



中國信託綜合證券(香港)有限公司

CTBC Asia Limited

香港中環金融街 8 號國際金融中心二期 28 樓

28/F., Two International Finance Centre,

8 Finance Street, Central, Hong Kong.

電話 Tel : (852)2916 1772

傳真 Fax : (852)3101 0278

致：中國信託綜合證券(香港)有限公司

To : CTBC Asia Limited

債券贖回表格
Bond Redemption Form

客戶名稱

Account Name : _____

客戶號碼

Account Number : _____

Affiliation with product issuer (Yes or No):

(1) Yes: holding company/ subsidiary company/ affiliate company (Please delete where appropriate)

(2) No

持牌人或註冊人與產品發行人的聯繫(是/否):

(1) 是: 控股公司/附屬公司/聯營公司(請刪除不適用者)

(2) 否

We are **NOT** an independent intermediary because:

1. we receive fees, commissions, or other monetary benefits from other parties (which may include product issuers) in relation to our distribution of investment products to you. For details, you should refer to our disclosure on monetary benefits which we are required to deliver to you prior to or at the point of entering into any transaction in investment products;

2. we receive non-monetary benefits from other parties, or have close links or other legal or economic relationships with issuers of products that we may distribute to you.”

我們**並非**獨立的中間人，理由如下：

1. 我們有收取由其他人士(可能包括產品發行人)就我們向閣下分銷投資產品而提供的費用、佣金或其他金錢收益。詳情請參閱我們按規定在訂立任何投資產品交易前或在訂立任何投資產品交易時須向閣下提供的金錢收益披露；

及/或

2. 我們有收取由其他人士提供的非金錢收益，或與我們可能向閣下分銷的產品的發行人有緊密聯繫或其他法律或經濟關係。

We are an independent intermediary because:

1. we do not receive fees, commissions, or any other monetary benefits, provided by any party in relation to our distribution of any investment product to you; and

2. we do not have any close links or other legal or economic relationships with product issuers, or receive any non-monetary benefits from any party, which are likely to impair our independence to favour any particular investment product, any class of investment products or any product issuer.

我們是獨立的中間人，理由如下：

1. 我們沒有收取由其他人士就我們向閣下分銷任何投資產品而提供的費用、佣金或任何其他金錢收益；及

2. 我們與產品發行人沒有任何緊密聯繫或其他法律或經濟關係，或沒有從任何人士取得任何非金錢收益，而這些聯繫、關係或收益可能損害我們的獨立性，使我們偏向任何特定投資產品、任何投資產品類別或任何產品發行人。”

客戶簽署

Client's Signature: _____

(如公司客戶請蓋上公司印章及授權代表簽署)

[If a company please use company chop and signature of authorized person(s)]

日期

Date: _____



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To : CTBC Asia Limited

(Designated : Medium – High Risk Investment Derivative Product)

(界定為：中 - 高風險投資衍生產品)

債券名稱 Name of Bond(s)	ISIN Code	單位數量 Number of Unit(s)
Spread ***價差	0.5 percent of Principal amount for administrative & handling charge 認購額的 0.5 百分比率，作為附加收取的行政及手續費	

本人/吾等確認吾等已收到、參閱及明白有關上述債券的註釋備忘錄及相關資料。

I/We acknowledge that I/we have received, read and understood the Explanatory Memorandum and relevant information relating to the above Bond(s).

本人/吾等確認，就上述交易，吾等已獨立地且在沒有依賴中國信託綜合證券(香港)有限公司的情況下，作出判斷及決定。中國信託綜合證券(香港)有限公司將不會就任何其董事或僱員所提供之資料或推薦負任何責任，無論該等推薦是否就吾等之要求而作出。

I/We also confirm that I/we independently and without reliance on CTBC Asia Limited have made my/our judgment and decisions with respect to this/these transaction(s). CTBC Asia Limited shall not be liable whatsoever in respect of any information or recommendation rendered by any of its directors or employees, irrespective of whether or not such recommendation was given at my/our request.

本人/吾等確認並同意中國信託綜合證券(香港)有限公司可從集體投資計劃分銷代表或發行人，就有關其依本條款及條件提供予吾等之資料，收取出售或配售佣金(不管如何定名)。中國信託綜合證券(香港)有限公司有權為其利益保留該佣金且沒有義務就該佣金的全部或任何部份向吾等作出任何解釋或說明。

I/We acknowledge and agree that CTBC Asia Limited may receive a selling or placing commission (howsoever designated) from distributors representatives or issuers of any Collective Investment Scheme(s) in respect of which it provides information to me/us under these terms and conditions and that CTBC Asia Limited shall be entitled to retain such commission for its own benefit and shall have no obligation to account to me/us for all or any part of such commission.

客戶簽署

Client's Signature: _____

(如公司客戶請蓋上公司印章及授權代表簽署)

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