



# Matthews Asia

hk.matthewsasia.com

## Matthews Asia Funds Retail Investor Account Opening Form 銘基亞洲基金零售投資者開戶表格

Please complete using  
block capitals,  
sign and return to:

Matthews Asia Funds  
Transfer Agency

**Brown Brothers  
Harriman (Hong Kong)  
Limited**

80 Route d'Esch,  
L-1470 Luxembourg

Tel:  
+352 474 066 7133

Fax:  
+352 474 066 7134

請以正楷填寫，簽署並交  
回至：

布朗兄弟哈里曼（香港）  
有限公司

香港中環德輔道中68號萬  
宜大廈13樓

傳真：  
+352 474 066 7133

電話：  
+352 474 066 7134

Matthews Asia Funds  
Retail Investor  
Account Opening Form  
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銘基亞洲基金零售投資者  
開戶表格1/7頁

PLEASE READ AND CONSIDER THE RELEVANT PROSPECTUS BEFORE COMPLETING THIS ACCOUNT OPENING FORM.  
於填寫本開戶表格前，請參閱及注意有關章程。

### 1. Account Registration Details 賬戶登記詳細資料

**First Account Holder** 首名賬戶持有人

Mr 先生  Mrs 太太  Ms 女士

First Name(s) 名字

Surname 姓氏

**Registration Address** 登記地址

Only one registered address can be accepted. No P.O. Box or C/o addresses.  
只接受一個登記地址。不接受郵政信箱或轉交地址。

Street Address 街道地址

City 城市

Postal Code 郵政編碼

Country 國家

Email Address 電郵地址

Date of Birth (mm-dd-ccyy) 出生日期(月-日-年)

City of Birth 出生城市

Country of Birth 出生國家

Passport/ID Number 護照/身份證明文件號碼

Issued at (country) 簽發(國家)

Tax ID Number 報稅號碼

Country of taxation 徵稅國家

**Second Account Holder** or 次名賬戶持有人或

**Minor Holder** 未成年持有人

Mr 先生  Mrs 太太  Ms 女士

First Name(s) 名字

Surname 姓氏

Date of Birth (mm-dd-ccyy) 出生日期(月-日-年)

City of Birth 出生城市

Country of Birth 出生國家

Passport/ID Number 護照/身份證明文件號碼

Issued at (country) 簽發(國家)

Tax ID Number 報稅號碼

Country of taxation 徵稅國家

For additional account holders, please attach a separate sheet providing the information requested above for each.  
就其他賬戶持有人而言，請附上單頁以就各人提供以上所需資料。

### 2. Correspondence (Mailing) Address 通訊(郵寄)地址

If you would like your statements, shareholder reports and other Fund communications mailed to a different address than the one provided in Section 1, provide it below:

如閣下希望我們將閣下的結單、股東報告及其他基金通訊郵寄至與第1部所提供者不同的地址，請於以下填寫：

Mailing Address, PO Box or C/o 郵寄地址、郵政信箱或轉交地址

City 城市

Postal Code 郵政編碼

Country 國家

### 3. Financial Adviser Details 財務顧問詳細資料

Please complete if submitting application through a financial adviser or other third party.  
如透過財務顧問或其他第三方提交申請，請填寫此部分。

Name of Adviser 顧問姓名

Financial Adviser Number 財務顧問號碼

Name of Company 公司名稱

Mailing Address 郵寄地址

City 城市

Postal Code 郵政編碼

Country 國家

Telephone Number 電話號碼

Fax Number 傳真號碼

#### Professional Adviser Stamp

專業顧問蓋印

We hereby confirm that we have verified the identity of the investor(s) and related parties (e.g. power of attorney holder) by viewing original identification documents. Copies of these documents will be kept by us for a minimum of six years after the termination of the relationship. Certified true copies of said identification documents will be provided to the Fund and/or the Administrator upon request.

我們謹此確認我們已透過查閱身份證明文件正本核實投資者及關連人士（如授權書持有人）身份。我們將於關係終止後保留該等文件副本至少6年。有關身份證明文件的經認證真確副本將於要求下提供予本基金及／或行政管理人。

X

Financial Adviser's Signature 財務顧問簽署

### 4. Bank Account Details 銀行賬戶詳細資料

The bank account details below shall apply to all electronic wires to and from this account.

以下的銀行賬戶詳細資料必須適用於往來此賬戶的所有電匯。

Name of Account (must be in the name of the shareholder) 賬戶名稱 (必須以股東名義)

Account Number 賬戶號碼

Bank 銀行

SWIFT Code SWIFT編碼

Address of Bank 銀行地址

City 城市

Postal Code 郵政編碼

Country 國家

Currency of Bank Account 銀行賬戶貨幣

## 5. Investment Details 投資詳細資料

Please indicate in which funds you wish to invest: 請表明閣下有意投資的基金：

Fund Name 基金名稱	ISIN Code ISIN編碼	Amount to Invest 投資金額	Currency 貨幣 (EUR, USD, GBP or HKD) (歐元、美元、英鎊或港幣)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

If you are already invested in Matthews Asia Funds, please provide your client account number:  
如閣下已投資於銘基亞洲基金(Matthews Asia Funds)，請提供閣下的客戶賬戶號碼：\_\_\_\_\_

## 6. Payment Methods 付款方法

**WIRE TRANSFER:** Total subscription amount payable to be remitted indicating shareholder's name, account number and deal reference (if known) to the following bank details:

電匯：列明股東姓名、賬戶號碼及交易參考（如知悉）的應付總認購金額將電匯至以下銀行，詳細資料如下：

Currency 貨幣	Correspondent Bank 銀行	In favour of 請註明	For account of 帳戶號碼	Account # 號碼	Reference
EUR 歐元	HSBC Bank PLC, London MIDLGB22 GB49MIDL40051537860431	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number
GBP 英鎊	Barclays Bank PLC BARCGB22 GB77BARC20325353623157	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number
USD 美元	Citibank NA, New York Swift CITIUS33 9250276	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number
HKD 港幣	The Hong Kong and Shanghai Banking Corporation Ltd, Hong Kong HSBCHKHH 002893337001	Brown Brothers Harriman, NY BBHCUS33	Matthews Asia Funds Sub/Red account	1174820	Register + Order Number

## 7. Distribution Options 股息選項

All distributions will be reinvested unless otherwise indicated.

除非另有指明，否則所有股息將用作重新投資。

Reinvest 重新投資

Cash. If no bank details are provided, reinvest option will apply. 現金。倘無提供銀行詳細資料，將採用重新投資選項。

## 8. General Provisions 一般條款

**AML documentation required** 所需AML文件：

✓ In the case of an individual/beneficial owner/all joint applicants:

✳ A certified true copy of a valid passport or of an official identity card duly certified by a public authority. Certification may be performed by a public authority such as a governmental agency, notary, the police in country of residence or the embassy/consulate and the date of certification must be within the previous 12 months.

✳ A copy of a utility bill must be dated within the previous three (3) months.

✳ PLEASE NOTE: If your signature does not appear on your passport or official identity card, your signature specimen will have to be certified together with the copy of the identity document.

✓ In the case of a minor

✳ A certified true copy of the minor's birth certificate

✳ A certified true copy of the passports of all legal guardians

✓ 如屬個人/實益擁有人/所有聯名申請人：

✳ 有效護照的經認證真確副本或經公共機關正式認證的官方身份證。認證可由公共機關（例如居住國家的政府機關、公證人、警察或大使館/領事館）進行，而認證日期必須為過去12個月內。

✳ 公用事業帳單副本的日期，必需為過去三(3)個月之內。

✳ 請注意：如閣下的護照或官方身份證並無閣下的簽名，閣下的簽名樣本須與身份證明文件一併經認證。

Investors who wish to invest in other currencies should contact the Transfer Agency.

有意以其他貨幣投資的投資者應聯絡過戶代理。

## 8. General Provisions (continued) 一般條款 (續)

✓ 如屬未成年人士

- ✳ 未成年人士的出世證書經認證真確副本
- ✳ 所有合法監護人的護照經認證真確副本

**Declarations and Signature(s)** 聲明及簽署：

*As a shareholder, I/we by signing hereunder expressly declare, acknowledge and confirm the following:*

- ✳ Subscription orders will only be accepted if all supporting registration documentation have been received and validated by the Transfer Agency before the relevant cut-off time as detailed in the latest copy of the prospectus.
- ✳ I/We have read a copy of the latest prospectus of the fund and am/are fully aware of and understand the financial risk associated with a subscription to the fund and I/we accept that any market fluctuations may lead to a loss of all or part of my/our investment.
- ✳ I/We agree to transfer the correct subscription amount in the correct currency within the prescribed time limit to the correct bank account. I/We understand that in the case of late payment or non-payment of the correct subscription amount the subscription may be cancelled and the fund may take action, non-judicial or otherwise against me/us/our representative in order to recover any losses or costs incurred as a result of late or non-payment.
- ✳ I am/We are not a US Person (see prospectus for definition) and am/are not applying for shares on behalf of any US Person.
- ✳ When making and signing an application as joint-holders, all registered holders must jointly authorize any dealing or other instructions in writing unless a separate signing authority has been confirmed under section 1 of this document. For additional joint-holders a separate notice must be completed and returned to the Transfer Agency.

作為股東，本人／吾等謹此簽署，以明確聲明、知悉及確認以下各項：

- ✳ 認購指示僅於過戶代理於最新章程詳述的有關截止時間前收到及確認所有支持登記文件方獲接納。
- ✳ 本人／吾等已閱讀基金最新的章程，並已完全留意到及了解有關認購基金的財務風險，且本人／吾等接受任何市場波動可能導致損失本人／吾等全部或部分投資。
- ✳ 本人／吾等同意於規定時限內以正確貨幣轉讓正確認購金額至正確銀行賬戶。本人／吾等明白如屬逾時支付或並無支付正確認購金額，認購可能被取消，而基金可能對本人／吾等／吾等代表採取行動（不論非司法或其他），以彌補因逾時或並無付款而產生的任何損失或成本。
- ✳ 本人／吾等並非為美國人士（定義見章程），而本人／吾等並非代表任何美國人士申請股份。
- ✳ 當以聯名持有人作出及簽署申請時，所有登記持有人必須以書面共同授權任何交易或其他指示，除非另一份簽署授權書已根據本文件第1部獲確認。就額外聯名持有人而言，必須填妥另一份通知，並交回過戶代理。

**Data Protection** 資料保障：

- ✳ The Investor is hereby informed that Brown Brothers Harriman (Luxembourg) S.C.A., acting as Custodian, Administrative Agent, Domiciliary Agent, Paying Agent, Registrar and Transfer Agent for Matthews Asia Funds, processes data of the Investor.
- ✳ The Investor hereby consents and authorises the BBH Entities (as defined below) to collect, use, process, share, store and, under their own responsibility, transmit data for any of the purposes described below, within the group of Brown Brothers Harriman & Co.(the "Data Sharing Authorisation").
- ✳ The Investor acknowledges and agrees that its data will be shared on a cross-border basis between and among various entities, acting under their own responsibility, within the Brown Brothers Harriman & Co. group (the "BBH Entities"), which are located in various jurisdictions. Information which may be shared and retained among the BBH Entities may include personal data, including name, email, phone number, address, account numbers, data on transactions, trading and settlement and any other information required to perform requested services ("Personal Data").
- ✳ The Investor instructs the collection, use, processing, sharing, holding or transmitting of Personal Data specified above among the BBH Entities for the following purposes: to process, manage and administer the Investor's holding in the Fund and any related accounts on an on-going basis; to comply with legal or regulatory requirements applicable to the Fund or the Investor; for disclosure or transfer to BBH Entities anywhere in the world, including the United States of America, which may not have the same data protection laws as Luxembourg; where necessary, for the purposes of notification to the relevant revenue authorities in accordance with the EU Directive 2003/48/EC and applicable local regulations on taxation of savings income in the form of interest payments; and for any other specific purposes where the Investor has given specific consent to do so.
- ✳ The BBH Entities for the purposes of this Data Sharing Authorisation only may include Brown Brothers Harriman (Luxembourg) S.C.A., Brown Brothers Harriman Fund Administration Services (Ireland) Ltd., Brown Brothers Harriman (Poland) Sp. z o.o., Brown Brothers Harriman & Co., Brown Brothers Harriman (Hong Kong) Ltd., Brown Brothers Harriman Investment Services (Japan) Inc. and Brown Brothers Harriman Trust Company (Cayman) Limited, or any other entity within the BBH group of companies located in other jurisdictions which are subject to regulatory or prudential supervision.
- ✳ In addition, the Investor consents and authorises the BBH Entities to share any Personal Data with the Fund, Matthews Asia Funds., its management company, and it's or their delegates and duly appointed agents and any

## 8. General Provisions (continued) 一般條款 (續)

of their respective related, associated or affiliated entities, regulatory bodies with competent jurisdiction over any of the BBH Entities, tax authorities, and with other third parties including the Investor's financial advisors (where appropriate), auditors and technology providers, for purposes specified above. This Data Sharing Authorisation will continue in effect until the Investor informs Brown Brothers Harriman (Luxembourg) S.C.A. in writing of its intention to revoke such consent. The Investor may withdraw this consent at any time in its sole discretion. Moreover, the Investor is hereby informed that the Fund acting as data controller collects, stores and processes the Personal Data for the purpose of fulfilling the services required by the Investor and complying with its legal obligations such as: (i) maintaining the register of Investors; (ii) processing subscriptions, redemptions and conversions of shares and payments of dividends to Investors; (iii) maintaining controls in respect of late trading and market timing practices; (iv) complying with applicable anti-money laundering rules; and (v) marketing.

- \* The Investor is hereby informed that the Fund may delegate the processing of the Investor's Personal Data to one or several entities which are located in the European Union, such as Matthews Asia Funds and Matthews International Capital Management LLC, acting as Investment Manager. Matthews International Capital Management LLC, acting as Investment Manager, may however in its capacity as data controller and under its own responsibility, decide—in compliance with its privacy policy which is available at [www.matthewasia.com](http://www.matthewasia.com)—to further transfer the Personal Data to entities which are located in the European Union, or in countries which may not offer an adequate level of protection, such as Matthews International Capital Management LLC.
- \* The Investor consents and authorises Matthews International Capital Management LLC to transfer his Personal Data to the Matthews Asia Funds.
- \* The Investor is hereby informed that he has a right to access his Personal Data and may ask for a rectification thereof in cases where such Personal Data is inaccurate or incomplete. The Investor may contact Brown Brothers Harriman (Luxembourg) S.C.A. in writing in this regard.

資料保障：

- \* 投資者的資料將會交由銘基亞洲基金的託管人、行政代理人、帳戶代理人、付款代理人及過戶登記代理人 Brown Brothers Harriman (Luxembourg) S.C.A. 處理，特此通告。
- \* 投資者在此同意並授權BBH各公司（定義見下文）收集、使用、處理、共享、存儲，並在其責任內為下述任何目的，在布朗兄弟哈里曼有限公司的集團內傳輸資料（以下簡稱「資料共享授權」）。
- \* 投資者確認並同意，其資料將在跨境基礎上，於分別位於不同司法管轄區內的Brown Brothers Harriman & Co. group各公司（以下簡稱「BBH各公司」）之間，並在BBH各公司的責任內分享。可能在BBH各公司之間共享及保留的信息可能包括個人資料，當中包括姓名、電子郵件、電話號碼、地址、賬號、交易、買賣及結算及任何其他在執行所需服務時所需用的資料（個人資料）。
- \* 上述個人資料的收集、使用、處理、共享、持有或在BBH各公司之間的傳輸將由投資者指示執行，用於以下目的之一：在持續的基礎上，對投資者在基金和其他相關帳戶之所持有進行處理、管理和行政；符合適用於基金或投資者的法律或法規的要求；披露或轉移到包括美國的世界任何BBH各公司，而美國與盧森堡可能不具有相同的數據保護法；
- \* 在必要時，按照歐盟指令2003 / 48 / EC和就利息支付的形式儲蓄收入徵稅的目的之適用地方性法規，通知有關稅收部門；及投資者已給予特別同意的任何其他特定目的。
- \* 為資料共享授權單一目的而定義之BBH各公司，可能包括Brown Brothers Harriman (Luxembourg) S.C.A. S.C.A.、Brown Brothers Harriman Fund Administration Services (Ireland) Ltd.、Brown Brothers Harriman (Poland) Sp. z o.o.、Brown Brothers Harriman & Co.、布朗兄弟哈里曼（香港）有限公司、Brown Brothers Harriman Investment Services (Japan) Inc.、及Brown Brothers Harriman Trust Company (Cayman) Limited，或BBH各公司內，位於其他司法其他管轄區，受監管或審慎監管的任何公司。
- \* 此外，投資者同意並授權BBH各公司與基金，即銘基亞洲基金，其管理公司，它的或他們的代表和正式委任的代理人及任何彼等各自聯繫的相關或附屬公司，任何對BBH各公司有管轄權的監管機構及稅務機關，並與包括投資者的財務顧問（如適用），審計師和技術提供商等其他第三方，為上述目的共享任何個人資料。直至投資者以書面向Brown Brothers Harriman (Luxembourg) S.C.A. 撤銷該項同意為止，此資料共享授權將繼續生效。投資者可自行決定隨時撤銷此項同意。此外，特此告知投資者，該基金作為資料控制員，將收集、存儲和處理個人資料，以達到執行投資者所需服務，及符合其法律責任的目的，例如：（一）維護投資者的登記資料；（二）執行對股票的購買、贖回、轉換服務及向投資者派息；（三）在尾盤和市場時機方面維持控制；（四）符合任何適用的反洗黑錢法規；及（五）市場推廣。
- \* 特此通告投資者，基金可以委託位於歐盟內的一間或多間公司處理投資者的個人資料，例如銘基亞洲基金，及作為投資經理的銘基國際投資公司。作為投資經理的銘基國際投資公司，可以在其資料控制員的職權，及在其責任內，在符合其發佈於[www.matthewasia.com](http://www.matthewasia.com)之私隱條款之下，決定進一步將個人資料傳輸予在歐盟內的其他公司，或至其他未必提供足夠保障的國家，例如銘基國際投資公司。
- \* 投資者同意並授權銘基國際投資公司將其個人資料轉移到銘基亞洲基金。
- \* 投資者有權存儲其個人資料，可以在信息不準確或不完整之情況下，要求更改個人資料。就此方面，投資者可書面聯絡Brown Brothers Harriman (Luxembourg) S.C.A. S.C.A.。特此通告。

## 8. General Provisions (continued) 一般條款 (續)

### Fax & Email Indemnity 傳真及電郵彌償保證：

- ✳ I/We confirm that the Company and the Administrator may receive and act upon my/our faxed instructions, which the Administrator believes has been given in good faith. I/We agree to hold the Administrator harmless and to indemnify the Administrator for any loss or damage, which the Administrator may suffer as a result of acting on such faxed instructions. I/We agree that the Transfer Agency will not accept any transaction instructions or requests to change of any account static data by email.
- ✳ The fund or its Agent shall communicate to me/us at my/our own risk. I/we agree to accept communications conveyed by electronic means such as facsimile or email and acknowledge that these are not secure forms of communication, which may accordingly give rise to higher risks of manipulation or attempted fraud, for which the Manager of any of its delegates shall have no liability.
- ✳ I/We consent to details relating to my/our application and holdings being accessed by or disclosed to the Company's Promoter/Investment Manager, Matthews International Capital Management, LLC, and those Matthews International Capital Management, LLC companies to which it delegates marketing and investor servicing duties.
- ✳ 本人/吾等確認 貴公司及行政管理人可收到本人/吾等的傳真指示，並根據其行事，而行政管理人相信有關指示為真誠發出。本人/吾等同意避免行政管理人受損害，並對行政管理人因對有關傳真指示行事而蒙受的任何損失或損害作出彌償。本人/吾等同意過戶代理並不會接受經電郵發出的任何交易指示或更改任何賬戶狀況資料的要求。
- ✳ 基金或其代理與本人/吾等通訊時，風險概由本人/吾等承擔。本人/吾等同意接受以電子方式（如傳真或電郵）傳送的通訊，並知悉該等並非安全的通訊方式，可能會引致較高的操縱或意圖詐騙的風險，而其任何委託人的經理均不會承擔任何責任。
- ✳ 本人/吾等同意有關本人/吾等申請及持有量的資料可由 貴公司發起人/投資經理、Matthews International Capital Management, LLC及該等Matthews International Capital Management, LLC委託其負責市場營銷及投資者服務的公司取得或披露。

### Source of Wealth:

I am/We \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Full name of the ultimate economic beneficiary(ies) Date of Birth Place of Birth  
\_\_\_\_\_  
Passport number Address

herewith confirm that I/we am/are the ultimate economic beneficiary(ies) of the investments made into the above-named Fund.

Furthermore, I/we herewith confirm, that the investment monies made available to the above-named Fund and coming from

\_\_\_\_\_ are not from a third party and are not from a criminal origin, of  
Name of bank and account number  
any nature, and in particular do not constitute the proceeds of either money laundering or terrorism.

### Occupation:

\_\_\_\_\_  
Type, name of the company if applicable, location

### 資金來源

我/我們 \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
最終的經濟受益人的姓名（或多名受益人的姓名） 出生日期 出生地點  
\_\_\_\_\_  
護照號碼 地址特此確認我

我/我們 是對上述基金之投資的最終經濟受益人（或多名受益人）。

與此同時，我/我們特此確認投資於上述基金的資金，以及來自〔銀行名稱及戶口號碼〕的資金並非來自任何第三方，亦非來自任何性質的犯罪行為，尤其與洗黑錢或恐怖活動所得的資金無關。

\_\_\_\_\_  
職業：類型，公司名稱（如適用），地點

### Beneficial Owner Declaration 實益擁有人聲明：

Please tick as appropriate:

- I am/We are investing on my/our own behalf and I am/we are the ultimate economic beneficiary(ies) of the funds and any subsequent income invested.
- I am/We are investing on behalf of a third party who is the ultimate economic beneficiary of the funds and any subsequent income invested. If investing on behalf of a third party, the third party has to be fully identified.

## 8. General Provisions (continued) 一般條款 (續)

請在適當空格加上剔號：

- 本人／吾等代表本人／吾等本身投資，而本人／吾等為基金及任何其後所投資收入的最終經濟受益人。
- 本人／吾等代表為基金及其後所投資收入的最終經濟受益人的第三方投資。如代表第三方投資，第三方的身份須獲全面鑒別。

**Declaration of U.S. Citizenship or U.S. Residence for Tax Purposes** 稅務上屬於美國公民或美國居民聲明:  
Please tick either (a) or (b) and complete as appropriate.

- (a) I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

\_\_\_\_\_

OR

- (b) I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

請剔選(a)或(b)並填寫所需內容。

- (a) 本人確認本人在稅務上為美國公民及／或美國居民，本人的美國聯邦納稅人識別編號（美國TIN）如下：

\_\_\_\_\_

或

- (b) 本人確認本人在稅務上並非美國公民或美國居民。

X  
Signature 1 簽署1

X  
Signature 2 簽署2

X  
Signature 3 簽署3

X  
Signature 4 簽署4

Date 日期

Place 地點