成為美國人士。
15. 根據有關防止清洗黑錢及恐怖份子融資的適用法律及法規，已使金融界別的專業人士須承擔責任以核實認購人、經濟受益人及／或法律代表的身份，從而防止運用資金作清洗黑錢及恐怖份子融資。申請表格必須附帶主管當局（包括但不限於公證人、大使、領事館或負責簽發身份核實文件的國家高級委員會、執業律師、合資格執業會計專業人士、太平紳士、受監管金融機構）根據當地法律核證的下列文件的經核證真實副本（包括正本蓋章、日期、簽署及聯絡資料）：1) 附有擁有人的全名、出生日期和地點、相片、國籍、身份證明文件類型和號碼，以及到期／有效日期的有效及正式身份證明文件（例如：護照、身份證）之副本；及2) 住址證明（日期為最近三個月內或如提供年度報表，則應為當前有效及不超過12個月）。倘在特殊情況下，身份證明過程不能在投資者的申請獲接受申請之前完成，施羅德及／或信託人／註冊處／轉讓代理人／管理人（包括其代理人／受委人）保留權利扣起任何贖回所得款項。施羅德及／或信託人／註冊處／轉讓代理人／管理人（包括其代理人／受委人）保留權利按個別情況要求提供額外資料或盡職查核文件。
16. 風險披露聲明
- (i) 基金價格有時大幅波動。基金價格可升可跌，並可能變得毫無價值。買賣基金有可能會招致虧損而非獲取盈利。
- (ii) 由於交易可在海外結算，故施羅德收到或持有的客戶資產或須受有關海外司法管轄區可能與《香港證券及期貨條例》及按其制定的規則不同之適用法律及法規所規限。因此，該等客戶資產未必享有與在香港收到或持有的客戶資產獲賦予者相同的保障。
- (iii) 倘閣下提供施羅德授權以代寄郵件或寄發郵件予第三方，閣下務須從速親身領取閣下賬戶的所有成交單據及結單，並作出詳細審閱以確保任何異常或錯誤可及時察覺。
17. 本申請表格應連同基金的現有銷售文件及年度／半年度報告方可派發。本申請表格的條款受管限有關基金的法律（以香港為本籍的基金將為香港法律及以盧森堡為本籍的基金將為盧森堡法律）所管限並按其詮釋。

## Sales Related Information

on

### Schroder International Selection Fund, Schroder Balanced Investment Fund, Schroder Capital Stable Fund, Schroder Growth Fund, Schroder Stable Growth Fund, Schroder Hong Kong Money Market Fund, Schroder U.S. Dollar Money Fund, Schroder Umbrella Fund II (collectively named "The Funds")<sup>1</sup>

Schroder Investment Management (Hong Kong) Limited ("SIMHK") distributes the Funds in Hong Kong. This document is intended to be provided to persons who have one or more fund accounts with SIMHK. It provides you with certain sales related information on the Funds including those required under Section 8.3A of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission in Hong Kong.

	<b>Schroder International Selection Fund, Schroder Alternative Solutions</b>	<b>Schroder Balanced Investment Fund, Schroder Capital Stable Fund, Schroder Growth Fund, Schroder Stable Growth Fund, Schroder Hong Kong Money Market Fund, Schroder U.S. Dollar Money Fund, Schroder Umbrella Fund II</b>
<b>Issuer/Manager of the Funds</b>	Schroder Investment Management (Europe) S.A.	SIMHK
<b>Role and capacity SIMHK is acting with respect to sale of the Funds</b>	Distributor – SIMHK acts as the agent for the Manager.	Manager and distributor – SIMHK acts as the principal.
<b>Affiliation of SIMHK with the Managers of the Funds and whether SIMHK is an independent intermediary</b>	The Managers of the Funds are entities within the Schroders group. SIMHK is NOT an independent intermediary when distributing the Funds to you because SIMHK is part of the Schroders Group ("Schroders") and thus will benefit from the origination and distribution of the Funds.	
<b>Conditions under which an investor may receive a discount of fees and charges</b>	To determine whether a discount of fees and charges will be offered, the following criteria will be taken into consideration: size of the client's order, profit margin of the funds in question, the client's current asset under management and potential size of business with Schroders, the client's service requirements, overall relationship with Schroders and other criteria which SIMHK considers relevant.	

This document is dated June 2020.

<sup>1</sup> Names of the sub-funds (if any) within each of the Funds that are available to the public are available under [www.sfc.hk](http://www.sfc.hk).



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施羅德環球基金系列、施羅德組合投資基金、施羅德資本平穩基金、施羅德增長基金、施羅德平穩增長基金、施羅德金融市場基金、施羅德美元金融基金、施羅德傘型基金 II<sup>2</sup>

之

### 銷售相關資料

施羅德投資管理(香港)有限公司(「施羅德香港」)於香港銷售上述基金。本文件提供資料予在施羅德香港有限公司擁有一個或多個基金帳戶之人士。本文件向閣下提供有關上述基金的若干銷售相關資料，包括香港證券及期貨事務監察委員會《持牌人或註冊人操守準則》第 8.3A 節要求的資料。

	施羅德環球基金系列、施羅德另類投資方略	施羅德組合投資基金、施羅德資本平穩基金、施羅德增長基金、施羅德平穩增長基金、施羅德金融市場基金、施羅德美元金融基金、施羅德傘型基金 II
基金發行人/ 投資經理人	Schroder Investment Management (Europe) S.A.	施羅德香港
施羅德香港在向客戶分銷該等投資產品的角色與身份	分銷商 – 施羅德香港為投資經理人的代理人。	投資經理人和分銷商 – 施羅德香港為主事人。
施羅德香港與投資經理人的聯係及施羅德香港是否獨立中介人	上述基金的投資經理人均為施羅德集團的公司。施羅德香港在向客戶分銷該等投資產品時，由於其亦為施羅德集團的公司之一，施羅德香港將從基金的發行和銷售中得益，因此施羅德香港並非獨立的中介人。	
投資者獲得費用和收費折扣的細則	我們將考慮以下準則以決定會否提供費用和收費折扣：客戶下單的金額、相關基金的邊際利潤、客戶現時受施羅德集團管理的資產規模和潛在生意規模、客戶對服務之要求、客戶與施羅德集團的總體關係，和施羅德香港認為有關的其他準則。	

本文件日期為 2020 年 6 月。

<sup>2</sup> 閣下可於 [www.sfc.hk](http://www.sfc.hk) 查閱上述的基金的有關子基金(如有)的名稱。