

須要投資者具有衍生工具認識的基金

目前宏利環球基金 – 策略收益基金僅供被分類為對衍生工具有一般認識的客戶認購。

如欲認購或轉換至上述基金，但從未被宏利分類為對衍生工具有一般認識的客戶，煩請填妥及簽署隨附的「衍生工具知識評估表格」連同「增加認購表格」或「轉換股份申請表格」交回。

如果您已經是宏利投資基金的股東帳戶持有人，您可登入宏利客戶網站，於網上完成「衍生工具知識評估表格」。

衍生工具知識評估是為符合證券及期貨事務監察委員會持牌人或註冊人操守準則第 5.1A 節所載的投資者分類的監管要求，以讓我們了解您是否對衍生工具的性質及風險有基本知識。

客戶一經被分類為對衍生工具有一般認識之後，我們無須再就該客戶進行有關評估。敬請細閱隨附之「認識衍生工具：常見問題」，以進一步了解衍生工具在投資基金的應用。

如有任何疑問，請聯絡客戶服務熱線 2108 1110 或您的宏利投資基金中介人。

Fund(s) that Require Investors to Have Derivatives Knowledge

Please be informed that at present Manulife Global Fund – Strategic Income Fund is available only to clients classified as having general derivatives knowledge.

Clients who intend to subscribe or switch to the above fund but have never been characterized by Manulife as having general derivative knowledge are invited to complete and sign the attached “Derivative Knowledge Assessment Form” and return it together with the “Subsequent Subscription Form” or “Switching Request Form” to us.

If you are an existing shareholder of Manulife Investment Fund(s), you can login Manulife’s Customer Website to complete the “Derivative Knowledge Assessment Form” online.

The derivative knowledge assessment enables us to understand whether you have general knowledge of the nature and risks of derivatives under the regulatory requirement of investor characterization pursuant to paragraph 5.1A of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

Once a client has been characterized as having knowledge of derivatives, we do not need to conduct such assessment on the client again. Please read the attached Derivative Knowledge Frequently Asked Questions for more information on the use of derivatives in investment funds.

If you have any questions, please feel free to contact our Customer Services Hotline at 2108 1110 or your Manulife Investment Funds Intermediary.

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DERIVATIVE KNOWLEDGE ASSESSMENT FORM

This form serves to help Manulife Asset Management (Hong Kong) Limited (“Manulife”) understand your knowledge in derivatives and assess whether your chosen Manulife’s investment fund (i.e. a unit trust or a mutual fund) is suitable for you. Your answers to the question(s) below would facilitate us to provide you with quality financial services. We will swiftly inform you of this assessment result.

Important Notes:

- (i) For a joint account, the applicant / holder who places orders or makes investment decisions for the account should complete and sign this form.
- (ii) For a corporate or unincorporated account, the authorized signatory who makes investment decisions on behalf of the company should complete and sign this form.

1. Do you have any general knowledge in the nature and risks of derivatives to appreciate some investment funds that use derivatives for investment purposes?

- A) No, I do not have and I do not intend to gain such knowledge. **(Please go to the confirmation section)**
- B) No, I do not have but I intend to gain such knowledge. **(Please go to the confirmation section)**
- C) Yes, I have but do not intend to further gain such knowledge. **(Please complete the remaining parts below)**
- D) Yes, I have and intend to further gain such knowledge. **(Please complete the remaining parts below)**

2. What is your source(s) of derivative knowledge? **(Tick one or more)**

- A) Completion of training organized by a financial institution.
- B) Completion of courses organized by an academic or professional institution.
- C) Present or past working experience related to derivative products.
- D) Trading experience of 5 or more transactions in any derivative product within the past 3 years.

3. Which of the following is not a type of derivatives?

- A) Forwards
- B) Futures
- C) Indexes
- D) Swaps

4. Which of the following is not a main purpose for trading derivatives?

- A) Arbitrage
- B) Capital appreciation
- C) Hedging
- D) Speculation

5. Which of the following is a false statement?

- A) Futures can be traded over the counter.
- B) Futures can be traded on exchanges.
- C) Options can be traded over the counter.
- D) Options can be traded on exchanges.

6. Which of the following is not a typical risk associated with derivative products?

- A) Credit risk
- B) Liquidity risk
- C) Market risk
- D) Social risk

7. What does hedging involve?

- A) Taking a futures position opposite to one's spot market position
- B) Taking a futures position parallel to one's spot market position
- C) Holding a portfolio of assets in different markets
- D) Holding both derivatives and assets

8. Which of the following will cause derivatives to magnify loss in adverse conditions?

- A) Hedging
- B) Leverage
- C) Redemption
- D) Switching

9. Which of the following is not a common feature that can be found in derivatives?

- A) Coupon
- B) Margin
- C) Premium
- D) Time value

10. Which of the following is a risk led by default of a third party?

- A) Management risk
- B) Market risk
- C) Liquidity risk
- D) Credit (Counterparty) risk

CONFIRMATION

A. If you answered A or B in question 1 above, please tick the box below.

- (1) I/We confirm that I/we have no knowledge of derivatives at present and understand that Manulife will not accept our subscription and switching instructions to acquire shares in any Manulife's investment funds that require my/our general knowledge in the nature and risks of derivative, until I/we have provided proof of my/our general knowledge in derivatives.

B. If you have answered A, B, C or D in question 2 above, please tick the following relevant boxes (one or more) and provide the corresponding proof (if this is not your first assessment).

- (1) I/We confirm that I/we have gained general knowledge in the nature and risks of derivatives through completion of training organized by a financial institution. I/we attach a copy of my/our training completion certificate(s).
- (2) I/We confirm that I/we have gained general knowledge in the nature and risks of derivatives through completion of courses organized by an academic or professional institution. I/we attach a copy of my/our qualification certificate(s).
- (3) I/We confirm that I/we have gained general knowledge in the nature and risks of derivatives through present or past working experience related to derivative products I/we attach a copy of my/our employment reference letter(s).
- (4) I/We confirm that I/we have gained general knowledge in the nature and risks of derivatives through trading experience of 5 or more transactions in any derivative products within the past 3 years I/we attach a copy of my/our trading account statement(s).

(1) I/We confirm that the above information is true and correct and I/we provide Manulife with the above information wholly based on my/our own judgment and decision.

(2) I/We consent that all information obtained from this form and related information may be utilized by and/or transferred to Manulife or its associated or related companies and/or their service providers regardless of where they are located or registered to enable them to perform marketing and investor servicing duties for me/us. Should I/we wish to access and/or correct my/our personal data held by Manulife or opt-out from receiving Manulife's promotional and/or direct marketing information, I/we will contact Manulife Privacy Officer whose information is available on www.manulife.com.hk.

Completed and Signed by:

Signature of Investor / Authorized Signatory*:

Full Name of Investor (Individual(s)/Company):

Investment Fund Account Number (where applicable):

Date (DD/MM/YYYY):

Witnessed by (if applicable):

Signature of SFC Licensed Person / Qualified Intermediary:

Full Name of SFC Licensed Person / Qualified Intermediary:

CE Number of SFC Licensed Person / Code of Qualified Intermediary:

Date (DD/MM/YYYY):

* For a joint account, the applicant / holder who places orders or makes investment decisions for the account should complete and sign this form. For a corporate or unincorporated account, the authorized signatory who makes investment decisions on behalf of the company should complete and sign this form.