

To 致: **The Hongkong and Shanghai Banking Corporation Limited**

**香港上海滙豐銀行有限公司**

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SWPE

INCI51

**Occupational Retirement Schemes**

**職業退休計劃**

**Change of Investment Instruction by Employer – Defined Benefit Scheme  
僱主更改投資指示 – 界定利益計劃**

- Note 注意: 1. Please complete in BLOCK LETTERS and tick ✓ the appropriate box(es). 請用正楷填寫, 並於適當的方格內加上[✓]號。
2. To effect the change of investment instruction on your selected valuation date (except 7th January), this form should be received by The Hongkong and Shanghai Banking Corporation Limited 3 working days prior to the valuation date which exclude Saturday, Sunday and public holiday. 香港上海滙豐銀行有限公司須於本表格估值日期前之三個工作天(星期六、日及公眾假期並不計算)收到本表格, 方可於指定的估值日期(1月7日除外)更改投資指示。
3. To effect the change of investment instruction on the valuation date of 7th January, this form should be received by The Hongkong and Shanghai Banking Corporation Limited 3 working days prior to 1st January which exclude Saturday, Sunday and public holiday. 香港上海滙豐銀行有限公司須於1月1日前三個工作天(星期六、日及公眾假期並不計算)收到本表格, 方可於1月7日之估值日期更改投資指示。
4. Please note that Capital Guaranteed Fund ("CGF") is only available for switch in and switch out on the valuation date of the 7th of each month. For change of investment instruction to take effect on the valuation date of 14th, 21st or 28th indicated in Section C2 of this form, any of the existing balances in the CGF will be excluded for redemption and re-investment, and that no new allocation into the CGF will be allowed. Please refer to Example 2 in Section G. 請注意保本萬利基金的轉入及轉出只能於每月7日之估值日期進行處理。倘若你的更改投資指示在14日、21日或28日之估值日期生效(此表格C2部), 計劃持有任何保本萬利基金的現有結餘將不會被贖回而重新投資, 及保本萬利基金亦不可被選擇為重新分配基金之一。請參考G部例子二。
5. Should you wish to submit investment instruction to take effect on the valuation date of 7th of the month, please complete Section B and leave Section C blank. Should you wish to submit investment instruction to take effect on the valuation date of 14th, 21st or 28th, please complete Section C and leave Section B blank. If both Sections B and C are completed, your instruction will not be processed. 如你欲遞交在7日之估值日期生效的投資指示, 請填寫B部而不用填寫C部。如你欲遞交在14日、21日或28日之估值日期生效的投資指示, 請填寫C部而不用填寫B部。倘若你同時填寫了B部及C部, 該指示將不會被處理。
6. If the valuation date falls on Saturday, Sunday or public holiday, the valuation date will be the following working day. 如估值日期是星期六、日或公眾假期, 估值日期會順延至下一個工作天。
7. The allocation percentages for existing account balances and new contributions must add up to 100% respectively. Otherwise, the instruction cannot be effected. 現有賬戶結餘及新供款之分布百分率總和必須分別為100%。否則, 此項指示不能生效。
8. Your new instruction will not apply to any amount waiting for clearance and fund purchases at the time we process the instruction. 你的新投資指示將不適用於任何正待結算及購買基金的款項。
9. Please read personal information collection statement in Section F. 請細閱F部的收集個人資料聲明。

**A. Details of employer 僱主資料**

Scheme ID 計劃編號	Pay centre ID 付款中心編號
Employer name 僱主名稱	

## B. Investment instruction for valuation date of 7th 7日之估值日期生效的投資指示

(This section is for providing investment instruction to take effect on the valuation date of 7th of your selected month and year. Should you wish to provide an investment instruction to take effect on the valuation date of 14th, 21st or 28th, please complete Section C and leave this section blank. 此部分用於填寫在你所指定年份和月份裡的7日之估值日期生效的投資指示。如你欲遞交在14日、21日或28日之估值日期生效的投資指示，請填寫C部而不用填寫此部分。)

### B1. Valuation date of change 更改估值日期

7th日	/	/
Valuation Day 估值日	Month 月	Year 年

### B2. Change of investment allocation instruction of existing account balances 更改現有賬戶結餘的投資分配指示 (Example please refer to Section G – Portfolio Rebalance 例子請參考G部 – 重組投資組合)

Completing this section will re-allocate the investment allocation of existing account balances ONLY. If you would like to change the investment allocation instructions for new contributions, please complete Section B3 of this form. 此部分的指示只重新分配現有賬戶結餘的投資分布。如欲更改你新供款的投資分配指示，請填寫此表格B3部。

- The last available unit price before the valuation date of change specified above will be used to calculate the number of units required to be subscribed or redeemed for each investment fund involved. 上述所指定的更改估值日期前的最新單位價格將用於計算認購或贖回所涉及之各投資基金之單位數目。
- The actual subscription and redemption of units for each investment fund involved will be processed in accordance with the valuation date as specified in Section B1 above. As such, the actual result of investment re-allocation after performing the aforesaid actual subscription and redemption may slightly differ from the investment allocation percentages specified by you below due to price fluctuation in the market. 各投資基金所涉及的實際認購及贖回的單位將會根據B1部上述所指定之估值日期處理。因此，投資重新分配的實際結果於完成上述的實際認購及贖回之後會因市場價格波動而與你於下述所指定的投資分布百分率或會有輕微差異。

APEF 亞太區 股票基金	CGF* 保本萬利 基金	CNEF 中國股票 基金	EEF 歐洲股票 基金	HKEF 香港股票 基金	HSITF 恒指追蹤 指數基金	IGF* 國際增長 基金	ISF 國際平穩 基金	ISGF 國際平穩 增長基金	MMF* 貨幣市場 基金	NABF 北美債券 基金	NAEF 北美股票 基金	WBF 世界債券 基金	TOTAL 總和 (%)
													100%

### B3. Change of investment allocation instruction of new contributions 更改新供款的投資分配指示 (Example please refer to Section G – Contribution Redirection 例子請參考G部 – 重新分配新供款)

Completing this section will change your investment allocation of new contributions ONLY. If you would like to change your investment allocation instruction of existing account balances, please complete Section B2 of this form. 此部分的指示只更改你新供款的投資分布。如欲更改你現有賬戶結餘的投資分配指示，請填寫此表格B2部。

APEF 亞太區 股票基金	CGF* 保本萬利 基金	CNEF 中國股票 基金	EEF 歐洲股票 基金	HKEF 香港股票 基金	HSITF 恒指追蹤 指數基金	IGF* 國際增長 基金	ISF 國際平穩 基金	ISGF 國際平穩 增長基金	MMF* 貨幣市場 基金	NABF 北美債券 基金	NAEF 北美股票 基金	WBF 世界債券 基金	TOTAL 總和 (%)
													100%



## D. Declaration and authorisation 聲明及授權書

By signing this form, I 在簽署本表格後，本人

- hereby elect the above investment allocation. 選擇上述投資分布。
- understand and agree the change of investment instruction as specified in Sections B or C to be made on the above effective date. 明白及同意列於B或C部之更改投資指示於上述日期生效。
- understand that for my change of investment instruction specified in Section C2 to take effect on the date specified in Section C1 (if any), any of existing balances in the CGF will be excluded for redemption and re-investment, 明白C2部之更改投資指示於C1部所指定之日期生效(如有)，本人任何保本萬利基金的現有結餘將不會被贖回而重新投資。
- have read and understood the notes above and the personal information collection statement in Section F. 已細閱及明白上述注意事項及F部的收集個人資料聲明。
- have read and understood the Principal Brochure of the relevant investment fund. 已細閱及明白有關投資基金的主要推銷刊物。

Authorised signature(s) of employer 僱主授權簽署

**X**

Date 日期

## E. Investment fund 投資基金

Investment fund ID 投資基金編號	Investment fund name 投資基金名稱	Currency 貨幣	Investment fund ID 投資基金編號	Investment fund name 投資基金名稱	Currency 貨幣
APEF	Asia Pacific Equity Fund 亞太區股票基金	HKD 港元	ISF	International Stable Fund 國際平穩基金	HKD 港元
CGF*	Capital Guaranteed Fund 保本萬利基金	HKD/USD 港元/美元	ISGF	International Stable Growth Fund 國際平穩增長基金	HKD 港元
CNEF	Chinese Equity Fund 中國股票基金	HKD 港元	MMF*	Money Market Fund 貨幣市場基金	HKD/USD 港元/美元
EEF	European Equity Fund 歐洲股票基金	HKD 港元	NABF	North American Bond Fund 北美債券基金	HKD 港元
HKEF	Hong Kong Equity Fund 香港股票基金	HKD 港元	NAEF	North American Equity Fund 北美股票基金	HKD 港元
HSITF	Hang Seng Index Tracker Fund 恒指追蹤指數基金	HKD 港元	WBF	World Bond Fund 世界債券基金	HKD 港元
IGF*	International Growth Fund 國際增長基金	HKD/USD 港元/美元			

\* The fund is available in Hong Kong or US dollars. The currency used will depend on the policy which has been selected. 此基金提供港元或美元單位，而適用的貨幣將根據所選擇的保單而定。

## F. Personal information collection statement 收集個人資料聲明

### (Applicable to schemes regulated by an insurance arrangement 適用於由保險安排所規管的計劃)

1. The personal data provided by Participating Employers (if applicable) and/or Members and details of transactions or dealings by such Participating Employers (if applicable) and/or Members from time to time may be used for one or more of the following purposes: - (i) the administration and/or management of or in connection with the contributions or benefits or accounts in respect of the Participating Employers (if applicable) and/or Members under the HSBC occupational retirement schemes and Hang Seng occupational retirement schemes administered by the HSBC Group; (ii) improving and furthering the provision of occupational retirement scheme products and/or services (including through customer research or surveys) by entities of the HSBC Group, subject to applicable legislation; (iii) matching for occupational retirement scheme related purpose with other personal data concerning the relevant Participating Employers (if applicable) and/or Members; (iv) compliance or in accordance with an order of a court, or compliance or in accordance with a law or a requirement made under a law (e.g. the Inland Revenue Ordinance and its provisions including those concerning automatic exchange of financial account information), or compliance or in accordance with any agreement or treaty or any present or future contractual or other commitment with any regulators or government authorities in any jurisdictions, including but not limited to an agreement by one or more entities of the HSBC Group under the provisions of U.S. tax law known as the Foreign Account Tax Compliance Act ('FATCA'), and the guidelines, guidance or requests given or issued by the Inland Revenue Department including those concerning automatic exchange of financial account information (collectively, the 'Compliance Obligations'). 不時由參與僱主(如適用)及/或成員所提供的個人資料及該等參與僱主(如適用)及/或成員的交易或事務往來的詳情將可被用於以下一項或多項用途: (i) 由滙豐集團管理行政的滙豐職業退休計劃及恒生職業退休計劃下與參與僱主(如適用)及/或成員的供款或權益或戶口有關的行政事宜及/或管理; (ii) 在適用的法例規限下, 改善及進一步提供由滙豐集團成員所提供的職業退休計劃產品及/或服務(包括透過客戶研究或調查); (iii) 為任何職業退休計劃相關的用途而核對相關參與僱主(如適用)及/或成員的其他個人資料; (iv) 遵守或按照法庭命令, 或遵守或按照法律或根據法律訂立的規定(例如《稅務條例》及其條文, 包括關於自動交換財務賬戶資料的條文), 或遵守或按照任何與任何司法管轄區的監管機構或政府機關之間達成的協議或條約或任何現在或將來的合同或其他承諾, 包括但不限於與一個或多個滙豐集團成員根據美國名為《外國賬戶稅務合規法案》(「外國賬戶稅務合規法案」)的稅務法律的規定所達成的協議, 及稅務局所提供或發出的指引、指導或要求, 包括關於自動交換財務賬戶資料的指引、指導或要求(統稱為「合規義務」)。
2. Failure to provide your information may result in us being unable to process your application or perform the services you request. 如你未能提供資料將可能導致我們未能處理你的申請或提供你所要求的服務。
3. Personal data held by us relating to a Participating Employer (if applicable) and/or Member will be kept confidential but, to the extent not prohibited by applicable law, such information may be provided by us or any of our service providers to the following parties for the purposes set out in paragraph 1: - (i) any regulators or government authorities in any jurisdiction; (ii) any service provider, agent or contractor who provides administrative, telecommunications, computer, payment, data processing, matching, storage, customer research or survey or other services in connection with the operation of our occupational retirement scheme business; (iii) relevant Participating Employers (if applicable); (iv) entities of the HSBC Group. Such information may be transferred to a place outside Hong Kong Special Administrative Region. 由我們持有參與僱主(如適用)及/或成員的個人資料將予保密, 但限於不在適用法律禁止之列, 我們或任何我們的服務供應商可能會將該等資料提供給以下各方作第1段所述的用途: (i) 任何司法管轄區的監管機構或政府機關; (ii) 任何提供與營運我們的職業退休計劃業務有關的行政、電訊、電腦、付賬、數據處理、核對、儲存、客戶研究或調查或其他服務的任何服務供應商、代理人或承包商; (iii) 相關的參與僱主(如適用); (iv) 滙豐集團成員。該等資料可能轉移至香港特別行政區以外的地方。
4. You have the right to request access to and correction of your personal data held by us. Request should be addressed to: The Data Protection Officer, HSBC Life (International) Limited, PO Box 74203, Kowloon Central Post Office. For enquiries, please contact our Hotline at (852) 2288 6655. 你有權要求查閱及更改由我們持有你的個人資料。如有需要, 可致函九龍中央郵政信箱74203號向滙豐人壽保險(國際)有限公司資料保障主任提出要求。如有查詢, 可致電(852) 2288 6655。
5. No person other than you and us will have any right under the Contracts (Rights of Third Parties) Ordinance to enforce or enjoy the benefit of any of the provisions of these Terms and Conditions. 除你及我們以外, 並無其他人士有權按《合約(第三者權利)條例》強制執行本條款及細則的任何條文, 或享有本條款及細則的任何條文下的利益。

### (Applicable to schemes governed by a trust 適用於受信託所管限的計劃)

1. The personal data provided by Participating Employers (if applicable) and/or Members and details of transactions or dealings by such Participating Employers (if applicable) and/or Members from time to time may be used for one or more of the following purposes: - (i) the administration and/or management of or in connection with the contributions or benefits or accounts in respect of the Participating Employers (if applicable) and/or Members under the HSBC occupational retirement schemes and Hang Seng occupational retirement schemes administered by the HSBC Group; (ii) improving and furthering the provision of occupational retirement scheme products and/or services (including through customer research or surveys) by entities of the HSBC Group, subject to applicable legislation; (iii) matching for occupational retirement scheme related purpose with other personal data concerning the relevant Participating Employers (if applicable) and/or Members; (iv) compliance or in accordance with an order of a court, or compliance or in accordance with a law or a requirement made under a law (e.g. the Inland Revenue Ordinance and its provisions including those concerning automatic exchange of financial account information), or compliance or in accordance with any agreement or treaty or any present or future contractual or other commitment with any regulators or government authorities in any jurisdictions, including but not limited to an agreement by one or more entities of the HSBC Group under the provisions of U.S. tax law known as the Foreign Account Tax Compliance Act ('FATCA'), and the guidelines, guidance or requests given or issued by the Inland Revenue Department including those concerning automatic exchange of financial account information (collectively, the 'Compliance Obligations'). 不時由參與僱主(如適用)及/或成員所提供的個人資料及該等參與僱主(如適用)及/或成員的交易或事務往來的詳情將可被用於以下一項或多項用途: (i) 由滙豐集團管理行政的滙豐職業退休計劃及恒生職業退休計劃下與參與僱主(如適用)及/或成員的供款或權益或戶口有關的行政事宜及/或管理; (ii) 在適用的法例規限下, 改善及進一步提供由滙豐集團成員所提供的職業退休計劃產品及/或服務(包括透過客戶研究或調查); (iii) 為任何職業退休計劃相關的用途而核對相關參與僱主(如適用)及/或成員的其他個人資料; (iv) 遵守或按照法庭命令, 或遵守或按照法律或根據法律訂立的規定(例如《稅務條例》及其條文, 包括關於自動交換財務賬戶資料的條文), 或遵守或按照任何與任何司法管轄區的監管機構或政府機關之間達成的協議或條約或任何現在或將來的合同或其他承諾, 包括但不限於與一個或多個滙豐集團成員根據美國名為《外國賬戶稅務合規法案》(「外國賬戶稅務合規法案」)的稅務法律的規定所達成的協議, 及稅務局所提供或發出的指引、指導或要求, 包括關於自動交換財務賬戶資料的指引、指導或要求(統稱為「合規義務」)。
2. Failure to provide your information may result in us being unable to process your application or perform the services you request. 如你未能提供資料將可能導致我們未能處理你的申請或提供你所要求的服務。
3. Personal data held by us relating to a Participating Employer (if applicable) and/or Member will be kept confidential but, to the extent not prohibited by applicable law, such information may be provided by us or any of our service providers to the following parties for the purposes set out in paragraph 1: - (i) any regulators or government authorities in any jurisdiction; (ii) any service provider, agent or contractor who provides administrative, telecommunications, computer, payment, data processing, matching, storage, customer research or survey or other services in connection with the operation of our occupational retirement scheme business; (iii) relevant Participating Employers (if applicable); (iv) entities of the HSBC Group. Such information may be transferred to a place outside Hong Kong Special Administrative Region. 由我們持有參與僱主(如適用)及/或成員的個人資料將予保密, 但限於不在適用法律禁止之列, 我們或任何我們的服務供應商可能會將該等資料提供給以下各方作第1段所述的用途: (i) 任何司法管轄區的監管機構或政府機關; (ii) 任何提供與營運我們的職業退休計劃業務有關的行政、電訊、電腦、付賬、數據處理、核對、儲存、客戶研究或調查或其他服務的任何服務供應商、代理人或承包商; (iii) 相關的參與僱主(如適用); (iv) 滙豐集團成員。該等資料可能轉移至香港特別行政區以外的地方。
4. You have the right to request access to and correction of your personal data held by us. Request should be addressed to: The Data Protection Officer, HSBC Institutional Trust Services (Asia) Limited, c/o The Hongkong and Shanghai Banking Corporation Limited, PO Box 74203, Kowloon Central Post Office. For enquiries, please contact our Hotline at (852) 2288 6655. 你有權要求查閱及更改由我們持有你的個人資料。如有需要, 可致函九龍中央郵政信箱74203號(c/o The Hongkong and Shanghai Banking Corporation Limited香港上海滙豐銀行有限公司), 向滙豐機構信託服務(亞洲)有限公司資料保障主任提出要求。如有查詢, 可致電(852) 2288 6655。
5. No person other than you and us will have any right under the Contracts (Rights of Third Parties) Ordinance to enforce or enjoy the benefit of any of the provisions of these Terms and Conditions. 除你及我們以外, 並無其他人士有權按《合約(第三者權利)條例》強制執行本條款及細則的任何條文, 或享有本條款及細則的任何條文下的利益。

## G. How it works 如何運作

### Portfolio Rebalance 重組投資組合

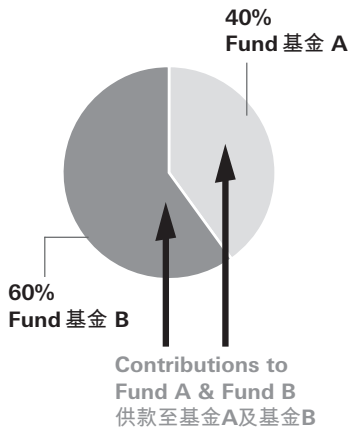
#### Example 1 例子一

This example applies to change of investment instruction to be processed on 此例子適用於：

- 7th valuation date with or without existing balances investing in CGF; or 7日之估值日期處理的更改投資指示及現時持有或沒持有保本萬利基金的結餘；或
- 14th, 21st, & 28th valuation dates without existing balances investing in CGF. 14日、21日及28日之估值日期處理的更改投資指示及現時沒持有任何保本萬利基金的結餘。

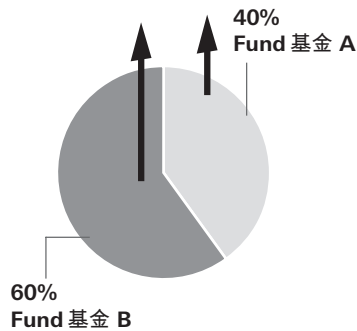
#### 1 Existing 現時

Your existing asset allocation  
你現有的資產分布



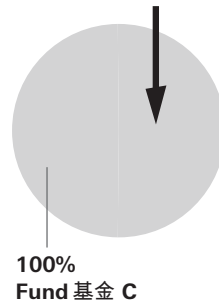
#### 2 Sell 沽出

SELL existing funds  
沽出現有的基金



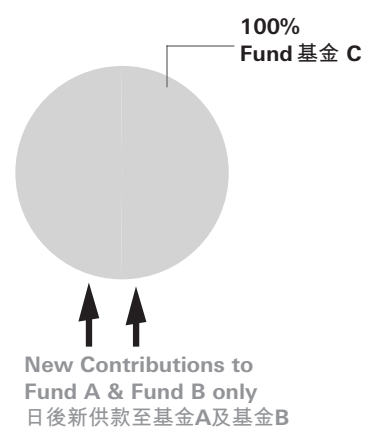
#### 3 Buy 買入

BUY new funds with units sold from your other funds  
利用由其他基金沽出的單位來買入新基金



#### 4 Result 結果

New Contributions remain the same as before rebalancing  
日後新供款保持不變



#### Example 2 例子二

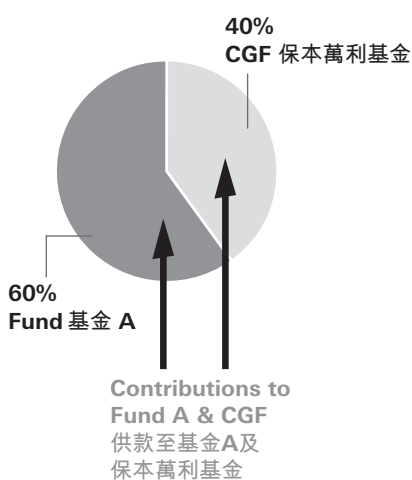
This example applies to change of investment instructions to be processed on 此例子適用於：

- 14th, 21st, & 28th valuation dates with existing balances investing in CGF. 14日、21日及28日之估值日期處理的更改投資指示及現時持有保本萬利基金的結餘。

For example, your scheme's existing asset allocation is 40% in CGF and 60% in Fund A and you have submitted a new investment allocation with 30% in Fund B and 70% in Fund C. 例如你計劃現有的資產有40%分布於保本萬利基金及60%分布於基金A，而你新的投資分配指示是30%分布於基金B及70%分布於基金C。

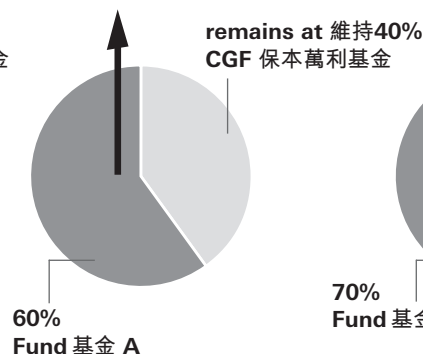
#### 1 Existing 現時

Your existing asset allocation  
你現有的資產分布



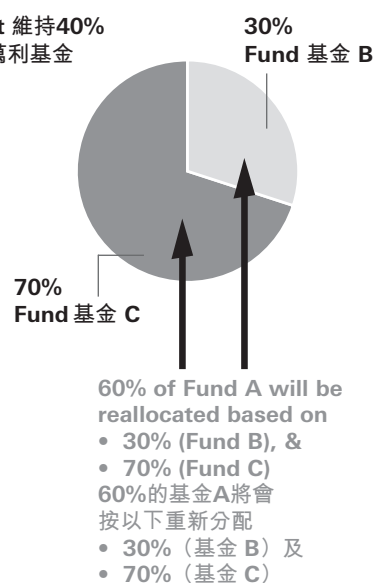
#### 2 Sell 沽出

SELL Fund A and CGF remains unchanged  
沽出基金A及保本萬利基金維持不變



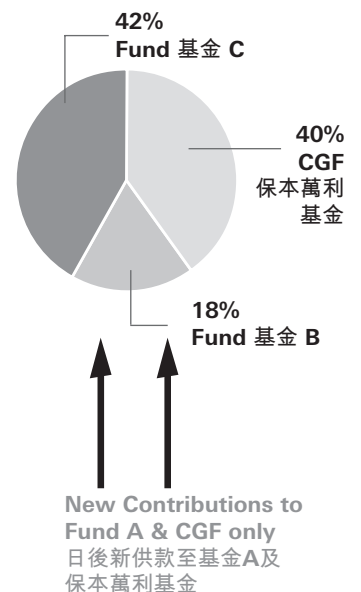
#### 3 Buy 買入

BUY new funds with units sold from Fund A  
利用由基金A沽出的單位來買入新基金



#### 4 Result 結果

New Asset allocation  
新的資產分布



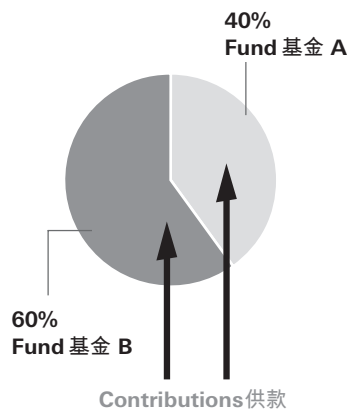
## G. How it works (cont'd) 如何運作(續)

### Contribution Redirection 重新分配新供款

#### Example 3 例子三

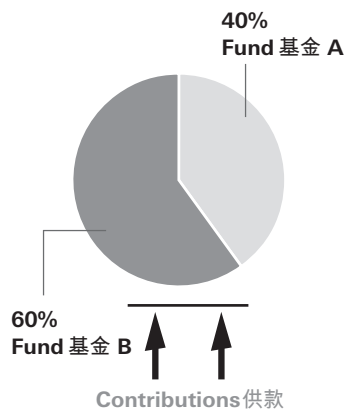
##### 1 Existing 現時

Your existing asset allocation  
你現有賬戶結餘的資產分布



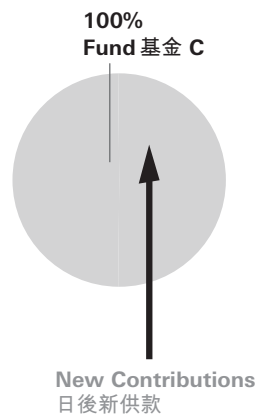
##### 2 Stop 停止

STOP Contributions into existing funds  
停止向現時的基金供款



##### 3 Buy 買入

BUY new funds with New Contributions  
利用日後新供款買入新基金



##### 4 Result 結果

New Contributions is now redirected to the new funds  
日後新供款會被分配到新基金

