

Transfer Form 基金轉讓表格

Invesco Funds, SICAV 景順盧森堡基金系列 SICAV

- It is recommended that you read the Offering Document before completing this Transfer Form. 建議閣下在填寫此基金轉讓表格前應先閱讀銷售文件。
- 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 Registrar & Transfer Agent and/or the Data Processing Agent (and/or authorised agents appointed by the SICAV, the Registrar and Transfer Agent or the Data Processing Agent). 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，直至閣下遞交所需身份文件，並符合過戶登記處兼轉讓代理人及/或資料處理代理人（及/或 SICAV、過戶登記處兼轉讓代理人或資料處理代理人所委任的認可代理人）的規定為止。
- The capitalised terms used in this Transfer Form are as defined in the Prospectus of Invesco Funds, SICAV. 本基金轉讓表格中所使用的詞彙具有景順盧森堡基金系列 SICAV 章程所界定的涵義。
- Please complete in BLOCK CAPITALS. 請以英文正楷填寫。

Section 1 第一部份 – Transferor's Details 轉讓人詳情

Account Number 客戶號碼:

Type of Account 賬戶類別: A. Individual/Joint Holders 個人/聯名客戶 B. Corporation 公司客戶

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
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 ID Card / Passport 必須與身份證/護照相同*

B. Corporation 公司客戶

Company Name
公司名稱

Designation: (Designation cannot take name format. Numbers or initial only in no more than 18 characters.)

附屬賬戶: (附屬賬戶的格式不能用姓名，只可用數字或姓名的起首字母及不多於十八個字。)

Section 2 第二部份 – Transferee's Details 承讓人詳情

Please note that only transfers between the same beneficial owner will be processed. 請注意，只處理相同權益擁有人間之轉讓。

Do you have an existing account with Invesco? 閣下是否景順的現有客戶?

Yes. Please provide either your Account Number. 是。請提供客戶號碼。

No. Please submit a separate Application Form with the relevant documentation. 否。請另外遞交申請表格及有關文件。

Type of Account 賬戶類別: A. Individual/Joint Holders 個人/聯名客戶 B. Corporation 公司客戶

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
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 ID Card / Passport 必須與身份證/護照相同*

B. Corporation 公司客戶

Company Name
公司名稱

Designation: (Designation cannot take name format.)

附屬賬戶: (附屬賬戶的格式不能用姓名)

Section 3 第三部份 – Transfer Details 轉讓詳情

I/We agree to accept and hold the below Shares to the same terms and conditions as the transferor does.

本人同意根據轉讓人同樣的條款接受及持有以下股份。

Name of Fund(s) 基金名稱	Unit Class 股份類別	Number of Shares 股份數目

Section 4 第四部份 – Risk Disclosure Statement 風險聲明

The prices of shares/units fluctuate, sometimes dramatically. The prices of shares/units may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities. Funds may invest in emerging markets or single countries or industry sectors. The investment focus of such Funds might give rise to increased risk over more diversified funds. Also, there are special risks involved with investment in hedge funds/absolute return funds. Before making an investment decision, the applicant should read and fully understand the risks set out in the Offering Document, and obtain professional advice. 基金價格有時可能會非常波動。基金價格可升可跌，甚至變成毫無價值。買賣證券未必一定能夠賺取利潤，反而可能會招致損失。若干基金可投資於新興市場或單一國家或工業行業。該等基金的投資焦點可引致該等基金相對於較為分散投資的基金之風險較大。而投資對沖基金／絕對回報基金存在特殊風險。於作出投資決定前，申請人需閱讀並完全明白銷售文件所載之風險及聽取專業意見。

Section 5 第五部份 – Assessment on Derivative Products 衍生產品評估

Please also note that “Invesco Euro Corporate Bond Fund” and “Invesco Pan European High Income Fund” invest in derivative products (e.g. warrants, equity linked notes, futures, options or forwards) for investment purposes. Therefore, before you decide to invest into any/all of the above mentioned funds, please ensure you have knowledge on derivative products. **If not, we will not accept any application or instruction to issue shares in these funds.** 請注意，《景順歐洲企業債券基金》及《景順泛歐洲收益策略基金》運用衍生產品（例如認股證、與股票掛鈎的票據、期貨、期權或遠期合約）作投資目的。因此，閣下在投資於任何或所有上述所提及的基金之前，請閣下確定已對衍生產品有認識。**如閣下對衍生產品沒有認識，我們會拒絕接納有關上述基金股份的發行申請或指示。**

	Account Holder 帳戶持有人		Second Account Holders 第二位帳戶持有人	
	YES 是	NO 否	YES 是	NO 否
The following are the criteria for assessing whether you have derivative product knowledge: 以下問題是用作評估閣下對衍生產品有否認識：				
1. Have you undergone training or attended courses on derivative products? 閣下曾否接受有關衍生產品的相關培訓或修讀相關課程？	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Do you have any work experience (current or previous) related to derivative products? 閣下現時或過去有否從事與衍生產品有關的工作？	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Have you executed five or more transactions in derivative products (whether traded on an exchange or not) e.g. warrants, equity linked notes, futures, options or forwards within the past three years? 在過往的 3 年內，閣下曾否作出 5 次或以上的衍生產品交易（不論其衍生產品是否在交易所買賣），例如認股證、與股票掛鈎的票據、期貨、期權或遠期合約等？	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 6 第六部份 – Declarations and Signature(s) 聲明及簽署

- I/We acknowledge that I/we have received, read and understood the most up to date version of the Offering Document relating to the funds subscribed to and the Terms and Conditions of the Application Form. I/We undertake to be bound by these documents. 本人／吾等聲明已收到、閱讀和理解所認購基金的銷售文件之最新版本和申請表格的細則和條款，並同意受到該等文件的約束。
- Investors are recommended to evaluate his/her investment needs and risk profile before making investment decisions. 投資者在作出投資決定前，應先了解閣下的投資需要及風險承受能力。
- I/We acknowledge that I/we have understood the risks involved in the fund investment and have read the Offering Document for details of the risk factors. I/We understand that Invesco will not evaluate the appropriateness of my/our dealing orders. 本人／吾等明白基金投資涉及的風險，並已閱讀有關銷售文件。本人／吾等明白景順不會就本人／吾等所作交易指令的適當性作任何評價。
- I/We agree that my/our personal details, identity proof, address proof and /or relevant documents may be transferred to the Registrar & Transfer Agent and Data Processing Agent or Invesco delegates which may be a third party organization and is not part of Invesco Ltd Group for anti-money laundering checking,

processing data and/ or my/ our instructions. Please refer to Section 7 for details. 本人/吾等同意景順可提供本人/吾等之個人資料、身份證明、住址證明及/或有關文件給予有關基金的過戶登記處兼轉讓代理人及/或資料處理代理人行政管理人或有關景順代表（該代表可能是第三方機構而非 Invesco Ltd 集團之公司），以作打擊洗黑錢的查證、處理資料及本人/吾等之指示。詳情請參閱第七部份。

- I/We agree that, the personal data to be supplied in this form are to be used for the purpose(s) as described in Section 7. 本人/吾等同意在表格提供的個人資料，將被用作本表格內第七部份敘述的目的。

Residency Declarations 居民聲明 (please complete the Declaration below 請完成下列聲明)

Please ensure you have selected all options appropriate to you by ticking the relevant box(es) below:

請在下列適當的方格加上剔號，確保閣下已選擇所有適用的項目：

6.1 Non US Person Declaration 非美國人的聲明

- I/We declare that the Account Holder is **not a US Person** as defined in the current Prospectus or to the best of my/our knowledge, is not applying for Shares for the benefit or account of a US Person(s).

本人/吾等聲明，賬戶持有人**並非**現行章程所界定之**美國人**，或據本人/吾等深知並非以美國人之資金或賬戶申請股份。

6.2 Declaration for investors residing in Canada (You must select a or b)

居住於加拿大的投資者的聲明(閣下必須選擇 a或b)

- a. I/We confirm that the Account Holder is **not Canadian resident(s)** as described in the Prospectus and will not acquire Shares on behalf of, or for the benefit of, a Canadian resident nor do we intend selling or transferring any Shares which we may purchase to any person who is a Canadian resident.

a. 本人/吾等確認，賬戶持有人**並非**於章程內所敘述之**加拿大居民**，亦非代表加拿大居民或其利益以獲得股份，及吾等並不會刻意將吾等可能購買之股份向任何是加拿大居民之人士作出銷售或轉讓。

- b. I/We confirm that the Account Holder is **Canadian resident(s)** as described in the Prospectus and is able to demonstrate and certify that they are able to purchase Shares and are "Permitted Clients" as per Canadian rules. I/We further confirm that in case the Account Holder is an intermediary, they will invest only on behalf of "Permitted Clients". On ticking this box, please note that "Accredited Investors" and "Permitted Clients" declarations and additional information will be required, therefore please contact the SICAV and/or Transfer Agent before submitting this Application Form.

b. 本人/吾等確認，賬戶持有人**是**於章程內所敘述之**加拿大居民**，及能夠證明及闡明該等可以認購股份及按照加拿大法律而視為是「獲准客戶」。本人/吾等同時確認，如賬戶持有人是中介人，他們只會以「獲准客戶」之代表購買股份。請注意：若閣下剔選此項，需提供「受信投資者」及「獲准客戶」的宣誓及額外資料，因此請於提交本申請表格前聯絡SICAV及/或轉讓代理人。

6.3 Declaration regarding Indian Residency (You must select a and/or b, and c)

有關印度居民的聲明 (閣下必須選擇 a及/或b, 及c)

- a. I/We declare that the Account Holder is **not i) a person resident in India ("Resident Indian"); or (ii) a Non-Resident Indian ("NRI") or (iii) an Overseas Citizen of India ("OCI")** (as defined in applicable Indian Laws and Regulations). (i), (ii) and (iii) are hereafter individually referred to as "Restricted Individual" and collectively referred to as "Restricted Individuals") **AND/OR** the Account Holder is/are not to the best of my/our knowledge and belief purchasing Shares on behalf of a Restricted Individual(s). I/We declare that should the Account Holder become a Restricted Individual or if I/we become aware that the Account Holder is investing on behalf of Restricted Individual(s), I/we will so inform you, in writing, accordingly.

a. 本人/吾等聲明，戶口持有人**並非**：**i) 居於印度人士（「印度居民」）；或(ii)非定居印度人（「非定居印度人」）或(iii) 印度海外居民（「印度海外居民」）**（定義見適用印度法規。(i)、(ii)及(iii)於本文件下文分別及統稱為「受限制人士」）**及/或**就本人/吾等所深知和確信，戶口持有人並非代受限制人士購入股份。本人/吾等聲明，若戶口持有人成為受限制人士或若本人/吾等獲悉戶口持有人乃代受限制人士作出投資，本人/吾等將就此以書面方式通知閣下。

- b. I/We declare that the Account Holder is a **Restricted Individual(s)** and/or the Account Holder is purchasing Shares on behalf of Restricted Individual(s). On ticking this box, I/we acknowledge that, as the Account Holder is a Restricted Individual(s), the SICAV might reject the subscription, require you to redeem all or a portion of the Shares, or require you to provide such information to the SICAV as and when, and in the manner, required by the SICAV to comply with applicable laws in India, failing which the Investor may be required to redeem all or a portion of the Shares.

b. 本人/吾等聲明，戶口持有人為**受限制人士**及/或戶口持有人乃代受限制人士購入股份。一經在此格內填上剔號，即表示本人/吾等確認，由於戶口持有人為受限制人士，SICAV或會拒絕受理認購，要求閣下贖回全部或部分股份，或要求閣下按SICAV要求和所規定的時間及方式向SICAV提供SICAV所需資料，以符合印度適用法律，否則投資者或須贖回全部或部分股份。

- c. I/We declare that each of the above representations and acknowledgements is deemed to be made on each day from the date I/we make such representations through and including the date on which I/we dispose of my/our Shares. I/We agree and undertake to promptly provide written notice to the SICAV of any change in the above-mentioned representations and acknowledgements.

c. 本人/吾等聲明上述每項聲明和確認皆被視作由本人/吾等作出該等聲明之日起直至（並包括）本人/吾等出售本人/吾等股份之日止期間內每一天均有作出。本人/吾等同意並承諾，若上述聲明及確認有任何變動，將會迅速向SICAV作出書面通知。

Please refer to the Prospectus for the definition of Resident Indian, NRI and OCI. 印度居民、非定居印度人及印度海外居民之定義請參閱章程。

Section 6 第六部份 – Declarations and Signature(s) (continued) 聲明及簽署 (續)**Transferor's Signature(s) 轉讓人簽署**

1.	Signature 簽署	2.	Signature 簽署
	Print name 姓名		Print name 姓名
3.	Signature 簽署	4.	Signature 簽署
	Print name 姓名		Print name 姓名
	Contact phone number 聯絡電話		Date 日期

Transferee's Signature(s) 承讓人簽署

1.	Signature 簽署	2.	Signature 簽署
	Print name 姓名		Print name 姓名
3.	Signature 簽署	4.	Signature 簽署
	Print name 姓名		Print name 姓名
	Contact phone number 聯絡電話		Date 日期

Signature(s) of Witness 見證人簽署

1.	Signature 簽署	Address 簽署
	Print name 姓名	Date 日期
2.	Signature 簽署	Address 簽署
	Print name 姓名	Date 日期

Section 7 第七部份 – Personal Information Collection Statement 收集個人資料聲明

I/We, by signing herein, hereby expressly consent that my/our personal data may be held by the SICAV, Management Company, Sub-Distributor (including Invesco Hong Kong Limited), and/or Registrar & Transfer Agent and/or the Data Processing Agent and will be used for the purposes of processing and administering my/our subscription in the Funds, 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 Funds (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). 本人/吾等, 透過簽署本文件, 謹此明確同意 SICAV、管理公司、分經銷商(包括景順投資管理有限公司)及/或過戶登記處兼轉讓代理人及/或資料處理代理人可保留本人/吾等的個人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); 此等資料將構成收款人業務之部份記錄; 以遵行任何有關適用司法管轄區的法律、政府或監管規定(包括任何所屬收款人的資料披露及通知的規定)。

I/we also acknowledge and by signing herein expressly consent that the SICAV, Management Company, Sub-Distributor (including Invesco Hong Kong Limited) and/or the Registrar & Transfer Agent and/or the Data Processing Agent may disclose and transfer such information subject to applicable laws to the auditors of the SICAV and the Management Company, including any of their employees, officers, directors and agents and/or to the ultimate holding company of the Management Company and the Registrar & Transfer Agent and/or the Data Processing Agent 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 my/our country of residence. Your information shall be disclosed to third parties where necessary for legitimate business interests only. This may

include disclosure to third parties such as auditors, regulators, tax authorities or agents of the Management Company, SICAV, Sub-Distributor, Administration Agent, Registrar & Transfer Agent and/or the Data Processing Agent who process the data inter alia for anti-money laundering and counter-terrorist financing purposes, for Foreign Account Tax and Compliance Act ("FATCA") purposes or for compliance with foreign regulatory requirements. 本人/吾等亦確認及透過簽署本文件，謹此明確同意 SICAV、管理公司、分經銷商(包括景順投資管理有限公司)及/或過戶登記處兼轉讓代理人及/或資料處理代理人可披露或轉交有關資料予 SICAV 及管理公司的核數師，及其僱員、主任、董事及代理人；及/或管理公司、過戶登記處兼轉讓代理人及/或資料處理代理人的最終控股公司；及/或附屬公司及/或聯營機構；或任何受僱之第三者為提供或轉交資料予任何人士而提供行政、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)及/或僱主或其有關聯公司，而此等人士可以是處於本人/吾等居住國家以外的人士，惟須遵守適用法律規定。閣下的資料僅在必要時，為合法的商業利益而向第三方披露，當中可能包括向核數師及監管當局、稅務當局或管理公司、SICAV、分經銷商、行政代理人、過戶登記處兼轉讓代理人及/或資料處理代理人的代理人等第三方披露，而該等第三者處理資料的目的是在於防止洗黑錢及反恐怖份子集資活動的目的、就美國《海外賬戶稅收合規法案》(“《合規法案》”)目的，或為了遵從外國法規要求。

I/we have the right to obtain a copy of the information held about me/us, for which I/we may be charged a fee. Such request should be directed to the Data Protection Officer c/o Head of Compliance, Greater China at the address of Invesco Hong Kong Limited. Invesco Hong Kong Limited, or any company within the Invesco Ltd. Group, or companies of the group of the Administrator/Administration Agent/Registrar and Transfer Agent/Custodian, and agents or delegates of such companies, intend to use my/our name, telephone number, fax number, email address, correspondence address, investment records for direct marketing purposes in connection with investments in other investment fund(s) managed or administered by the Invesco Ltd Group which may include the provision of offers, promotions and benefits by companies within the Invesco Ltd. Group. However, you may not do so unless you have received my/our consent. 本人/吾等有權在可能須支付費用的情況下，索取一份有關本人/吾等的個人資料複本。有關要求將郵寄至景順投資管理有限公司的地址，向資料保障主任轉交大中華區監察總監提出。景順投資管理有限公司，或景順集團旗下任何公司，(或行政管理人/行政代理/過戶登記代理/託管人集團公司，以及該等公司的代理人或獲授權代表)，擬把本人/吾等的(姓名、電話號碼、傳真號碼、電郵地址、郵寄地址、投資紀錄)用作與投資於由景順集團管理或進行行政管理的其他投資基金相關的直接市場推廣用途，可能包括由景順集團旗下公司提供的優惠、宣傳及利益。然而，除非得到本人/吾等的同意，否則貴公司不得作出上述行動。

My/our signature on Section 6 of this form indicates my/our agreement to such use. Should I/we find such use of my/our personal data not acceptable, I/we would have indicated my/our objection before signing by ticking the box below. 本人/吾等於本文件第 6 部份之簽署表示本人/吾等同意貴公司作出上述用途。若本人/吾等不接受把其個人資料作上述用途，於簽署前已在以下方格加上剔號，以表示本人/吾等提出反對。

- By ticking herein, I/we do not agree to the use of my/our personal data for direct marketing purposes as mentioned in the above paragraph. 本人/吾等謹在此處註明，不同意本人/吾等的個人資料以作上文所述的直接市場推廣用途。

I/we may request at any time without charge request you to cease using my/our personal data for direct marketing purposes as mentioned in the above paragraph. Such request will be directed to the Data Protection Officer c/o Head of Compliance, Greater China at the address of Invesco Hong Kong Limited. 本人/吾等可隨時要求貴公司停止使用本人/吾等的個人資料以作前段所述的直接市場推廣用途，而無需繳付任何費用。有關要求將郵寄至景順投資管理有限公司的地址，向資料保障主任轉交大中華區監察總監提出。

Contact Information 聯絡資料

Telephone : (852) 2840 6622
E-mail : APACqueries@invesco.com

電話: (852) 2840 6622
電郵: APACqueries@invesco.com

Forms Submit:

Mail to: Transfer Agency Department
The Bank of New York Mellon, Hong Kong Branch
Level 26, Three Pacific Place
No. 1 Queen's Road East
Hong Kong

遞交表格:

郵寄: 紐約梅隆銀行 - Invesco 過戶代理
香港皇后大道東 1 號
太古廣場三座 26 樓

Fax : (852) 800 930 112

傳真: (852) 800 930 112

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