

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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SWPM

INCI05

Occupational Retirement Schemes

職業退休計劃

Change of Investment Instruction by Employer – HSBC Pooled Provident Plan
僱主更改投資指示 – 滙豐集成公積金計劃

- Note 注意:
1. Please complete in BLOCK LETTERS. 請用正楷填寫。
 2. To effect the change of investment instruction on your selected effective date, this form should be received by The Hongkong and Shanghai Banking Corporation Limited on or before 20th of the preceding month. 香港上海滙豐銀行有限公司須於本表格生效日期前一個月的20號或之前收到本表格，方可於指定的生效日期更改投資指示。
 3. Your investment instruction will apply to all of the employees under the employer specified by you in Section A. 你的投資指示將會應用於你在A部分所指定之僱主下的所有僱員。
 4. The total allocation percentages for redeemed amount to be invested and new contributions must add up to 100% respectively. Otherwise, the instruction cannot be effected. 所兌現的資金之投資分配百分比及新供款投資分配之百分比總和必須分別為100%。否則，此項指示不能生效。
 5. Your instruction will be processed on the first dealing day (every Tuesday is a dealing day) of the month specified by you in Section B. 你的指示將會按你在B部分所指定月份的第一個交易日(每逢星期二是交易日)進行處理。
 6. If dealing day falls on public holiday for any investment fund, the dealing day for the respective investment fund will be the following business day. 如有任何投資基金的交易日適逢在公眾假期，有關投資基金的交易日會順延至下一個營業日。
 7. HSBC Guaranteed Fund is closed to new subscriptions and ceased to be a Designated Fund effective 1 February 2010. 由2010年2月1日起滙豐保證基金已終止接受新認購，並停止成為「指定基金」。
 8. Switch-out from the HSBC Guaranteed Fund can only be processed once a year in September, with not less than a six months' notice expiring on 31 August in a year and the members' written consent for switching out from the HSBC Guaranteed Fund. Please submit the members' written consent together with this form, otherwise the instruction cannot be effected. 滙豐保證基金之投資基金轉出只可於每年9月進行並需於每年8月31日前給予不少於六個月的通知及提供成員的書面同意書。請將成員的書面同意書連同此表格一併寄回，否則此項指示不能生效。
 9. 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。
 10. Please read Section F Personal information collection statement. 請閱讀F部分之收集個人資料聲明。

A. Employer information 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. Effective date of change 更改生效日期

1st	/	/
_____	_____	_____
Day 日	Month 月	Year 年

C. Asset switch of existing account balances 現有賬戶結餘資產調配
(Example please refer to Section G – Asset Switch 例子請參考G部分 – 資產調配)

Completing this section will change the investment allocation of your employees' existing account balances ONLY. By completing this section, the specified 'Percentage to be redeemed' of the units held in the investment fund(s) will be redeemed on the first dealing day of the month specified by you in Section B, and the redemption proceeds based on the specified 'Allocation percentage of redeemed amount' will be used to subscribe units in the investment fund(s) on the first dealing day of the relevant investment fund after receipt of the redemption proceeds by the Trustee. For information on dealing day, please refer to Notes 5 and 6 of this form. If you would like to change the investment allocation instructions for your employees' new contributions, please complete Section D of this form. 此部分的指示將只更改你的僱員現有賬戶結餘的投資分配。你於此部分所指定的投資基金之「兌現的百分比」單位將會按你於B部分所指定之月份的第一個交易日沽出。而在受託人收到所兌現的資金後，所兌現的資金將會按所指定的「所兌現的資金之投資百分比」在有關投資基金之第一個交易日購入。有關交易日的資料，請參閱此表格的注意5及6。如欲更改你的僱員新供款的投資分配指示，請填寫此表格D部分。

- 'Percentage to be redeemed' means the percentage of your employees' current units holding of a fund that you would like to redeem. You can choose to redeem units from more than one fund. 「兌現的百分比」指你欲沽出僱員現時所持有的基金單位之百分比。你可選擇沽出多於一項基金的單位。
- 'Allocation percentage of redeemed amount' means the allocation percentage for the fund(s) in which you would like to have the redemption proceeds to be invested. The total allocation percentage must add up to 100%, otherwise the instruction cannot be effected. 「所兌現的資金之投資百分比」指你運用沽出單位所得的資金購入其他基金的百分比。百分比的總和必須為100%，否則此項指示不能生效。

Employer Account 僱主賬戶			
Investment Fund Name 投資基金名稱	Investment Fund ID 投資基金編號	Percentage to be redeemed 兌現的百分比	Allocation percentage of redeemed amount 所兌現的資金之投資百分比
HSBC Managed Balanced Fund – Class Acc (HKD) 滙豐均衡管理基金 – 累積單位(港元)	PPPHSBC	%	%
HSBC Global Money Fund – Class L (HKD) 滙豐環球貨幣基金 – L 類單位(港元)	PPPGMF	%	%
Schroder Balanced Investment Fund – HKD A Acc (HKD) 施羅德組合投資基金 – 累積單位 – A 類別(港元)	PPPSCH-A	%	%
Allianz Oriental Income – Class AT Acc (USD) 安聯東方入息基金 – AT 類累積股份(美元)	PPPOIF	%	%
HSBC Guaranteed Fund* 滙豐保證基金*	PPPHKBG*	(For effective date of change on 1st of September only) (只適用於9月1日之更改生效日期)	N/A 不適用
Total % 百分比總和		%	100%

Member Account 成員賬戶			
Investment Fund Name 投資基金名稱	Investment Fund ID 投資基金編號	Percentage to be redeemed 兌現的百分比	Allocation percentage of redeemed amount 所兌現的資金之投資百分比
HSBC Managed Balanced Fund – Class Acc (HKD) 滙豐均衡管理基金 – 累積單位(港元)	PPPHSBC	%	%
HSBC Global Money Fund – Class L (HKD) 滙豐環球貨幣基金 – L 類單位(港元)	PPPGMF	%	%
Schroder Balanced Investment Fund – HKD A Acc (HKD) 施羅德組合投資基金 – 累積單位 – A 類別(港元)	PPPSCH-A	%	%
Allianz Oriental Income – Class AT Acc (USD) 安聯東方入息基金 – AT 類累積股份(美元)	PPPOIF	%	%
HSBC Guaranteed Fund* 滙豐保證基金*	PPPHKBG*	(For effective date of change on 1st of September only) (只適用於9月1日之更改生效日期)	N/A 不適用
Total % 百分比總和		%	100%

* HSBC Guaranteed Fund is closed to new subscriptions and ceased to be a Designated Fund effective 1 February 2010. Should you wish to switch out from this fund, not less than six months' notice expiring on 31 August in a year and the **members' written consent for switching out from the HSBC Guaranteed Fund are required from you. Please submit the members' written consent together with this form**, otherwise the instruction cannot be effected. 由2010年2月1日起滙豐保證基金已終止接受新認購，並停止成為「指定基金」。如涉及滙豐保證基金之投資基金轉出，你必須於每年8月31日前給予不少於六個月的通知及**提供成員的書面同意書**。請將成員的書面同意書連同此表格一併寄回，否則此項指示不能生效。

D. 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部分 – 重新分配新供款)

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

The investment allocation percentage must add up to 100%. Otherwise, the instruction cannot be effected. 投資分配百分比總和必須相等於100%。否則，此項指示不能生效。

Investment Fund Name 投資基金名稱	Investment Fund ID 投資基金編號	Investment Allocation 投資分配	
		Employer Account 僱主賬戶	Member Account 成員賬戶
HSBC Managed Balanced Fund – Class Acc (HKD) 滙豐均衡管理基金 – 累積單位(港元)	PPPHSBC	%	%
HSBC Global Money Fund – Class L (HKD) 滙豐環球貨幣基金 – L 類單位(港元)	PPPGMF	%	%
Schroder Balanced Investment Fund – HKD A Acc (HKD) 施羅德組合投資基金 – 累積單位 – A 類別(港元)	PPPSCH-A	%	%
Allianz Oriental Income – Class AT Acc (USD) 安聯東方入息基金 – AT 類累積股份(美元)	PPPOIF	%	%
Total % 百分比總和		100%	100%

E. 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 for my employees. 選擇上述投資分布給予我的僱員。
- understand and agree the change of investment instruction as specified in Sections C and D to be made on the above effective date. 明白及同意列於C及D部分之更改投資指示於上述日期生效。
- have read and understood the Notes above and the Personal information collection statement in Section F respectively. 已細閱及明白上述注意事項及F部分的收集個人資料聲明。
- have read and understood the offering document of the relevant investment fund. 已細閱及明白有關投資基金的銷售文件。

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

X

Date 日期

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

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

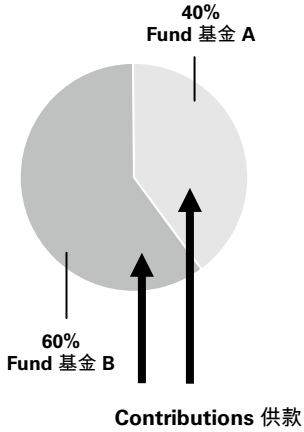
1. The personal data provided by Participating Employers (if applicable) and/or Members and details of transactions or dealings by such Participating Employers (if applicable) and/or Members from time to time may be used for one or more of the following purposes: - (i) the administration and/or management 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

Asset Switch 資產調配 – Example 例子：

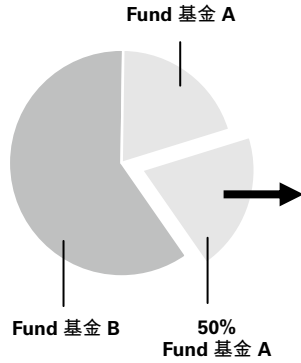
1 Existing 現時

Your existing asset allocation
你的現有資產分布



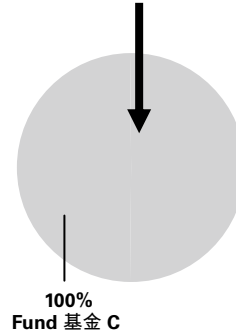
2 Switch Out 轉出

SELL a percentage of your fund
沽出部分基金



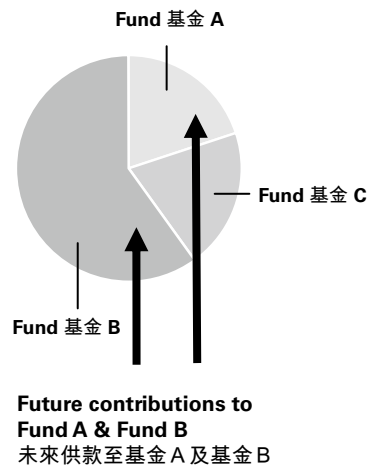
3 Switch In 轉入

Use the sold portion to BUY new funds (should be 100% in total)
利用已沽出的基金價值買入新基金 (總和必須為100%)



4 Result 結果

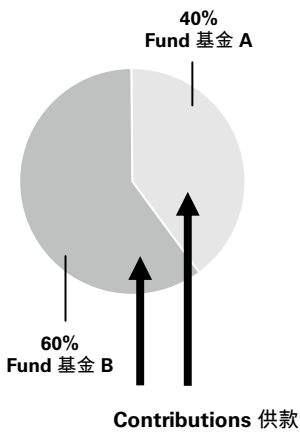
You now have 3 funds
你現時持有 3 種基金



Contribution Redirection 重新分配新供款 – Example 例子：

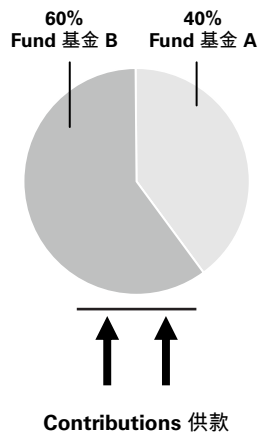
1 Existing 現時

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



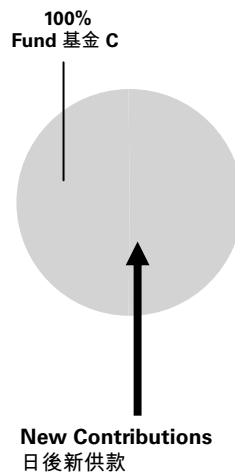
2 Stop 停止

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

