

Hong Kong Baptist University 1998 Superannuation Fund

Rollover Procedure Guide

Important Note

- To obtain the forms/procedure, please contact the hotline of HSBC Global Asset Management (Hong Kong) Limited at 2284 1281 for enquiry.
- The leaving Member (the “Member”) must have an **Active Individual** HSBC Personal Investment Account (i.e. [ordinary investment account](#) or [HSBC Advance Account](#) or [HSBC Premier Account](#) or [HSBC SmartVantage Account](#)) registered under his/her own name for his/her rollover request for his/her entitlements. Joint account will not be accepted. The Hongkong and Shanghai Banking Corporation Limited (i.e. HSBC Bank) will have their own documentation requirements to open the Investment Account. The member will need to work with their Relationship Manager on this. If the member already has an investment account then the same one can be used.
- It should be noted that the processing time for unit rollover may require at least 30 calendar days after Bank Consortium Trust (“BCT”) submits the rollover instruction to BCT of the member’s HSBC Personal Investment Account.
- HSBC Investment Funds (Hong Kong) Limited (“HIFH”) will place the switching order once they received the form from BCT. The purpose of the rollover form is to instruct BCT to place a switching order from the provident/institutional class (i.e. P Share Class) to the retail class (i.e. A Share Class) of the relevant fund.
- If the form is received not on a dealing day for the relevant fund, the order will be placed on the next dealing date.
- Rollover arrangement is not available for the following investments, holdings in these investments will be redeemed and paid in cash:
 1. HSBC HKD Money Market
 2. HSBC USD Money Market

Rollover Procedure

I. Phrase One

- Member needs to complete the following document and submit to Bank Consortium Trust ("BCT") through HKBU.

1) Rollover Form (Annex A) – Action taken by Member, HKBU, and BCT

The purpose of this Form is to facilitate the member to give instruction to HKBU and BCT for the rollover. BCT should pass the completed form directly to HIFH to execute the switch trade from P to A Share Class. Please refer to Appendix A for the Rollover Form.

- i. Member to fill in and sign the Rollover Form and submit it to HKBU
- ii. HKBU to sign the Rollover Form and give it to BCT
- iii. BCT to sign the form and pass the Rollover Form to HIFH to process the switching trades of Share Class

II. Phrase Two

- **Once the switching trade completed, Member and BCT is required to take below action.**

2) Instrument of Transfer Form (Annex B) – Action taken by BCT

The purpose of this Form is to enable the Member to transfer units to our HSBC Branch. Please refer to Appendix B for the Instrument of Transfer Form.

- i. Once the switching trades are completed, HIFH will send a contract note to BCT, which will confirm the number of units of A Share Class received.
- ii. BCT or HKBU should inform the member the number of units of A Share Class received.
- i. BCT can instruct HIFH to transfer out the shares from the Scheme to the Member, using the "Instrument of Transfer Form".
- ii. BCT should return the original form to HIFH for processing.

3) Transfer In/Out of Unit Trusts Instruction Form (For Personal Customer) (Annex C) - Action taken by Member

The purpose of this form is to transfer the unit trust holdings to Member's Personal Investment Account at HSBC Bank. Member is required to fill in this form to instruct HIFH to match up the transfer.

- i. BCT or HKBU should advise the member the number of A Share Class units received so that the member is able to instruct the HSBC Bank to receive these units.
 - ii. This should be done on HSBC Bank own form.
 - iii. Please refer to Appendix C as a sample.
 - iv. **However, it is very important to note that the member should go to the Bank to get this form to complete and NOT use a print out of the attached form. (If necessary, they can take this form to the branch and show it as an example to clarify with the branch Relationship Manager).** The reason for this is because this is the form is subject to changes, which we in Asset Management would not be aware of.
- If the relationship manager in the bank is not clear, they can ask for help from calling our hotline at 2284 1281.

To: HSBC Investment Funds (Hong Kong) Limited
Fax: 3409 2667

From: HKBU 1998 Superannuation Fund – Bank Consortium Trust Co. Ltd. As Trustee

Investment Rollover to Personal Investment Account of Leaving / Retiring Member

DO NOT complete this form if Member would like to SELL ALL FUNDS and receive cash for his/her retirement settlement

PART 1 – PARTICULARS

Name of Retirement Scheme	:	Hong Kong Baptist University 1998 Superannuation Fund-Bank Consortium Trust Company Limited as Trustee [AHKRA0015157]
Full name of leaving / retiring Member	:	
Member's HKID no. & contact phone no.	:	HKID - Phone -
Member's personal Investment Account number at The Hongkong and Shanghai Banking Corporation Limited	:	
Transaction Date (to be completed by administrator)	:	

PART 2 – MEMBERS BENEFIT ENTITLEMENT

Existing Holdings		<u>To be completed by administrator</u>	<u>To be completed by administrator</u>
		Number of units entitle to member	Switching and Rollover Arrangement
1.	HKBU 1998 – High Growth Fund (HSBC Managed Growth Fund Provident Class)		to HSBC Managed Growth Fund A class
2.	HKBU 1998 – Growth Fund (HSBC Managed Balanced Fund Provident Class)		to HSBC Managed Balanced Fund A class
3.	HKBU 1998 – Balanced Fund (HSBC Managed Stable Growth Fund Provident Class)		(50%) to HSBC Managed Balanced Fund A class (50%) to HSBC Managed Stable Fund A class (** rounding as 3 d.p. for units)
4.	HKBU 1998 – Stable Fund (HSBC Managed Stable Fund Provident Class)		to HSBC Managed Stable Fund A class
5.	HKBU 1998 – Asia ex Japan High Div Fund (HGIF - Asia Pac ex Jap Eq High DIV-IC(USD))		to HGIF - Asia Pac ex Jap Eq High DIV-AD(USD)

Note: -

1 By completing this form, the Retirement Scheme instructs HSBC Investment Funds (Hong Kong) Limited to act on the instructions indicated by the Member under the title of the Retirement Scheme. The Retirement Scheme will switch the provident units of the relevant funds into the retail units (A Classes) of those funds. Subsequently, the Retirement Scheme will transfer those retail units into the member's investment account with the Hongkong and Shanghai Banking Corporation Limited. The procedure might involve opening of sub-account(s) for the Retirement Scheme for unit conversion and transfer purposes.

2 I (the Member) confirm that I have read the latest offering documents relating to the Funds (available from your Human Resources / Personnel / Finance Department) and agree to be bound by the terms therein (as amended from time to time). I acknowledge that the decision to invest is based on my own judgement without relying on any materials provided or advice given by any person, and I am fully aware of the nature of the Funds and the risks associated. All Funds in the member's personal investment account are subject to management fee rate of the relevant retail class. I declare that I am not a resident in the United States of America or Canada. I understand that I should allow 30 days for the units / shares to be transferred from the Retirement Scheme to my personal Investment Account at The Hongkong and Shanghai Banking Corporation Limited.

3 For price information, please check www.assetmanagement.hsbc.com/hk. **HSBC Members' Choice Enquiry Hotline – 2284 1281.**

Signature of leaving / retiring **Member**

Authorized signatory of **Employer**

Authorized signatory of **Scheme Administrator**

Date signed -

Date signed -

Date signed -

Important notes for rollover arrangement:

- For rollover from the provident / institutional class to the retail class of the relevant fund, the redemption from the provident / institutional class and the subscription into the retail class of the corresponding fund will be placed on the date the form is received by HSBC Investment Funds (Hong Kong) Limited.

RESTRICTED

2. If the date the form is received is not a dealing day for the relevant fund, the order will be placed on the dealing date immediately following the date of receipt.
3. Rollover arrangement is not available for the following investments, holdings in these investments will be redeemed and paid in cash:
 - HSBC HKD Money Market
 - HSBC USD Money Market

Version Date: 17 August 2015

SAMPLE

HKBU 1998 Superannuation Fund – Rollover Transfer Form

HSBC INVESTMENT FUNDS (HONG KONG) LIMITED

INSTRUMENT OF TRANSFER

Name of fund: HSBC Managed Fund A classI/We ("the Transferor") Hong Kong Baptist University 1998 Superannuation Fund-BankConsortium Trust Company Limited as Trustee AHKRA0015157 of (address) 18/F, Cosco Tower,183 Queen's Road Central, Hong Kong in consideration of the Sum of Dollars Nil paid tome/us by ("the Transferee") HSBC Nominees – INV UT Bulk A/C furthercredit to _____ of (address) _____

_____ do transfer to the said Transferee the (number of shares) _____ standing in

my/our name in the (fund name) Same as above to hold unto the said Transferee his

Executors, Administrators or Assigns, subject to the several conditions upon which I/We

held the same at the time of execution of this instrument. I/We the said Transferee agree

to take the Shares subject to the same conditions.

Please indicate: We confirm the transfer involves no change of beneficial ownership.

Signed by the Transferor and the Transferee on _____

Signature
of Transferor: _____For and on behalf of
BANK CONSORTIUM TRUST COMPANY LIMITED
銀聯信託有限公司

Signature _____

Witness: _____

Name of Witness: Chi-Chung LeungSignature
of Transferee: _____Signature
of Witness: _____

Name of Witness: _____

Important Note: Requests for transfer to US persons are not accepted.

PUBLIC

To 致： The Hongkong and Shanghai Banking Corporation Limited
香港上海滙豐銀行有限公司

COPY

Date 日期	day 日 / month 月 / year 年

TRANSFER IN/OUT OF UNIT TRUSTS INSTRUCTION FORM (FOR PERSONAL CUSTOMER)
單位信託基金託收／交付指示表格（個人客戶）

Note 注意： This instruction form is applicable for transfer of unit trusts across HSBC and other financial institutions. Please note only transfer into/from same name account is allowed. 該指示表格只適用於介乎滙豐及其他金融機構的基金託收或交付；請留意基金託收或交付將只限於同名戶口。

Customer Name(s) (Surname first) 客戶姓名（先寫姓氏）	
Investment Services/Unit Trusts Account Number 投資服務／單位信託基金戶口號碼	Contact Telephone Number 聯絡電話號碼
Administration Fee (Applicable to Transfer Out Only; fees are non-refundable irrespective of whether the transfer out is successful or not) 行政費用（只適用於單位信託基金交付指示；無論基金成功交付與否將不獲退還）	
FundMax Account FundMax 戶口	1% of the prevailing market value of the units being transferred 要求交付的基金市值的 1%
Other Accounts 其他戶口	HKD100 per fund to be transferred out 每要求交付的基金為港幣 100
Please debit the administration fee from my/our account stated below 請由本人（等）的下列戶口扣除行政費用：	
Account Number 戶口號碼	Account Currency and Type 戶口貨幣及類別 (e.g. HKD SAV / HKD CUA / USD SAV 例如：港幣儲蓄／港幣往來／美元儲蓄 戶口)
Note 注意： The transfer fee will be charged against the designated cash account upon receipt of such instruction at the denomination currency of that cash account. If the fund denomination currency is not of the same currency as that of your designated cash account, the transfer fee will be converted to the denomination currency of your cash account at the prevailing exchange rate as of the date of collection. 交付費會於本行收到您的指示時從您的指定現金戶口中以該戶口的結算貨幣扣除。如基金報價貨幣不同於您指定現金戶口的結算貨幣，交付費會以徵收該日當前的兌換率換算為您指定現金戶口的結算貨幣後從該戶口扣除。	

Please 請 ☐ accept the following unit trust(s) for my/our Investment Services/Unit Trusts account:
託收下項基金單位到本人（等）上述投資服務／單位信託基金戶口：
☐ deliver the following unit trust(s) from my/our Investment Services/Unit Trusts account:
由本人（等）上述投資服務／單位信託基金戶口交付下項基金單位：

Name of Fund 基金名稱	HSBC Fund Code 滙豐基金代號	Currency 貨幣	Dividend Distribution Method 派息方法 (Cash/Unit/ Accumulation 現金／單位／累積)	Other Bank/Financial Institution 其他銀行／金融機構		No. of Units 基金單位數目	Unit Price 單位市價 (Latest Available as of this instruction) 該指示當時 最新價格)	Market Value 市值
				Name of Bank/Financial Institution 銀行／金融機構名稱 (from with the Units are transferred in OR to which the Units are transferred out 基金單位託收或交付)	Account Name and Number 戶口姓名及號碼 (only transfer into/from same name accounts is allowed 基金託收／交付將只限於同名戶口)			
Fund 基金								
Fund 基金								
Fund 基金								
Fund 基金								
Fund 基金								

Total Administration Fee for Transfer Out 交付指示的總行政費用為：

FundMax Account FundMax 戶口	1% of current market value of unit to be transferred 1% x 要求交付的基金市值		=	
Other Accounts 其他戶口	HKD100 x 港幣 100 x		funds to be transferred out = HKD 要求交付的基金 = 港幣	

Investment Services/Unit Trusts Account Number 投資服務／單位信託基金戶口號碼

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Important Notes 重要事項

- Only funds (including fund classes) that are currently distributed by the Bank will be accepted for transfer in.
所託收的基金（包括基金類別）必須為滙豐現時所分銷的基金。
- The account to/from which the units are transferred must be of the same account name as that of the Investment Services/Unit Trusts account held with the Bank. 基金託收或交付將只限於與滙豐投資服務／單位信託基金戶口同名的戶口。
- Please ensure you have already placed a corresponding transfer instruction at the bank/financial institution to/from which the units are to be transferred before placing this instruction to the Bank so that the transfer instructions can be properly executed.
請確保您在於本行提交該指示前已於基金所要託收／交付的銀行／金融機構提交相關指示，以便執行您的指示。
- Transfer instructions may take a prolonged lead-time to complete or may not be carried out due to circumstances beyond the Bank's reasonable control. 基金託收或交付指示可能需要較長時間完成，或可能因當時處境不在本行合理可控制範圍以內而未能執行。
- The administration fee for transfer out is not refundable irrespective of whether the transfer out instruction is successfully executed or not.
無論基金成功交付與否，基金交付指示的行政費用將不獲退還。
- The Bank only provides custody for the transferred in unit trusts and will not conduct any review or assessment or provide any advice in respect of such unit trusts. 銀行只為託收的單位信託基金提供託管服務，並不會就該單位信託基金進行任何審查或評估或提供任何意見。

Declaration 聲明

- I/We acknowledge that I/we have read and understood the above Important Notes and all the relevant terms and conditions governing the Investment Services/Unit Trusts account held with the Bank, and I/we undertake (jointly and severally) to be bound by them.
本人（等）確認本人（等）已閱讀及明白上述重要事項及投資服務／單位信託基金戶口有關條款及細則，同時本人（等）承諾（共同及個別）受其所約束。
- I/We aware of the relevant fees incurred from this instruction. 本人（等）明白此指示內的有關費用。
- I/We understand that the remuneration for sales staff is determined based on the staff's overall performance with reference to a wide range of factors, and is subject to review from time to time, for the purpose of encouraging the building of deep, long-lasting and mutually valuable relationships with customers. It is not determined solely on financial performance.
本人（等）明白為鼓勵銷售人員與客戶建立深厚、持久及互利的關係，其薪酬會參照多種因素及因應其整體表現不時檢討，並不單純按其財務表現釐定。
- (Applicable to transfer in of Unit Trusts instruction 只適用於單位信託基金託收指示)**
I/We confirm that I/we am/are not person(s) who: 本人（等）確認本人（等）並非：
 - is/are US citizen(s) / with US nationality (regardless of dual nationality or citizenship or residence);
美國公民／擁有美國國籍（不論是否雙國籍／公民身分或居住地址）；
 - is/are US resident(s) (regardless of nationality or citizenship); 美國居民（不論國籍或公民身分）；
 - is/are US tax payer(s) [i.e. person(s) who has/have elected to be treated as US resident for US federal income tax purpose (regardless of nationality or citizenship) by attaching such election to his/her/their US federal income tax return];
美國納稅人（即就美國聯邦所得稅而言，在美國聯邦所得稅納稅申報表上選擇被視為美國居民（不論國籍或公民身分））；
 - has/have a US address (e.g. primary mailing, residence or business address in the US). 有美國地址（例如主要通訊地址、居住地址或工作地址在美國）。

X

Signature(s) of Account Holder(s) 戶口持有人簽署

S.V.

For Bank Use Only 銀行專用

Branch Contact Person Name: Tel No.:	Authorised Signature (with Signature No.) and Branch Chop
Remarks	Action by Branch Send the original completed form to SEC UT.