



# INVESCO SELECT RETIREMENT FUND - SAVINGS CLASS

## 景順特選退休基金 - 儲蓄類別

### APPLICATION & SUBSCRIPTION FORM 申請及認購表格

- It is recommended that you read the Offering Document before completing this Form. 建議閣下在填寫此表格前應先閱讀銷售文件。
- You should note that investment markets could fluctuate significantly. Fund prices may go down as well as up. There is no guarantee that, given the time required to implement such application, such instructions will achieve your desired results. Please carefully consider your own risk tolerance level and financial circumstances (as well as your own retirement plan) before making any investment choices. If in doubt, please contact your independent financial advisor for further details. 閣下必須注意投資市場可能出現顯著的波動，基金單位價格可跌可升。由於處理有關申請需要一定的時間，因此未必能夠保證達到您預期的結果。在作出投資選擇前，您必須小心衡量個人可承受風險的程度及財政狀況（包括您的退休計劃）。如有任何疑問，請諮詢您的獨立財務顧問了解更多詳情。
- Please use blue or black ball pen and complete this Form in BLOCK LETTERS. 請以藍色或黑色原子筆及正楷填寫此表格。
- All amendments should be signed. 如有任何刪改，必須在旁加簽。

#### Section 1 - Details of Subscriber(s) 第 1 部份 - 認購人詳情

##### A. Individual/Joint Holders 個人/聯名客戶

	Surname* 姓*	First Name* 名*	HKID Card / Passport Number 香港身份證/護照號碼	Nationality 國籍
Individual Account / First Account Holder 個人帳戶 / 第一位帳戶持有人 (Mr.先生/Ms.女士/Mrs.太太)				
Joint Account Holders 聯名帳戶持有人(Mr.先生/Ms.女士/Mrs.太太)				

\* Must be identical to HKID Card / Passport 必須與香港身份證/護照相同

##### B. Corporation 公司客戶

Company Name 公司名稱	
Residential Address 住址 / Registered Address 註冊地址	
Contact Number 聯絡電話號碼	Mobile Phone Number 手提電話號碼
Email Address 電郵地址	Fax Number 傳真號碼

If you are an existing unitholder of Invesco Select Retirement Fund - Savings Class\*, please quote your account number in the box below.  
閣下如屬景順特選退休基金 - 儲蓄類別的現有單位持有人\*，請於下列空格填上閣下的帳戶號碼。

Existing account number 現有帳戶號碼

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\*Not including employees who invest through ORSO schemes. 並不包括透過職業退休計劃投資的僱員。

#### Section 2 - Subscription Details 第 2 部份 - 認購詳情

- Type of Subscription:  Lump-sum Subscription (Note 1) 定額認購 (附註 1)  
 Monthly Savings Plan (Note 2) 月供儲蓄計劃 (附註 2)

Name of Sub-Funds 附屬基金名稱	Currency 貨幣	Amount 款額	or 或	Number of Units 單位數目	or 或	% of Total Amount 佔總額百分比
Strategic Growth Fund 策略增長基金						
Growth Fund 增長基金						
Balanced Fund 平衡基金						
Stable Growth Fund 平穩增長基金						
Capital Stable Fund 資本穩定基金						
Global Bond Fund 環球債券基金						
HK\$ Money Market Fund 港元貨幣市場基金						
<b>Total Amount 總額</b>						<b>100%</b>

Note 1: Lump-sum subscriptions are subject to an initial minimum lump-sum investment of HK\$100,000 or its equivalent in US\$.

附註 1: 定額認購的首次最低定額投資額為 100,000 港元或其等值美元。

Note 2: Monthly Savings Plan must be established for at least 2 years with a fixed monthly subscription of at least HK\$5,000.

附註 2: 月供儲蓄計劃必須維持最少兩年，而每月固定認購額最少為 5,000 港元。

### Section 3 – Risk Profile Questionnaire & Suitability Assessment 第 3 部份 – 風險取向問卷及適合性評估

Please answer the Question 1 to Question 5 below. Please also complete a separate Risk Profile Questionnaire if you have not completed this previously. For the joint holders account, please complete the questionnaire by each of the joint account holders. Your latest Risk Profile Questionnaire will be provided to you upon request. 請回答以下問題 1 至問題 5。並請另外完成「風險取向問卷」。如閣下之前未曾完成該問卷。若屬聯名賬戶，每位賬戶持有人須各自回答以下問題及填寫一份「風險取向問卷」。閣下可要求查閱閣下於最近期所遞交之「風險取向問卷」。

		Account Holder 賬戶持有人		Second Account Holders 第二位賬戶持有人	
		YES 是	NO 否	YES 是	NO 否
1.	The maximum capital loss of that I am/we are willing to take during a year is over 30%. 本人/吾等於一年內能承受最高 30% 以上的資金損失。	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	I am/We are willing to accept substantial risk and potential loss of principal in pursuit of higher returns. 本人/吾等願意承受高風險和潛在的重大資金損失，以追求更高的潛在回報。	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	I/We plan to invest less than 10% of my/our total net worth (excluding own used property and property investments) in Invesco Funds for this subscription. 本人/吾等打算將本人/吾等總資產的 10% 或以下百分比(不包括自住物業及物業投資)投資在是次認購景順之基金上。	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Excluding my/our current investment portfolio, I/we can cover my/our major expenses with my/our liquid assets for 2 years or more. 撇除本人/吾等現時的投資組合，本人/吾等手頭上的流動資金能維持 2 年或以上的日常主要開支。	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	I/We expect to hold my/our investment for more than 10 years. 本人/吾等預期的投資年期為 10 年以上。	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Unless an exemption is applicable under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission: 除非獲得《證券及期貨事務監察委員會持牌人或註冊人操守準則》適用的豁免：

Invesco will conduct a Suitability Assessment comparing the product risk rating against your risk tolerance level (which is derived from the latest Risk Profile Questionnaire you submitted and your answers to Question 1 to Questions 5 above). If there is a match, we will process the order and subject to the terms and conditions of the latest Offering Document. However, if there is a mis-match, Invesco will not process the order when a mismatch of risks occurs unless we are able to reach you to understand your investment rationale and receive confirmation. 景順會透過比較產品風險評級與閣下的風險承受程度(根據閣下所遞交最近的「風險取向問卷」及閣下於以上問題 1 至問題 5 之答案)來進行適合性評估。如結果是相符，我們會繼續執行有關交易指示及受制於有關基金銷售文件的條款。然而，如結果是不相符的話，景順將不會執行產品風險評級與閣下的風險承受程度不相符的交易指示，除非我們能夠在交易前與閣下聯絡並了解閣下的投資意向及確認指示。

If Invesco solicits the sale of or recommends any financial product to you, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this form or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause. 假如景順向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本表格的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

Note 註：

“Financial product” means any securities, futures contracts or leveraged foreign exchange contracts as defined under the Securities and Futures Ordinance. Regarding “leveraged foreign exchange contracts”, it is only applicable to those traded by persons licensed for Type 3 regulated activity. “金融產品”指《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。就“槓桿式外匯交易合約”而言，其只適用於由獲得發牌經營第 3 類受規管活動的人所買賣的該等槓桿式外匯交易合約。

### Section 4 – Method of Payment 第 4 部份 – 付款辦法

Payments will not be accepted from third parties. 由第三方支付之款項概不接受。

(a) For Lump-sum Subscription 定額認購：

1.  Cheque 支票  Bank draft 銀行本票  Intl. Money Order 國際郵政匯票

All cheques, bank drafts and money orders should be made payable to “Bank Consortium Trust Company Limited as Trustee of Invesco Select Retirement Fund” and crossed “A/C Payee Only, not negotiable” and sent to Hong Kong Fund Services, Invesco Hong Kong Limited at 41/F, Champion Tower, Three Garden Road, Central, Hong Kong. Please quote your full name and account number as reference.

所有支票、銀行本票及郵政匯票均應以「Bank Consortium Trust Company Limited as Trustee of Invesco Select Retirement Fund」為收款人，以「只准入收款人賬戶，不得轉讓」劃線方式開出，並寄往 景順投資管理有限公司 香港基金服務，地址為香港中環花園道三號冠君大廈四十一樓。請列明閣下的姓名及賬戶號碼作參考。

2.  Telegraphic Transfer (“TT”) 電匯

Please transfer the payments to 請電匯致：

(i) In Hong Kong Dollar (HKD) 港元

Bank Name 銀行名稱 : Citibank, N.A. Hong Kong  
 SWIFT Code 代碼 : CITIHKHX  
 A/C Name 賬戶名稱 : Bank Consortium Trust Company Limited as Trustee of Invesco Select Retirement Fund  
 A/C No. 賬戶號碼 : 006-391-61086576  
 Ref 參考編號 : \_\_\_\_\_ \*

(ii) In US Dollar (USD) 美元

Bank Name 銀行名稱 : Citibank N.A. Hong Kong  
 SWIFT Code 代碼 : CITIHKHX  
 A/C Name 賬戶名稱 : Bank Consortium Trust Company Limited as Trustee of Invesco Select Retirement Fund  
 A/C No. 賬戶號碼 : 006-391-61086584  
 Correspondent Bank 代理銀行 : Citibank, N.A. New York  
 Correspondent Bank SWIFT Code 代碼 : CITIUS33  
 Correspondent Bank A/C No. 代理銀行賬戶號碼 : 10990845  
 Ref 參考編號 : \_\_\_\_\_ \*

\* Please quote your full name and your account number as reference. 請列明閣下的姓名及賬戶號碼作參考。

## (b) For Monthly Savings Plan 月儲蓄計劃:

Subscription through the Monthly Savings Plan are made in HK Dollars through a standing order. Please complete the Direct Debit Authorization Form. Monthly subscriptions will be debited from your bank account on the first Monday of every month (or next business day if Monday is a holiday). Units will be issued on the following Wednesday (or next business day if Wednesday is a public holiday) after receipt of cleared funds. 透過月儲蓄計劃認購單位乃以常行指令方式以港元進行認購。請填妥直接付款授權書，月供款項將於每月第一個星期一(倘星期一為假期，則於下一個營業日)自閣下的銀行帳戶扣除，單位將於收到已結算款項後的下一個星期三(倘星期三為假期，則於下一個營業日)發行。

Note 3: Subscription of HK\$ Money Market Fund will be made after subscription monies have been cleared.

附註 3: 港元貨幣市場基金之認購申請，將會在認購款項結算後才進行。

## Section 5 - Documentation Required 第 5 部份 - 所需文件

Please ensure that you include all anti-money laundering and counter-terrorist financing documentation applicable to each applicant. Failure to correctly complete all relevant sections of this form and/or failure to provide the correct anti-money laundering and counter-terrorist financing documentation may result in the rejection of or delay in processing your application and/or the suspension of holdings/payments until the requisite identity documentation is received and is to the satisfaction of the Manager and/or the Trustee. 請附上適用於每位申請人的全部防止洗黑錢及反恐怖份子集資活動文件。倘閣下未能正確填寫本表格所有相關部份及/或未能提供正確的防止洗黑錢及反恐怖份子集資活動文件，或會導致申請被拒或延遲處理及/或持股/付款被凍結，直至閣下遞交所需之證明文件，並符合基金經理及/或受託人的規定為止。

All Applicants must provide the original or certified true copies<sup>1</sup> of the relevant documentation below.

所有申請人必須提供以下相關文件的正本或核證副本<sup>1</sup>。

### For Individual/Joint Holders 個人/聯名客戶:

1. Hong Kong Permanent Identity Card or Hong Kong Identity Card with valid Passport. 香港永久性居民身份證或香港居民身份證及其有效護照。
2. Proof of Residential Address (e.g. utility bills or bank statements, bearing full name and residential address, no older than 3 months) of each Holder. 每位客戶之居住地址證明(例如最近三個月附有全名及居住地址之電話費、水費、電費單或銀行月結單等)。

### For Corporation 公司客戶:

1. Memorandum & Articles of Associations, Certificate of Incorporation. 備忘錄及公司組織章程、公司註冊證書。
2. List of Directors and company secretaries including the proof of directors' identity and address details. 董事及公司秘書名單，包括董事之身份及地址詳情證明。
3. Authorised Signatory List. If not same as director list, please provide the proof of their identity and address details. 獲授權簽署人名單。如與董事名單不同，請提供該等人士之身份及居住地址詳情證明。
4. List of shareholders owning 10% or more of the issued share capital of the Corporation including names and address for each shareholder. 擁有 10% 或以上已發行股東資金之股東名單，包括每位股東之姓名及地址。
5. Full Company Search Report or a certificate of incumbency (This should be issued within last 6 months). 公司查冊報告或職權證明書(必須於過去六個月內簽發)。

<sup>1</sup> Certified true copies of the original documents should be independently certified by a practising Solicitor/Attorney, Notary Public, or Regulated Financial Institution. Copies must be marked "true copy of the original document" and must be stamped, signed and dated by the certifying party. 正本文件的核證副本應由執業律師/法定代理人、公證人或受監管金融機構獨立核證。副本必須附有「此為正本文件的真實副本」字樣，並由核證者蓋印、簽署及寫上日期。

### Forms Required 所需表格:

1. Application & Subscription Form 申請及認購表格
2. Individual Self-Certification for FATCA and CRS\* 《外國賬戶稅收遵從法》及《共同匯報標準》個人自行證明\*
3. Risk Profile Questionnaire 風險取向問卷

\* For Corporation company, please submit the Self-Certification of FATCA and CRS for Legal Entity.

\*如是公司客戶，請提交法律實體《外國賬戶稅收遵從法》及《共同匯報標準》自行證明

### Important Note 重要資料:

The Trustees and/or the Manager reserves the right to request additional documentation and to apply such Client Due Diligence measures as may be reasonably warranted in its sole opinion, from time to time, for the purpose adherence to Anti-Money Laundering and Counter-Terrorist Financing laws and regulations, in any relevant jurisdiction. Information required pursuant to tax legislation which might be applicable because the country of domicile, residence or citizenship may also be required. 為遵守任何有關適用司法管轄區的防止洗黑錢及反恐怖份子集資活動法律及法規，信託人及/或基金經理有權要求閣下遞交額外的文件，並會基於其單獨意見，不時向客戶進行合理的盡職查證措施。或須提供基於戶籍、居留權或公民權所屬國家而可能適用的稅務法例所需的資料。

## Section 6 - Authorization and Declaration 第 6 部份 - 授權及聲明

1. I/We understand that this application is made on the basis of, and subject to, the current prospectus and the constitutive documents of the Invesco Select Retirement Fund. I am/we are applying for and confirm that I/we have read the prospectus and reports of the Fund prior to making this application. 本人/吾等明白此項申請乃根據景順特選退休基金的現行基金章程及組織文件而作出，並受其規限。本人/吾等現提出申請，並確認本人/吾等在提出此項申請前已閱讀基金的章程及報告。
2. I/We agree to accept units of the number or to the value applied for or such smaller number or value as may be issued and request that such units be issued in the name(s) referred to in Section 1. 本人/吾等同意接納所申請數目或價值或所獲發行而數目或價值較少的單位，並要求以第 1 部分所述名義發行該等單位。
3. I/We declare that I am/we are over 18. 本人/吾等聲明本人/吾等已超過 18 歲。
4. I/We undertake that if payment is being made by cheque, the cheque will be met on first presentation. 本人/吾等承諾如以支票付款，支票將於首次提交過戶時兌現。
5. I/We declare that I am/we are not a US person as defined in the current prospectus and that I am/we are not applying as the nominee or agent of a US person. 本人/吾等聲明本人/吾等並非美國人(定義見現行基金章程)，而本人/吾等亦非以美國人之代名人或代理人的身份而提出申請。
6. The person(s), if any, signing on behalf of an investor represent(s) and warrant(s) that they are duly authorized to sign this application form and to subscribe for units of this fund. 任何人士如代表投資者簽署，即表示及保證其已獲正式授權簽署本申請表格及認購本基金的單位。
7. I/We understand that all income and gains of each Sub-Fund will be accumulated and no dividends or distributions will be made out of the assets of any Sub-Fund. 本人/吾等明白每項附屬基金的一切收入及溢利將予累積，任何附屬基金均不會自其資產中撥付股息或分派。
8. I/We acknowledge that (a) this application form is a written contract and is irrevocable once despatched; (b) the Manager reserves the right to reject any application for units in its absolute discretion; and (c) any application monies received for a rejected application will be returned, to the applicant without interest and at the applicant's risk. 本人/吾等承認(a)本申請表格為一書面合約，一經發送即不得撤回；(b)基金經理保留權利，可全權拒絕受理任何單位的申請；及(c)申請如被拒絕受理，已收取的申請款項將不計利息退還申請人，風險概由申請人承擔。
9. I/We agree to provide evidence to prove my/our identity for compliance with the relevant Anti-money Laundering Regulations. I/We understand, a copy of passport or national ID card (for individual)/a certified true copy of Certificate of Incorporation (for corporation and institution), is required; and in case the Manager does not receive evidence to its satisfaction, the Manager may request for further information. I/We understand that the transactions shall not proceed until such information is received by the Manager. 為遵守有關防止洗黑錢的規例，本人/吾等同意提供證據以證明本人/吾等之身份。本人/吾等明白須提供護照或國民身份證副本(如屬個人)/公司註冊證書的核證副本(如屬法團及機構)；如果基金經理未能接獲令其滿意的證據，則可要求進一步資料。本人/吾等明白在基金經理收到該等資料之前，有關交易將不會繼續進行。

10. I/We hereby acknowledge that the Trustee and/or the Manager may disclose information in connection with my participation in the Fund to any person to whom information is required or requested to be disclosed by any tax authority or other governmental agency, to enable the Trustee and/or the Manager to comply with any applicable law or regulation. 本人/吾等謹此確認，信託人及/或基金經理可按任何稅務當局或其他政府機構規定或要求向任何人士披露有關本人參與本基金的資料，使信託人及/或基金經理能遵守任何適用法律或規例。
11. I/We confirm that the above authorizations will remain in effect until revoked in writing, with such revocations being received by the Manager. 本人/吾等確認上述授權將一直有效，直至基金經理接獲通知以書面方式撤回為止。
12. I/We hereby hold harmless, the Manager, Trustee, Custodian, Registrar and Sale and Redemption agents of the Invesco Select Retirement Fund, in relation to any losses or expenses incurred as a result of any of them acting pursuant to the above considerations. 本人/吾等茲保證景順特選退休基金的基金經理、信託人、保管人、過戶登記處及銷售與贖回代理人均毋須因彼等任何一方依據上述考慮因素所招致的任何損失或費用而蒙受損失。
13. I/We confirm that the information provided in this Form is accurate and complete. I/We authorize the Trustee to confirm this from any source the Trustee may choose. 本人/吾等確定在此表格上填寫的資料均屬正確無訛，並無缺漏。本人/吾等授權信託人用任何渠道確實資料的真實。
14. I/We also confirm that the information provided in the Self-Certification for FATCA and CRS along with this Form is accurate and complete. 本人/吾等並確定在隨附《外國戶稅收遵從法》及《共同匯報標準》自行證明上填寫的資料，均屬正確無訛，並無缺漏。
15. I/We understand that the Trustee may not be able to process this application if I/we fail to provide any information requested in this Form. 本人/吾等明白倘若本人/吾等未能提供本表格所需的資料，信託人將可能無法處理有關申請。
16. Personal Information Collection Statement 收集個人資料聲明

I/We agree that 本人/吾等同意：

- (i) Information supplied on the Form and otherwise in connection with my/our subscription in the Fund may be held by the Trustee and/or the Manager will be used for the purposes of processing and administering my/our subscription in the Fund, and may also be used for the purpose of carrying out my/our instructions or responding to any enquiry purporting to be given by me/us or on my/our behalf, dealing with any other matters relating to my/our subscription in the Fund (including, where applicable, the mailing of reports or notices), forming part of the records of the recipient as to the business carried on by it, observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure or notification requirements to which any recipient of the data is subject). The Manager intends to use my/our personal data (name, telephone number, fax number, email address, correspondence address, investment records) for direct marketing of retirement scheme related products or services but the Manager cannot so use my/our personal data without my/our consent<sup>1</sup>. All such information may be retained after I/we have ceased to subscribe/hold the Fund. Under the Personal Data (Privacy) Ordinance<sup>2</sup>, I/We have the right to obtain a copy of information held about myself/ourselves and for which I/we may be charged a fee. 信託人及/或基金經理可保留本表格所載資料及其他有關認購本基金的資料，以作為處理及管理本人/吾等認購本基金之用；同時亦可用作執行本人/吾等的指示或答覆本人/吾等或以本人/吾等名義作出的查詢；或其他有關認購本基金之事項(包括，如適用，郵寄報告或通告)；此等資料將構成資料接收人業務之部份記錄；以進行任何有關適用司法管轄區的法律、政府或監管規定(包括任何資料接收人需遵守的披露或通知的規定)。基金經理有意使用本人/吾等之個人資料(姓名，電話號碼，傳真號碼，電郵地址，通訊地址，投資紀錄)用作直接推廣有關退休計劃產品或服務；然而基金經理除非得到本人/吾等同意不能如此使用本人/吾等的個人資料<sup>1</sup>。在本人/吾等停止認購/繼續持有本基金後，信託人及/或基金經理仍可保留上述所有資料。根據個人資料(私隱)條例<sup>2</sup>，本人/吾等有權在支付費用的情況下，索取一份有關本人/吾等個人資料的副本。

<sup>1</sup> Please note that by signing this Form, you expressly agree to the use of your personal data for direct marketing purposes as mentioned herein. The Manager will cease using the personal data upon your written or verbal request. 一經簽署本表格，閣下即明確表示同意基金經理為直接市場推廣目的而使用閣下的個人資料。倘接獲閣下之書面或口頭要求，基金經理將會停止使用閣下的個人資料。

If you do not wish your information to be made available for the dispatch of information on retirement scheme related products or services to you from the Manager, please  the box.  如閣下不欲將資料提供給基金經理，以用作向閣下發放有關退休計劃產品或服務資料，請在方格內加上號。

<sup>2</sup> You are entitled under the Personal Data (Privacy) Ordinance to be informed by Invesco whether it holds Personal Data about you and to request access to and/or correction of any such Personal Data. Any such request may be made to Data Protection Officer, c/o Head of Compliance, Greater China, Invesco Hong Kong Limited, 41/F, Champion Tower, Three Garden Road, Central, Hong Kong. 按個人資料(私隱)條例，閣下有權要求景順提供是否持有閣下的個人資料，或要求接觸和/或更改任何個人資料。此類要求，可向資料保障主任轉交大中華區監察總監作出書面查詢。請郵寄至香港中環花園道三號冠君大廈四十一樓，景順投資管理有限公司收。

- (ii) The Trustee and/or the Manager may disclose and transfer such information to the auditors of the Fund and the Manager, including any of their employees, officers, directors and agents and/or to the ultimate holding company of the Manager and the Trustee and/or their subsidiaries and/or affiliates or to any third party employed to provide administrative, computer or other services or facilities to any person to whom data is provided or may be transferred as aforesaid and/or to any regulatory authority entitled thereto by law or regulation (whether statutory or not), which persons may be persons outside Hong Kong. 信託人及/或基金經理可披露或轉交有關認購本基金的資料予本基金的核數師和基金經理，及其僱員、主任、董事及代理人；及/或基金經理及信託人的最終控股公司；及/或公司及/或聯營機構；或其僱用之第三者以提供行政、電腦或其他服務或設備；及/或受法律或監管規定授權之任何監管機構(無論是否法定機構)，而此等人士可以是非居港人士。
- (iii) And I/We consent to the transfer of my personal information to recipients located in countries which do not offer a level of protection for those data as high as the level of protection as described in the Cayman Islands. I/We consent to the processing of my personal information as described herein this form and the "Privacy Notice" as set out in the Appendix. 並本人/吾等贊同將本人的個人資料傳輸給位於未等同開曼群島所規定的保護資料水平之國家的收件人。本人/吾等亦贊同本人的個人資料按本表格所述和按附件上的《私隱聲明》處理。

17. An authorized signatory list with signatures specimen, if applicable, should be provided to Invesco Hong Kong Limited. For any amendments, please advise Invesco Hong Kong Limited in writing. 申請人應向景順投資管理有限公司提供授權簽署人名單連同簽署式樣(如適用)。如有任何修訂，請以書面方式通知景順投資管理有限公司。

1. Signature 簽署
Name 姓名
Date 日期

2. Signature 簽署
Name 姓名
Date 日期

For Corporate Account, please sign by the Authorized Signatory(ies) with company stamp.  
如屬公司戶口，請由授權人士簽署並加公司蓋章。

Please return your Application & Subscription Form in original to:

Hong Kong Fund Services  
Invesco Hong Kong Limited  
41/F, Champion Tower,  
Three Garden Road, Central, Hong Kong

Tel: (852) 2842 7878

請將閣下的申請及認購表格正本交回:

景順投資管理有限公司  
香港基金服務  
香港中環花園道三號  
冠君大廈四十一樓

電話: (852) 2842 7878

For Invesco use only 只供景順使用	RPQ received on	Suitability Assessment YES / NO	Handled by	Sign
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### Privacy Notice

#### INVESCO SELECT RETIREMENT FUND (the "Fund")

*(updated as of December 2019)*

The Cayman Islands *Data Protection Law, 2017* ("DPL"), effective 30 September 2019, governs the use of Personal Data by Cayman Islands entities. We recognize the importance of protecting the privacy of subscribers and investors in the Fund ("**Investors**") and hereby set out our privacy policy in relation to Personal Data in this Notice in accordance with the DPL. Any terminology and capitalised terms used in this Notice bear the meanings as prescribed in the DPL and the offering documents of the Fund unless the context requires otherwise.

#### DATA CONTROLLER

The Fund is the Data Controller for the purposes of your application to subscribe for an interest in the Fund. Hence, the Fund is responsible for ensuring that it uses your Personal Data in compliance with the DPL. The Fund has also appointed the Trustee, the Manager, the Registrar, the administrator of the Fund and other service providers / agents / delegates (collectively "**Data Processors**") as Data Processors. The Fund may be contacted by contacting the Trustee or the Manager.

#### TYPES OF PERSONAL DATA

The Fund and the Data Processors may process the following types of Personal Data:

- (a) Personal Data provided by you (including those of natural persons connected with you (if you are a corporate investor)) to the Fund including without limitation: name, address, contact information, date of birth, gender, nationality, passport or other national identifier details, signature, beneficiaries, employment history, job title, income, assets, source of funds, other financial information, bank details, investment history, risk tolerance, tax residency, and tax identification information.
- (b) Personal Data collected or generated by the Fund and/or Data Processors including without limitation information related to your emails (and related data), correspondence, call recordings, and website usage data.
- (c) Personal Data obtained by the Fund and/or Data Processors from other sources, including without limitation: know your client ("**KYC**") / client due diligence procedures (anti-money laundering ("**AML**"), counter-terrorist financing ("**CTF**"), proliferation financing, sanctions, politically exposed persons), tax purposes (US Foreign Account Tax Compliance Act ("**FATCA**"), OECD Common Reporting Standard ("**CRS**")), other information obtained as per current or future legal, regulatory or tax requirements, information from public sources, and information received from your advisors or intermediaries.

## LAWFUL PURPOSES AND PROCESSING PRINCIPLES

### Lawful Purposes

Personal Data provided by you will be held, disclosed, and processed by the Fund and the Data Processors for the following purposes:

- (a) **Performance of a contract** (such as under the enrolment / application / subscription form and/or constitutive documents of the Fund) including:
  - (i) Where you submit an application to subscribe for interests in the Fund (“**Application**”), your Personal Data will be processed to assess the acceptability of your Application. Such processing may be undertaken prior to entering into a contract;
  - (ii) Where the Fund accepts your Application, the Fund shall issue to you interests in the Fund and enter your Personal Data into the books of the Fund upon completion of relevant procedures; Personal Data will be processed in this regard;
  - (iii) Where you are a subscriber in the Fund, processing your Personal Data is necessary for managing and administering your holdings in the Fund and any related account as well as for redemption, withdrawal, conversion, switching or transfer requests, settlement, distribution payments, and future subscriptions;
  - (iv) Where sending you notices and information or otherwise corresponding with you in connection with your investment in the Fund;
  - (v) Where circulating periodic reports in relation to the Fund is required by relevant regulations or otherwise.
- (b) **Compliance with a legal obligation** including where the Fund and/or any Data Processor, prior to your investment in the Fund, during your investment in the Fund, or after you have exited any or part of your investment in the Fund, will process your Personal Data in accordance with any applicable current or future legal, regulatory or tax requirements such as KYC / AML / CTF or Ultimate Beneficial Ownership legislation and regulations, FATCA / CRS requirements, fraud and crime detection and prevention.
- (c) **Legitimate interests**, including:
  - (i) Carrying out the ordinary or reasonable business activities of the Fund, or other activities previously disclosed to the Fund’s investors or referred to in this Privacy Notice;
  - (ii) Ensuring compliance with all legal and regulatory obligations, industry standards and internal policies and procedures;
  - (iii) Disclosing information to third parties as provided for in this Privacy Notice;

- (iv) Recording, maintaining, storing, using recording of telephone calls / other means of communication that you make to and receive from the Fund, any Data Processor and any of their respective related, associated, or affiliated companies for processing and verification of instructions, management, and administration of your account(s), as well as any other matters related to investment in the Fund, dispute resolution, record keeping, risk management, security, and/or training purposes.

Please ensure that you provide a copy of this Privacy Notice to any natural persons (if you are a corporate investor) or third parties whose Personal Data is provided by you to the Fund and/or Data Processors.

### **CONSENT TO MARKETING**

Parties engaged to assist with the operation of the Fund (including the Manager or sponsor of the Fund and their respective affiliates) may contact you with information regarding other offered products and services. Such contact may be by telephone, email, or by other reasonable means of communication.

You can require such parties to stop contacting you with such marketing information by contacting the Fund via the Trustee or the Manager as provided above.

**If you request not to receive marketing information this will not affect your status as an Investor. Such a request will not affect the lawfulness of processing based on consent before its withdrawal.**

Your consent is not required to process your Personal Data for the performance of a contract, compliance with legal obligations, and/or legitimate interests pursued by the Fund as referenced above.

### **PERSONAL DATA RECIPIENTS**

The Fund may disclose your Personal Data to the following recipients:

- (a) the Trustee;
  - (b) the Manager or the sponsor of the Fund;
  - (c) the Registrar and the administrator of the Fund and other Data Processors;
  - (d) the Fund's professional advisors such as auditors, legal and tax advisors; and
  - (e) Competent authorities (including tax authorities), regulators, courts, law enforcement agencies, and other regulatory entities as required by applicable law.
- The Fund and/or Data Processor may be legally restricted from disclosing to you that such disclosure is undertaken.

In relation to any other third parties, the Fund will only disclose your information in the following circumstances:

- (a) Where you have given your consent;

- (b) Where the Fund is required to do so by law or enforceable request by a regulatory body;
- (c) Where it is necessary for the purpose of, or in connection with legal proceedings or in order to exercise or defend legal rights; or
- (d) If the management or control of the Fund is transferred.

## **INTERNATIONAL TRANSFERS**

Your Personal Data may be transferred to jurisdictions that do not have data protection laws equivalent to the DPL. This may be necessary for a number of reasons, including for the performance of our rights and obligations under the enrolment / application / subscription form, the Fund's constitutional documents or under an agreement with a third party that is in your interests or in connection with international cooperation arrangements between governmental, regulatory, tax and law enforcement authorities. Where the Fund transfers so it is required to do so in a manner consistent with applicable legal requirements.

## **PERSONAL DATA RETENTION**

How long the Fund holds your Personal Data for will vary. The retention period will be determined by various criteria, including the purposes for which the Fund is using it (as it will need to be kept for as long as is necessary for any of those purposes), legal obligations (as laws or regulations may set a minimum period for which the Fund has to keep your Personal Data) or internal policies.

## **YOUR RIGHTS UNDER THE DPL**

Under the DPL, you have the following rights in relation to how the Fund processes your Personal Data in general:

- (a) The right to request access – you may obtain confirmation from the Fund as to whether or not your Personal Data is being processed and, where that is the case, access to your Personal Data;
- (b) The right to rectification and erasure – you have the right to obtain rectification of inaccurate Personal Data the Fund hold concerning you and to obtain the erasure of your Personal Data in certain circumstances;
- (c) The right to restrict processing or to object to processing – in certain circumstances you may require the Fund to restrict the processing the Fund carry out on your Personal Data or to object to the Fund processing your Personal Data;
- (d) The right to withdraw consent – where you have provided your consent to the Fund processing your Personal Data, you have the right to withdraw your consent at any time. You may exercise this right by contacting the Fund; and
- (e) The right to submit a complaint – you may lodge a complaint with the Cayman Islands Ombudsman at [info@ombudsman.ky](mailto:info@ombudsman.ky).

For further information regarding your Personal Data rights, please see the Ombudsman's website at [www.ombudsman.ky](http://www.ombudsman.ky).



## **SECURITY OF PERSONAL DATA**

The Fund and/or Data Processors have appropriate safeguards in place to protect Personal Data from loss, misuse, unauthorised access, disclosure, alteration and destruction. However, no data security measures can guarantee complete security at all times.

## **PERSONAL DATA QUALITY AND FAILURE TO PROVIDE PERSONAL DATA**

The Fund rely on the accuracy of the information provided by you and others. If any information about you changes or you have any concerns regarding the accuracy of information about you held by the Fund, you should contact the Fund by contacting the Trustee or the Manager.

Your Personal Data is required in order for the Fund to accept your Application to subscribe for interests in the Fund, manage and administer your holdings in the Fund, and enable the Fund to comply with the legal, regulatory, and tax requirements which arise from collecting fees and making investments as described in the Fund's offering documents. If you fail to provide the requested Personal Data, the Fund will not be able to accept your Application or the Fund may be required to discontinue its business relationship with you.



## 私隱聲明

### 景順特選退休基金 (「本基金」)

(2019 年 12 月更新)

開曼群島《2017 年資料保障法》(「資料保障法」) 於 2019 年 9 月 30 日生效，乃規管開曼群島實體使用個人資料的情況。本基金認同保障本基金認購人及投資者(「投資者」) 私隱的重要性，故遵照資料保障法規定於本聲明載列本基金有關個人資料的私隱政策。除文義另有所指外，本聲明內所用一切術語及大寫詞彙均具有資料保障法及本基金發售文件所賦予的含義。

#### 資料控制人

本基金為就閣下申請認購本基金權益而言的資料控制人。因此，本基金須負責確保其使用閣下的個人資料乃符合資料保障法規定。本基金並已委任信託人、投資經理、過戶登記處、本基金行政管理人及其他服務提供者／代理人／受委代表(統稱「資料處理人」) 為資料處理人。欲與本基金聯絡，可聯絡信託人或投資經理。

#### 個人資料的種類

本基金及資料處理人可處理以下類別的個人資料：

- (a) 閣下向本基金提供的個人資料(包括與閣下有關連的自然人(若閣下為法人投資者)的個人資料，包括(但不限於)姓名、住址、聯絡資料、出生日期、性別、國籍、護照或其他國民身分詳情、簽名、受益人、就業記錄、職銜、收入、資產、資金來源、其他財政資料、銀行資料、投資經歷、風險承受能力、稅務居住地、以及稅務身份資料。
- (b) 本基金及／或資料處理人所收集或獲得的個人資料，包括(但不限於)有關閣下電郵的資料(及相關資料)、通訊、通話錄音以及網站使用資料。
- (c) 本基金及／或資料處理人從其他來源取得的個人資料，包括(但不限於)：瞭解您的客戶(「瞭解您的客戶」)／客戶盡職審查程序(反洗黑錢(「反洗黑錢」)、反資助恐怖主義(「反資助恐怖主義」)、資助擴散活動、制裁、政治人物)、稅務用途(美國外國賬戶稅收遵從法(「FATCA」)、經濟合作與發展組織共同匯報標準(「CRS」))、其他按現行或未來法律、監管或稅務規定而取得的其他資訊、來自公眾來源的資料、以及從閣下的顧問或中介人士接收的資料。

## 合法用途及辦理原則

### 合法用途

閣下所提供的個人資料將由本基金及資料處理人持有、披露及處理以作下列用途：

- (a) **履行合約**（例如根據本基金的登記／申請／認購表格及／或組織文件），包括：
- (i) 當閣下提交認購本基金權益的申請（「申請」）時，閣下的個人資料將予處理以評估閣下的申請是否可予接納。該項處理或須在訂立合約前進行；
  - (ii) 若本基金接納閣下的申請，本基金將於有關程序完成後向閣下發行在本基金的權益，並將閣下的個人資料記入本基金的賬冊；個人資料將按此處理；
  - (iii) 若閣下為本基金認購人，為閣下於本基金及任何相關賬戶所持投資的管理及執行，以及贖回、提取、兌換、轉換、轉讓或轉讓要求、結算、分派付款及未來認購而言，處理閣下的個人資料乃屬必要；
  - (iv) 就閣下於本基金的投資而向閣下寄發通告及資訊，又或與閣下通訊來往；
  - (v) 根據有關規例或其他原因而須發出有關本基金的定期報告。
- (b) **履行法律責任**，包括本基金及／或任何資料處理人在閣下投資本基金前、閣下投資本基金期間又或閣下出售於本基金的任何或部分投資後遵照任何適用現行或未來法律、監管或稅務規定（例如瞭解您的客戶／反洗黑錢／反資助恐怖主義或最終實益擁有人法例及規例、FATCA／CRS 規定、欺詐及罪行偵查及預防）來處理閣下的個人資料。
- (c) **合法權益**，包括：
- (i) 進行本基金的日常或合理業務活動，或之前已向本基金投資者披露或本私隱聲明所述的其他活動；
  - (ii) 確保遵從一切法律及監管責任、行業標準及內部政策及程序；
  - (iii) 按本私隱聲明規定而向第三者披露資料；
  - (iv) 為處理和查核指示、管理及執行閣下的帳戶，以及有關本基金投資的任何其他事宜、解決爭議、記錄保存、風險管理、保安及／或培訓目的而對閣下與本基金、任何資料處理人及各方任何

相關、聯營或聯屬公司之間的電話通話／其他通訊方式檔案之記錄、維持、儲存、使用。

閣下請確保 向經 閣下提供其個人資料予本基金及／或資料處理人的任何自然人（若 閣下為法團投資者）或第三者提供本私隱聲明。

### 同意進行市場推廣

參與協助營運本基金的人士（包括本基金投資經理或營辦人及各自的聯屬公司）或會就有關其他發售產品及服務的資訊而聯絡 閣下。該等聯絡可屬電話、電郵或其他合理通訊方式。

閣下可按上文規定，通過信託人或投資經理與本基金聯絡，要求該等人士停止就該等市場推廣資訊而聯絡 閣下。

**閣下若要求不再接收市場推廣資訊，此舉不會影響 閣下作為投資者的資格。該項要求並不會影響撤回同意前根據同意所作出處理的合法性。**

倘本基金如上所述為履行合約、履行法律責任、及／或本基金尋求合法權益而處理 閣下的個人資料，則無需 閣下同意。

### 個人資料接收者

本基金可向下列接收者披露 閣下的個人資料：

- (a) 信託人；
- (b) 本基金投資經理或營辦人；
- (c) 本基金過戶登記處及行政管理人及其他資料處理人；
- (d) 本基金的專業顧問（例如核數師、法律及稅務顧問）；及
- (e) 主管機關（包括稅務當局）、監管機構、法院、執法機關及適用法律所規定的其他監管實體、本基金及／或資料處理人在法律上或會受到限制，不得向 閣下披露曾作出該項披露。

對於任何其他第三者，本基金將只會在下列情況下披露 閣下的資料：

- (a) 閣下已給予同意；
- (b) 本基金按法律或監管機構的可強制執行要求而必須披露；
- (c) 就法律訴訟或有關法律訴訟又或為行使或捍衛法定權利而有必要；或
- (d) 若本基金的管理或控制已轉移。

## 在國際間傳輸資料

閣下的個人資料或會被轉移至尚未擁有可等同資料保障法的資料保障法律的司法管轄區。此舉基於若干原因或屬必要，包括履行本基金在登記／申請／認購表格、本基金組織文件又或與某第三者訂立且符合閣下利益的協議又或與政府、監管、稅務及執法機關之間訂立國際合作安排下的權利與義務。若本基金轉移該等資料，則必須以符合適用法律規定的方式進行。

## 保留個人資料

本基金持有閣下的個人資料的時間長短不一。保留期間將取決於多項準則，包括本基金使用該等個人資料的目的（視乎資料需要就任何該等目的所需保存時限而定）、法律責任（因為法律或規例或會設定最短期間，本基金須於該期間內保存閣下的個人資料）又或內部政策。

## 閣下在資料保障法下的權利

根據資料保障法，閣下一般對本基金如何處理閣下的個人資料而擁有下列權利：

- (a) 要求查閱的權利 — 閣下可要求本基金確認閣下的個人資料是否正接受處理及（倘若屬實）要求查閱閣下的個人資料；
- (b) 更正及刪除的權利 — 閣下有權要求更正本基金所持有關於閣下但不準確的個人資料，並在若干情況下刪除閣下的個人資料；
- (c) 限制處理或反對處理的權利 — 閣下可在在若干情況下要求限制本基金處理閣下的個人資料或反對本基金處理閣下的個人資料；
- (d) 撤回同意的權利 — 閣下已同意本基金處理閣下的個人資料，而閣下有權隨時撤回同意。閣下可聯絡本基金以行使此項權利；及
- (e) 作出投訴的權利 — 閣下可向開曼群島資料保障專員作出投訴，電郵地址為 [info@ombudsman.ky](mailto:info@ombudsman.ky)。

有關閣下個人資料權利的進一步詳情，請參閱資料保障專員網站 [www.ombudsman.ky](http://www.ombudsman.ky)。

## 個人資料保安

本基金及／或資料處理人設有適當保障措施，以保障個人資料不致損失、誤用、未經授權下被查閱、披露、更改及毀滅。然而，並無資料保安措施能夠保證任何時候完全安全。

## 個人資料的質素以及未能提供個人資料

本基金信賴閣下及他人所提供資料的準確性。任何有關閣下的資料如有更改，又或閣下對本基金所持有關於閣下的資料的準確性有任何疑慮，閣下應聯絡信託人或投資經理以聯絡本基金。

閣下必須提供個人資料，本基金始能夠接納閣下認購本基金權益的申請、閣下於本基金所持投資的管理及行政，令本基金能夠遵從本基金發售文件內所述收取費用及作出投資而產生的法律、監管及稅務規定。若閣下未能提供所需個人資料，本基金將無法接納閣下的申請又或本基金或須終止與閣下的業務關係。