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## Redemption Form

### 贖回表格

Please return your duly signed written form by fax to (852) 2820 0606, or by mail to Settlement Department, 22/F, Manhattan Place, 23 Wang Tai Road, Kowloon Bay, Hong Kong, or by visiting the Headquarters.

請將已填妥的表格傳真至(852) 2820 0606、郵寄至香港九龍灣宏泰道 23 號 Manhattan Place 22 樓交收部，或交回九龍灣總部。

#### 1. Client Details 客戶資料

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

\* Celestial Securities Limited \* 時富證券有限公司

#### 2. Redemption Instruction 贖回指示

# Please tick the appropriate box

Please redeem the fund(s) below on my/our behalf: 請代本人/吾等贖回以下基金:

# 請在適當方格內填上“✓”號

Fund Code* 基金編號*	Fund Name 基金名稱	Unit 單位	Redemption Currency# 贖回貨幣#	
			<input type="checkbox"/> HKD 港元	<input type="checkbox"/> USD 美元
			<input type="checkbox"/> HKD 港元	<input type="checkbox"/> USD 美元
			<input type="checkbox"/> HKD 港元	<input type="checkbox"/> USD 美元
			<input type="checkbox"/> HKD 港元	<input type="checkbox"/> USD 美元
			<input type="checkbox"/> HKD 港元	<input type="checkbox"/> USD 美元
			<input type="checkbox"/> HKD 港元	<input type="checkbox"/> USD 美元

\* If any back-end load fund is subscribed, the fees payable within this investment will be deducted from redemption proceeds of the fund, including the service fee for financial advisor.

\* 投資於任何贖回收費式/末端費用式基金，所有涉及投資的相關費用(包括財務顧問的服務費)會在該基金贖回時扣除。

\* The final price of the fund and the dealing date will be subject to confirmation of the fund house.

\* 基金之最後價格及交易生效日期以基金公司之確認為準。

#### 3. Declaration and Acknowledgement 聲明及確認

I/We \_\_\_\_\_ hereby authorize Celestial Securities Limited (hereinafter as "CSL") to perform, on my/our behalf and in my/our names(s), the actions and matters set out in this instruction form.

本人/吾等 \_\_\_\_\_ 謹此授權時富證券有限公司(下稱“時富”)代表本人/吾等及以本人/吾等之名義執行於本指示列明之行為及事項。

I/We confirm that the information and instruction provided on this form are accurate, true and complete. I/We agree to indemnify CSL for any losses, damages, costs, expenses or claims which CSL may suffer arising from CSL's reliance on any of the information I/we have given.

本人/吾等確認此表格中所提供的資料及指示為準確，真實及完整，並同意就所有時富因依賴本人/吾等提供之資料而蒙受之損失、損害、成本、費用或索賠作出彌償。

I/We declare that the investment decision is made by me/us. I/We declare and confirm that the Sales Representative has conducted a risk profile assessment with me, and I/we have been provided with the prospectus, offering circular or other relevant terms and conditions of the product that I/we am/are applying for. I/We have read and understand the relevant documents or consulted Independent/Professional Advisors for further details and other risk factors before making any investment decision as I/we deem necessary. I/We have been explained and fully understand the key features and risks of the products, and hereby confirm to purchase the subject product.

本人/吾等聲明此乃本人之投資決定。本人聲明及確認有關營業代表已為本人進行風險取向審核，並已向本人提供現認購產品之發行章程、發行說明書、產品資料或其他相關之銷售條款及細則，並向本人/吾等解釋產品之特性及風險。本人/吾等已詳閱有關之文件，或於作出投資決定前就本人/吾等認為有需要之進一步資料及其他風險因素徵詢獨立/專業意見。本人確認明白產品之特性及風險及決定購買有關產品。

I/We understand and agree that the features and risk rating of the product match with my/our investment objective, risk tolerance level, investment horizon, investment budget and investment experience as described in the Client Risk Profile Questionnaire/ Professional Investor Assessment Questionnaire. The product is suitable for me/us.

本人/吾等明白及同意根據客人風險取向問卷或專業投資者評估問卷，此產品之特性及風險與本人/吾等投資目標、風險承受能力、投資年期、投資預算及投資經驗相符。此產品適合本人/吾等。

I/We agree and acknowledge that the value of the investment(s) may go up and down. By instructing CSL to make investments on my/our behalf, I/we am/are prepared to accept and am/are responsible solely for this risk, and CSL shall be discharged from the liability whatsoever to me/us for any loss I/we may suffer as the result of the investment performance.

本人/吾等同意及確認投資之價值可升可跌。指示時富代本人/吾等作出投資，本人/吾等接受及將獨自承擔此風險，時富將不就任何因投資表現而令本人/吾等蒙受之損失負責。

In any transaction involving foreign currency conversion, I/we agree to adhere to the foreign exchange rates determined by CSL and/or its counter-parties.

有關任何涉及外幣兌換之交易，本人/吾等接受時富與其另一方決定之外幣兌換率。

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I/We have read the Data Privacy Notice set out in Section 4 of this instruction form and agree to the terms therein. I/We consent that my/our personal data may be used, disclosed and transferred for the purposes and to the persons specified in the Notice (subject to my/our preference relating to the use of data for direct marketing purposes as indicated below). In particular, I/we consent that my/our personal data may be disclosed to persons (including any tax authority) within or outside Hong Kong:

- for various local or foreign legal or regulatory compliance and/or tax reporting purposes, including but not limited to Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS); and/or
- for prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, terrorist financing and any other violation of laws or unlawful activities.

本人/吾等已閱讀本指示第 4 部分之數據隱私聲明。藉簽署本表格表示（在不抵觸本人/吾等於下述有關使用資料作直接促銷目的選擇的情況下），本人/吾等同意本人/吾等的個人資料可能就數據隱私聲明內列明的目的使用、披露及轉移予聲明內所列明的人士。本人/吾等同意本人/吾等的個人資料可披露予香港境內或境外的人士（包括任何稅務機關）：

- 以遵從各地方或海外法律或法規及/或稅務申報目的，包括但不限於《海外賬戶納稅法案》(FATCA) 及《通用報告準則》(CRS)；及/或
- 以防止、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、恐怖分子融資及任何其他違法或不合法的活動。

I/We further acknowledge and agree that disclosure of information to CSL in relation to FATCA and CRS requirements shall be an ongoing obligation. I/We acknowledge and agree to provide the completed self-certification form(s) and/or further information, if needed, to CSL under the Hong Kong Inland Revenue Ordinance, and agrees that it is my/our sole responsibility to seek independent legal and / or tax advice before making the self-certification. If any change in circumstance which affects the tax residency status or causes the information in self-certification to become incorrect, I/we warrant a suitably updated self-certification form within 30 calendar days of such change.

本人/吾等進一步承認並同意，向 時富披露有關 FATCA 和 CRS 要求的資訊是一項持續的義務。本人/我們承認並同意根據香港稅務條例向時富提供填妥的自我證明表格和/或更多資訊（如有需要），並同意於自我認證之前自行負責尋求獨立的法律及/或稅務建議。如果發生任何影響稅務居民身份或導致自我證明中的資訊不正確的情況，本人/吾等保證在這種情況變化的 30 個日曆日內提交更新的自我證明表格。

I/We hereby confirm that my/our declarations in Section D of the Account Opening Form remain valid in all respects.

本人/我們在此確認本人/我們對開戶表格上 D 部的聲明仍然生效。

Client Signature:  
客戶簽署: \_\_\_\_\_

Date:  
日期: \_\_\_\_\_

#### 4. Data Privacy Notice 數據隱私聲明

The purpose of this Notice is to provide the client(s) of CSL ("Client(s)") with information on the company's use of Client personal data in accordance with the Personal Data (Privacy) Ordinance (Cap. 486) of the laws of Hong Kong (together, the "PDPO"). The Clients' personal data will be processed by CSL, and by persons engaged by CSL. Under the PDPO, the Clients have rights, and CSL has obligations, with respect to the Clients' personal data. The purpose of this notice is to explain how and why CSL, and persons engaged by CSL, will use, store, share and otherwise process the Clients' personal data. This notice also sets out the Clients' rights under the PDPO, and how to exercise them.

CSL may provide data received from the Clients to the following persons:-

- any other member of the Celestial Group;
- any nominee in whose name securities or other asset may be registered;
- any contractor, agent or service provider which provides administrative, data processing, financial, computer, telecommunications, payment or securities clearing, financial, professional or other services to any member of the Celestial Group or to any other person to whom data is passed;
- any person making any payment into the Client's account (deposit confirmation provided to the person making the payment may contain Client's information);
- any person with whom CSL enters into or proposes to enter into transaction on the Client's behalf, or persons representing the same;
- the drawer bank providing a copy of a paid cheque (which may contain information about the payee) to the drawer;
- any assignee, transferee, participant, sub-participant, delegate, successor or person to whom the Account is transferred;
- any business partner of any member of the Celestial Group;
- governmental, regulatory or other bodies or institutions, whether as required by law, regulations applicable to any member of the Celestial Group, or otherwise;
- credit reference agencies and, in the event of default, debt collection agencies;
- any party giving or proposing to give a guarantee or third party security to guarantee or secure the Client's obligations;
- any financial institution and merchant acquiring company with which the Client has or proposes to have dealings; and
- any other person under a duty of confidentiality to CSL.

The data provided by the Clients from time to time may be used for the following purposes:-

- operating, maintaining, and providing services and credit facilities to Clients;
- processing application from the Client (including assessing the merits and/or suitability of the Client's application(s)) for the establishment of facilities, products and services;
- enforcement of the Client's obligations, to CSL or any other member of the Celestial Group, including without limitation the collection of amounts outstanding from the Client and those providing security for the Client's obligations;
- creating and maintaining CSL's credit scoring models;
- maintaining credit history of the Client for present and future reference;
- giving effect to the Instructions, and carrying out the Client's other instructions;
- providing services in connection with the Account, whether the services are provided by or through, any member of the Celestial Group or any other person;
- conducting credit inquiries or checks on the Client and ascertaining the Client's identity, financial situation and investment objectives, and enabling or assisting any other person so to do;
- ensuring ongoing credit worthiness of Clients;
- collection of amounts due, enforcement of security, charge or other rights and interests in favour of any member of the Celestial Group;
- determining the amount of indebtedness owed to or by Clients;
- marketing existing and future services or products of any member of the Celestial Group or any of its business partners (in respect of which CSL may or may not be remunerated), and CSL requires the Client's consent (which includes an indication of no objection) for that purpose. In this connection, please note that:
  - the name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data of the Client held by CSL from time to time may be used by CSL in direct marketing;
  - the following classes of services, products and subjects may be marketed:
    - financial, insurance, investment services, securities, investment and related services and products;
    - reward, loyalty or privileges programmes and related services and products;
    - services and products offered by CSL's co-branding partners (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be); and
    - donations and contributions for charitable and/or non-profit making purposes;

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- (iii) the above services, products and subjects may be provided or (in the case of donations and contributions) solicited by CSL and/or:
  - a. any member of the Celestial Group;
  - b. third party financial institutions, insurers, credit card companies, securities and investment services providers;
  - c. third party reward, loyalty, co-branding or privileges programme providers;
  - d. co-branding partners of CSL and/or any member of the Celestial Group (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be); and
  - e. charitable or non-profit making organisations;
- (iv) in addition to marketing the above services, products and subjects itself, CSL also intends to provide the data described in paragraph (l)(i) above to any of the persons described in paragraph (l)(iii) above for use by them in marketing those services, products and subjects, and CSL requires the Client's written consent (which includes an indication of no objection) for that purpose;
- (v) CSL may receive money or other property in return for providing the data to the other persons in paragraph (l)(iv) above and, when requesting the Client's consent or no objection as described in paragraph (l)(iv) above, CSL will inform the Client if it will receive any money or other property in return for providing the data to the other persons.
- (m) designing financial, insurance, securities and investment services or related products for the Client's use;
- (n) forming part of the records of the persons or members of the Celestial Group to whom the data may be passed;
- (o) any actual or proposed assignment or transfer of the shares of Celestial Group;
- (p) in connection with CSL or any member of the Celestial Group defending or responding to any legal, governmental, or regulatory or quasi-governmental related matter, action or proceeding;
- (q) in connection with CSL or any member of the Celestial Group making or investigating an insurance claim or responding to any insurance related matter, action or proceeding;
- (r) organizing and delivering seminars for the Client;
- (s) meeting or complying with any obligations, requirements or arrangements for disclosing and using data that apply to CSL or any member of the Celestial Group or that it is expected to comply according to:
  - (i) any law or regulation binding on or applying to it within or outside the Hong Kong existing currently and in the future (e.g. the Inland Revenue Ordinance and its provisions including those concerning automatic exchange of financial account information or the Foreign Account Tax Compliance Act of the United States ("FATCA"));
  - (ii) any guidelines or guidance given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers within or outside Hong Kong existing currently and in the future (e.g. guidelines or guidance given or issued by the Inland Revenue Department including those concerning automatic exchange of financial account information or any guideline or guidance concerning the FATCA);
  - (iii) any present or future contractual or other commitment with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers that is assumed by or imposed on CSL or any member of the Celestial Group by reason of its financial, commercial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign legal, regulatory, governmental, tax, law enforcement or other authority, or self-regulatory or industry bodies or associations;
- (t) meeting or complying with any obligations, requirements, policies, procedures, measures or arrangements for sharing data and information within the Celestial Group and/or any other use of data and information in accordance with any group-wide programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities;
- (u) other purposes relating or incidental to any one or more of the above.

The Client may request a copy of such data or the correction of the data. Any such request may be addressed to the personal data officer of CSL at its business office from time to time. CSL may charge the Client a fee for any such request.

CSL may from time to time access the personal and account information or records of the Client held by the credit reference agency for the purpose of reviewing any of the following matters in relation to the existing credit facilities granted to the Client or a third party whose obligations are guaranteed by the Client:

- (a) an increase in the credit amount;
- (b) the curtailing of credit (including the cancellation of credit or a decrease in the credit amount); and
- (c) the putting in place or the implementation of a scheme of arrangement with the Client or the third party.

CSL has the right to charge a reasonable fee for the processing of any data access request. With the consent of the Client as indicated in the declaration contained on the Account Form, member of the Celestial Group may use certain personal data and contact details to distribute to the Client information about other services or products of any member of the Celestial Group. The Client may in writing request, without charge to the Client, the Celestial Group to cease to use the data for direct marketing purpose. Written request could be directed to the Personal Data Officer by post to 22/F, Manhattan Place, 23 Wang Tai Road, Kowloon Bay, Hong Kong or by email at [hotline@cfsq.com.hk](mailto:hotline@cfsq.com.hk).

本聲明的目的是向時富的客戶（“客戶”）提供公司根據《個人資料（私隱）條例》（第 486 章），香港法律（統稱“私隱條例”），使用客戶個人資料的準則。客戶的個人資料將由時富和時富聘請的人員處理。根據私隱條例就客戶的個人資料而言，客戶擁有權利，而時富則負有義務。本聲明解釋了時富和時富聘請的人員將如何及為何使用、存儲、共享及處理客戶的個人資料，並列出客戶在私隱條例下的權利及如何行使這些權利。

本公司可能向下列人士提供從客戶所獲取之資料：

- (a) 時富集團之任何其他成員公司；
- (b) 可能以其名義登記證券或其他資產之任何代表人；
- (c) 向時富集團之任何成員公司或獲傳遞資料之任何其他人士提供行政、數據處理、財務、電腦、電訊、付款或證券結算、財務、專業或其他服務之任何承辦商、代理或服務供應商；
- (d) 任何向客戶戶口存款的人士(提供予存款人的證明收據可能載有客戶的姓名)；
- (e) 代表或為客戶與或擬與本公司進行交易之任何人士或該等人士之代表；
- (f) 付款銀行向出票人提供已付款支票的副本(當中可能載有有關收款人的資料)；
- (g) 任何承讓人、受讓人、參與人、分參與人、代表、繼承人或獲轉讓賬戶之人士；
- (h) 時富集團之任何成員公司之任何商業夥伴；
- (i) 適用於時富集團之任何成員公司之法例、規例或其他法規所規定之政府、監管或其他機構或機關；
- (j) 信貸資料服務機構及(如有違約事件)收數公司；
- (k) 提供或擬定提供擔保或協力廠商抵押，從而對客戶承擔擔保或抵押義務的任何方；
- (l) 和客戶已有或擬有業務往來的任何金融機構及商業收購公司；及
- (m) 對本公司有保密責任的任何其他人士。

客戶不時所提供之資料可用作下列目的：

- (a) 運作、維持及向客戶提供服務和信貸便利；
- (b) 處理客戶建立信貸融通、產品及服務的申請(包括評估客戶申請的成功機會及/或適合性)；
- (c) 執行客戶對本公司或時富集團之任何成員公司所負之義務，包括但不限於向客戶及就其義務提供抵押的人士追收欠款；

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- (d) 建立及維持本公司的信貸評分模式；
- (e) 保存客戶的信貸記錄，以供目前及今後參考；
- (f) 令指示生效，及執行客戶之其他指示；
- (g) 就賬戶提供服務，無論該等服務是否由或透過時富集團之任何成員公司或任何其他人士所提供；
- (h) 為客戶進行信貸查詢或調查及查明客戶之身份、財政狀況及投資目標及容許或協助任何其他人士進行上述事項；
- (i) 確保客戶維持可靠信用；
- (j) 向客戶及為客戶債務提供抵押的人士收取欠款，並由時富集團之任何成員公司執行抵押、押記權或其他權利及權益；
- (k) 確定時富集團對客戶或客戶對時富集團的負債額；
- (l) 為時富集團之任何成員公司或其任何商業夥伴之現有及日後服務或產品進行市場推廣(本公司可能會或不會就其獲得報酬的)，而本公司為該用途須獲得客戶同意(包括表示不反對)。就此，請注意：
- (i) 本公司可能把本公司不時持有的客戶姓名、詳細聯絡方式、產品及服務組合資料、交易模式及行為、財務背景及人口統計數據用於直接促銷；
- (ii) 可用作促銷下列類別的服務、產品及促銷標的：
- a. 金融、保險、投資服務、證券、投資及相關服務及產品；
- b. 獎賞、獎勵或優惠計劃及相關服務及產品；
- c. 本公司品牌合作夥伴提供之服務及產品(該等品牌合作夥伴名稱會於有關服務及產品的申請表格上列明，視情況而定)；及
- d. 為慈善及/或非牟利用途的捐款及捐贈；
- (iii) 上述服務、產品及促銷標的可能由本公司及/或下列各方提供或(就捐款及捐贈而言)徵求：
- a. 時富集團任何成員；
- b. 協力廠商金融機構、承保人、信用卡公司、證券及投資服務供應商；
- c. 協力廠商獎賞、客戶或會員、合作品牌或優惠計劃供應商；
- d. 本公司及/或時富集團之任何成員公司之品牌合作夥伴(該等品牌合作夥伴名稱會於有關服務及產品的申請表格上列明，視情況而定)；及
- e. 慈善或非牟利機構；
- (iv) 除由本公司促銷上述服務、產品及促銷標的以外，本公司亦擬將以上第(i)(g)段所述的資料提供予以上第(i)(iii)段所述的全部或任何人士，以供該等人士在促銷該等服務、產品及促銷標的中使用，而本公司為此用途須獲得客戶同意(包括表示不反對)；
- (v) 本公司可能因如以上第(i)(iv)段所述將資料提供予其他人士而獲得金錢或其他財產的回報。如本公司會因提供資料予其他人士而獲得任何金錢或其他財產的回報，本公司會於以上第(i)(iv)段所述徵求客戶同意或不反對時如是通知客戶。
- (m) 設計供客戶使用的財務、保險、證券及投資服務或有關產品；
- (n) 組成可能獲傳遞資料之人士或時富集團之成員公司之部份記錄；
- (o) 有關時富集團的任何股份的實際或建議承讓或轉讓；
- (p) 有關本公司或時富集團任何其他成員答辯或回應任何法律、政府、或監管機構或半政府機構相關之事宜、訴訟或法律程式；
- (q) 有關本公司或時富集團任何其他成員作出或調查保險索償或回應任何保險相關之事宜、訴訟或法律程式；
- (r) 為客戶組織或向其提供講座；
- (s) 履行或遵守適用於本公司或時富集團任何其他成員的任何資料披露及使用義務、規定或安排，或根據以下內容應當遵守的義務、規定或安排：
- (i) 不論於香港境內或境外及不論目前或將來存在的對其具法律約束力或適用的任何法律或規例(例如：稅務條例及其條款，包括有關自動交換財務賬戶資料的條款，或就美國法下的外國賬戶稅務合規法案(“FATCA”)的條款)；
- (ii) 不論於香港境內或境外及不論目前或將來存在的任何法律、監管、政府、稅務、執法或其他機關，或金融服務供應商的自律監管或行業組織或協會作出或發出的任何指引或指導(例如：由稅務局提供及發出的指引及指示，包括有關自動交換財務賬戶資料的指引及指示，或就美國法下的外國賬戶稅務合規法案(“FATCA”)的指引及指示)；
- (iii) 本公司或時富集團因其位於或跟相關本地或外地的法律、監管、政府、稅務、執法或其他機關，或自律監管或行業組織或協會的司法管轄區有關的金融、商業、業務或其他利益或活動，而向該等本地或外地的法律、監管、政府、稅務、執法或其他機關，或金融服務供應商的自律監管或行業組織或協會承擔或被彼等施加的任何目前或將來的合約或其他承諾；
- (t) 履行或遵守在時富集團為符合制裁或預防或偵測清洗黑錢、恐怖分子融資活動或其他非法活動的任何方案就於本公司集團內共用資料及資訊及/或資料及資訊的任何其他使用而指定的任何義務、要求、政策、程式、措施或安排；及
- (u) 有關或附帶上述任何一項或多項目的之其他目的。

客戶可要求獲取一份該等資料之副本或要求更改該等資料。任何該等要求可寄發予本公司之個人資料主任，地址為其營業辦事處。本公司可就任何該等要求向客戶收取費用。

本公司可為檢討下列任何事宜的目的，而不時查閱信貸資料服務機構所持的客戶個人及戶口資料或記錄，而該等事宜涉及向客戶提供或為該客戶擔保其義務之協力廠商的現有信貸融通：

- (a) 增加信用額；
- (b) 縮減信貸(包括取消信貸或減低信用額)；及
- (c) 與客戶或該協力廠商展開或實行債務安排計劃。

本公司有權就處理任何查閱資料要求而收取合理的費用。在客戶於開戶表格聲明中表示同意的情况下，時富集團之成員公司可使用該等個人資料及聯絡詳情向客戶提供有關時富之任何成員公司之其他服務或產品。客戶可以書面要求時富集團停止使用該等資料作直接促銷用途，而無須支付任何費用。客戶可以郵遞方式將書面要求送達至香港九龍灣宏泰道 23 號 Manhattan place 22 樓- 個人資料主任或電郵至 [hotline@cfsg.com.hk](mailto:hotline@cfsg.com.hk)。

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Account Balance	Handled by	Approved by	Received Date