

- This form is offered to the existing account holders only. Please read the important notes and the Terms and Conditions set out in the Account Application Form & Client Agreement on the Fidelity Hong Kong website, in particular the Risk Disclosure Statement contained therein, carefully before completing this form.
- **Please ✓ the appropriate box.** Dealing instructions could not be processed with unclear or incomplete instructions.
- Please return the completed form to **FIL Investment Management (Hong Kong) Limited**, Level 21, Two Pacific Place, 88 Queensway, Admiralty, Hong Kong or fax to (852) 2629 6088.
- 本表格只提供予現有客戶使用。請於填寫本表格前，小心細閱重要事項及列載於富達香港網站上的帳戶申請表格及客戶協議書內之條款與限制，包括風險披露聲明。
- 請在適當的空格填上 ✓ 號。如指示不清晰或不完整，本公司將不能執行交易指示。
- 請將填妥表格寄回富達基金（香港）有限公司，香港金鐘道88號太古廣場二座21樓，或傳真至(852) 2629 6088。

### 1. Account Information 帳戶資料

Account Holder's Name(s) 帳戶持有人姓名		ID Card/Passport No. 身份證/護照號碼
Account No. 帳戶號碼	Contact Tel. No. 聯絡電話 ( ) Country Code 國家編號	Fax No. 傳真 ( ) Country Code 國家編號

### 2. Switching Instruction 認購指示

- **You will be restricted from investing in certain funds with derivative exposures if you do not complete the Derivatives Knowledge Questionnaire (Form 1-B), also available online.**
- FIL Investment Management (Hong Kong) Limited or its affiliates will receive monetary benefit from third party product issuers for distributing third party funds. Please refer to the latest Disclosure of Transaction Related Information for details.
- Investment involves risk. Upon considering fixed income investment funds (including the high yield bond funds), the risk will involve credit risk, liquidity risk, interest rate risk or vulnerable to economic cycles. High yield bond funds are more volatile and subject to greater level of risks. Dividend from some bond funds may be paid out of capital and dividend rate is not guaranteed. Please refer to the relevant offering documents for further details including the risk factors.
- Upon receiving the client's order by fax or mail-in, Fidelity will conduct a suitability assessment comparing the product risk rating against the client's risk tolerance level (which is derived based on the information provided in the latest RAQ). If there is a mis-match, we will try to contact the client by phone. Fidelity will not process the order when a mismatch of risks occurs. If you have any questions concerning this process, please contact us.
- 如您未有完成衍生產品問卷（表格1-B），當您投資於某些使用衍生工具的基金時可能會受到限制；此問卷同時可在網上進行。
- 富達基金（香港）有限公司或其聯營公司在分銷第三者基金時可獲得報酬。詳情可參閱最新的「與交易相關的資料披露」文件。
- 投資涉及風險。投資於定息基金的價格（包括高息債券基金）將取決於市場利率、發行機構的信貸質素，流動性及經濟周期的轉變等因素。高息債券基金的波幅及風險較高。若干債券基金的股息可能從基金資本支出及股息率不獲保證。詳情請參閱有關基金說明書（包括風險因素）。
- 經由傳真或郵寄方式收到的客戶指示，富達會透過比較產品風險評級，與客戶的個人風險承受程度（根據最近的風險評估問卷所提供的資料）來進行適合性評估。如結果是不相符的話，我們將嘗試以電話與客戶聯絡。富達將不會執行產品風險與客戶的個人風險承受程度不相符的交易指示。如果您對這個程序有任何疑問，請與我們聯絡。

Sell 轉換賣出 Name of Provider & Fund & Share/Unit Class 公司及基金名稱及股份/單位類別	Amount or Shares/Units or % 金額 或 股份/單位 或 比率	Buy 轉換買入 Name of Provider & Fund & Share/Unit Class 公司及基金名稱及股份/單位類別
1.		1.
2.		2.
3.		3.
4.		4.
5.		5.
6.		6.

### 3. Concentration and Liquidity Risks Check 集中風險及流動性風險檢查

#### Concentration Risk

In general:

- Concentration risk can be reduced or minimised (but cannot be completely eliminated) through diversification of investment into different investment funds or into different asset classes.
- Investors should not invest more than 50% of their liquid assets (excluding self-use properties, emergency cash reserves, and other financial commitments) into a single fund.
- Special reminder note to the Monthly Investment Plan (the "MIP") investors: given the nature of the MIP, please note the gradual (and potential excessive) investment accumulation over time in any particular fund.

#### 集中風險

一般來說：

- 可透過分散投資於不同的投資基金或不同的資產類別，把集中風險減少或降至最低（但並非完全能消除）。
- 投資者不應投資超過其流動資產的50%（不包括自住物業、緊急現金儲備和其他財務承諾）於單一基金。
- 每月投資計劃的投資者須特別注意：鑑於此計劃的投資性質，請投資者留意隨著時間而逐步形成對任何特定基金累積（及潛在的）過度投資效應。

**PLEASE ONLY TICK THE BELOW IF THE FOLLOWING IS APPLICABLE TO YOU.**

- I/We declare that each fund subscribed (including current holdings and/or future investment through the MIP in the same fund at Fidelity) is equal to or less than 50% of my/our **liquid assets**.

請僅在以下條件適用於您的情況下，方在格內填上（✓）號。

- 本人/吾等聲明所認購的（單一）基金（包括目前在富達持有及/或未來經每月投資計劃投資的相同基金）等或少於本人/吾等**流動資產**的50%。

#### Liquidity Risk

In general:

- The product(s) to be subscribed is/are an investment fund(s) with no guarantee that it will return the original amount invested.
- Please take into account all your actual circumstances including your liquidity/cash flow needs at the time of making your investment decisions.
- The longer the investment horizon, the more you can ride out the ups and downs of the market.

#### 流動性風險

一般來說：

- 被認購的產品屬於投資基金項目，因此不保證能取回原本的投資額。
- 在作出您的投資決定時，請考慮您當時的所有實際情況，包括您的流動性/現金流需求。
- 投資年期愈長，愈能抵禦市場升跌。

**PLEASE ONLY TICK THE BELOW IF THE FOLLOWING IS APPLICABLE TO YOU.**

- I/We confirm that I/we have no plan to use the money invested in this investment within the next 12 months.

請僅在以下條件適用於您的情況下，方在格內填上（✓）號。

- 本人/吾等確定本人/吾等在未來12個月內未有計劃使用這筆投資。

#### Important Remarks

We wish to draw your attention to give due consideration to your risk exposure to other existing investments held outside Fidelity and your concentration risk of investments, including the ability to bear higher potential losses resulting from higher concentration risks when making your investment decisions. Another important factor you shall take into consideration when making your investment decisions is your cash flow/liquidity circumstances which may affect your ability to take on the volatility risk (including risk of capital loss) which may arise out of investments in mutual fund products. Fidelity reserves the final decision to not process any risk mismatch orders having regard to the information provided by the client.

#### 重要事項

我們希望您注意並充分考慮您現有在富達以外的投資所面對的風險，與涉及您投資的集中風險，包括當您作出投資決定時，您對於由較高的集中性風險而引致令您蒙受更重大的潛在損失的承受能力。另一個當您作出投資決定時應考慮的重要因素是您的現金流/流動性狀況，由於投資於互惠基金而可能出現的波幅風險（包括資本虧損風險），這或會影響您的承受能力。富達保留最終決定權，就考慮客戶所提供的資料，不會處理任何產品風險與客戶的個人風險承受程度不相符的交易指示。

#### 4. Declaration and Signature(s) 聲明及簽署

I/We have read and understood the information in relation to the relevant funds in the latest Offering Documents for the funds distributed by Fidelity from time to time (where applicable) ("Relevant Offering Documents"), Product Key Facts, the Terms and Conditions set out in the Application Form & Client Agreement on the Fidelity Hong Kong website (including the Risk Disclosure Statement contained therein), and the Disclosure of Transaction Related Information, and agree to be bound by the terms and conditions contained therein, and subject to the provisions of the Relevant Offering Documents as may be amended from time to time. I/We have also been invited to ask questions and take independent advice in respect of any questions I/we may have.

Although Fidelity may provide investment recommendation(s) or make solicitation to myself/us that are purely incidental to the distribution of funds from time to time, I/we acknowledge that I/we will make my/our own judgment with respect to all my/our dealing transactions in connection with any/all funds distributed by Fidelity after considering the nature, features and risks associated with products and services provided by Fidelity and having consulted our own professional advisors as I/we consider necessary. I/We further acknowledge that the investment decision(s) detailed in this form and in any subsequent orders for the funds distributed by Fidelity from time to time I/we place with Fidelity, are my/our own judgment. Notwithstanding the aforementioned, if Fidelity solicits the sale of or recommends any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of this form or any other document Fidelity may ask me/us to sign and no statement Fidelity may ask me/us to make derogates from this clause. For the purpose of this clause, "financial product" means any securities or futures contracts as defined under the Securities and Futures Ordinance.

本人/吾等已閱讀並了解不時經富達分銷的基金之最新基金說明書（如適用）（「有關基金說明書」）所載之相關基金的資料、產品資料概要、列載於富達香港網頁上的帳戶申請表格及客戶協議書內之條款與限制（包括風險披露聲明）及「與交易相關的資料披露」文件，並同意接受該等文件中所載之條款與限制，及受有關基金說明書於日後不時作出的修訂或修改所約束。本人/吾等亦已獲邀請提出問題，以及就本人/吾等可能存有的任何問題尋求獨立意見。

雖然富達可能會在純屬附帶於其基金分銷的情況下，不時向本人/吾等提供投資建議或作出招攬行為，但本人/吾等確認，就與富達分銷的任何/所有基金有關的所有交易而言，本人/吾等經考慮富達所提供的產品及服務的性質、特點和相關風險，並已於本人/吾等認為有需要的情況下諮詢個人專業顧問的意見後，將會自行作出判斷。本人/吾等進一步確認詳列於本表格及其後由本人/吾等就不時經富達分銷的基金而向富達作出的任何指示內的投資決定，均由本人/吾等自行判斷作出。儘管有上述規定，若富達向本人/吾等招攬銷售或建議任何金融產品，該金融產品必須是富達經考慮本人/吾等的財政狀況、投資經驗及投資目標後認為合理地適合本人/吾等的產品。申請表格的其他條文、本條款或富達可能要求本人/吾等簽署的任何其他文件及富達可能要求本人/吾等作出的任何聲明概不會減損此條款的效力。就此條款而言，「金融產品」指《證券及期貨條例》所界定的任何證券或期貨合約。

For a joint holders account without a Joint Holders Special Authorisation, all account holders should co-sign this form.

如該聯名帳戶未有建立「聯名持有人特別授權」，所有帳戶持有人必須簽署此表格。

Date 日期 (D日/M月/Y年) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Signature 簽署：

**X** \_\_\_\_\_ **X** \_\_\_\_\_ **X** \_\_\_\_\_ **X** \_\_\_\_\_  
(1st Holder 第一持有人) (2nd Holder 第二持有人) (3rd Holder 第三持有人) (4th Holder 第四持有人)

TRANSFER/201812

## 5. Switching Details 轉換詳情

Dealing instructions received with cleared monies by 5:00pm (Hong Kong time) on any valuation day will normally be executed on the same day provided all other conditions specified by Fidelity are satisfied. Instructions received after such cut off time will be executed on the following valuation day. The sale of the Fund you are switching out of is valued on the same day that your switching instructions are received before the cut off time. The subscription of the Fund you are switching into is valued according to the following schedule. Exceptions: the dealing cut off time of the funds offered by First State and BlackRock is 2:00pm (Hong Kong time).

For switching instructions(s) involving other Funds not mentioned below, you may call our Fidelity Investor Hotline to understand the switching schedule. A contract note confirming full switching details will normally be issued and sent out within 24 hours of the dealing date.

一般而言，交易截止時間為下午五時正（香港時間）；所有於估值日的截止時間前所收到的交易指示，在符合富達所有其他指定之條件下會於當天辦理，於截止時間後收到的指示將順延至下一個估值日執行。交易截止時間前收妥的轉換賣出基金之交易指示將會於當日進行，買入基金之交易則會根據上列程序進行。例外：投資於首域及貝萊德的基金產品，交易截止時間為下午二時正（香港時間）。

如您轉換的是以上未有提及的其他基金，您可致電富達投資熱線以了解有關轉換程序及時間。詳列有關轉換基金的成交單據一般於交易日後二十四小時內寄出。

	Buy 買入	Fidelity Funds (excluding Cash Funds) 富達基金（不包括現金基金）	Fidelity Funds - Cash Funds 富達基金 - 現金基金
Sell 賣出			
Fidelity Funds (excluding Cash Funds) 富達基金（不包括現金基金）		Same day that instructions are received before the cut off time	1 valuation day after instructions are received 接獲指示之下一個估值日進行
Fidelity Funds - Cash Funds 富達基金 - 現金基金		於交易截止時間前收妥指示之當日進行	Same day that instructions are received before the cut off time 於交易截止時間前收妥指示之當日進行

## 6. Fees & Charges 服務收費

Fidelity SmartFund Account ("SmartFund") (Including Lump Sum Transaction and Monthly Investment Plan)		富達SmartFund帳戶（「SmartFund」） (包括整筆投資交易及每月定期投資計劃)	
Monthly account fee (asset balance based) 帳戶月費（以資產結存計算）			
SmartFund average holding balance (USD) SmartFund 帳戶平均結餘額（美金）	Monthly account fee (p.a.) <sup>^</sup> 帳戶月費（年率） <sup>^</sup>		
	Cash funds 現金基金	Bond, equity and other funds 債券、股票及其他基金	
\$1,000,000 or above 或以上	0%	0.30%	
\$500,000 - below \$1,000,000 以下	0%	0.50%	
\$250,000 - below \$500,000 以下	0%	0.60%	
\$100,000 - below \$250,000 以下	0%	0.75%	
\$50,000 - below \$100,000 以下	0%	1.00%	
Below \$50,000 以下	0%	1.50%	

<sup>^</sup> The monthly account fee is calculated based on the average daily holding balance of open-end funds (Bond, Equity and other funds (no cash funds)) and has no minimum charge.

- Sales charge and switching fee are waived for subscription or switching using the SmartFund. You are still subject to other charges including but not limited to management fee, redemption charge and performance fee as prescribed in respective Relevant Offering Documents. Minimum initial investment and additional lump sum investments in any Funds are also still applicable as specified in the Relevant Offering Documents.
- Monthly account fee will start to accrue from the date when holdings in one or more funds (each a 'Relevant Fund') are first recorded in the SmartFund.
- Monthly account fee is calculated based on the average daily holding balance of Relevant Fund(s) during the charging period and the Tiered Rate corresponding to each asset class under the same SmartFund. Details of the pricing model and calculation method are specified on the SmartFund leaflet and Fidelity Website. The monthly account fee is calculated in US dollar and charged in Hong Kong dollar at the prevailing exchange rate as of the date of calculation. Fidelity shall be entitled to prescribe fees and charges payable in connection with the Fidelity SmartFund Account from time to time, subject to at least 30 days prior notice for any variation of such fees and charges prescribed by Fidelity which may be given by such means as Fidelity thinks fit. Such fees and charges shall be binding if you continue to maintain the Fidelity SmartFund Account after the effective date thereof.
- The monthly account fee is normally collected on the 15th calendar day (or the next available business day) of each calendar month and on a full-month basis. If the date from when holdings are first recorded does not cover a full month, the monthly account fee for that month will be charged in the following month. Details of the monthly account fee can be found in the monthly invoice for your SmartFund.

<sup>^</sup> 帳戶月費用根據開放式基金（債券、股票及其他基金（不包括現金基金））的每日平均結餘額計算，並未有最低收費。

- 以SmartFund認購或轉換基金，有關的認購費或轉換費可獲豁免。您仍須繳付包括但不限於管理費、贖回費及表現費等於個別有關基金說明書中列明的其他費用。對基金作出的最低首次投資額及任何額外的整筆投資指示，均載於有關基金說明書。
- 帳戶月費會於SmartFund首次錄得基金結存（每一「有關基金」）的當日開始計算。
- 帳戶月費是以同一個SmartFund內的有關基金於收費期的每日平均結餘額及相對每資產類別存的分層收費率計算。收費模式及計算方法詳列於SmartFund傳單及富達網站。帳戶月費是以美元計算；並以收款該日的主要兌換率換算成的港元等值收費。富達有權不時就任何有關SmartFund釐訂收費，於任何更改收費的生效日期前30天，以富達認為是合理的途徑向客戶發出通知。如您於生效日期以後仍繼續使用SmartFund，該收費應對您具有約束力。
- 帳戶月費一般是以整月於每曆月的第十五個曆日（或順延至下一個營業日）徵收。若由首次錄得基金結存的當天開始計算的月份並非一個整月，該月的帳戶月費將於下一個月收取。您可從月結單內查閱有關您SmartFund的帳戶月費詳情。

6. Fees & Charges (Cont.) 服務收費 (續)

Standard Account 一般基金帳戶					
Lump Sum Transaction 整筆投資交易					
Total investment balance at account opening (USD)* 開戶時的投資總額 (美金) *	Individual transaction sales charge 每宗交易認購費			Individual transaction switching fee 每宗交易轉換費	
	Cash funds 現金基金	Bond funds 債券基金	Equity and other funds 股票及其他基金	Cash funds 現金基金	Bond, equity and other funds 債券、股票及其他基金
\$1,000,000 or above 或以上	0%	0.30%	0.60%	0%	0.10%
\$500,000 - below \$1,000,000 以下	0%	0.45%	0.90%	0%	0.15%
\$250,000 - below \$500,000 以下	0%	0.60%	1.20%	0%	0.20%
\$100,000 - below \$250,000 以下	0%	0.75%	1.50%	0%	0.25%
\$50,000 - below \$100,000 以下	0%	1.05%	2.10%	0%	0.35%
Below \$50,000 以下	0%	1.50%	3.00%	0%	0.50%

\* The charge rate table above includes only sales charge and switching fee for investment in Fidelity Funds class A shares and third party funds distributed by Fidelity. For other fees & charges, please refer to the relevant offering documents. The table and related terms apply to accounts opened after 1 July 2015. For accounts opened on or prior to 1 July 2015, different fees & charges may apply. The charge rate applicable to your Fidelity Personal Investing Account is set based on your total investment balance with us (generally excluding Fidelity SmartFund Accounts, MPF or pension scheme contribution invested) when you opened your account. Although the applicable charge rate would not adjust automatically as your total investment balance changes over time, we reserve the right to review and adjust the rate if the minimum investment balance for your tier rate is not maintained (irrespective of whether such changes is a result of market movements or redemptions) with prior notice. If you maintain a higher investment balance and would like to enjoy a more preferential rate, please contact us for an account review of your tier rate. Please call the Fidelity Investor Hotline on (852) 2629 2629 if you have any questions.

\* 以上收費率表只包括富達基金A類別股份及富達分銷的第三者基金的認購及轉換費率，有關其他費用及收費，請參閱有關的基金說明書。本收費表及其有關的條款只適用於2015年7月1日以後所開立的帳戶。2015年7月1日或以前所開立的帳戶，收費可能有別於以上收費表。適用於您的富達個人投資帳戶的收費率是根據您在富達開立帳戶時的投資總額(通常不包括於富達SmartFund帳戶的投資、富達強積金或公積金計劃的供款總額)而設定。雖然其後您的投資總額會隨著時間有所變動，有關之收費率不會因而自動調整。但如您不能維持所屬的分層類別的最低投資額(不論變動是否由於市場走勢或贖回所致)，我們保留審查及在事先通知您的情況下調整收費率的權利。若您能維持一個較高的投資額及希望享受更優惠的收費率，請聯絡我們進行複查您帳戶所屬的分層類別。若您有任何問題，請致電富達投資熱線 (852) 2629 2629查詢。