

Schroders

Transaction Form (Cash)

Schroder Investment Management (Singapore) Ltd

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Customer Help Line: 1800-534-4288

Fax: 6536-6626

Website: www.schroders.com.sg

**Please complete this form in block letters. (All fields are mandatory.)
(refer to Notes)**

I. Applicant Details

Please attach a copy of NRIC / Passport.

No U.S. person, please refer to Note 1(A)(viii).

If you are a natural person, by completing and signing this form, you represent that you are the ultimate economic beneficiary(ies) of the Fund being subscribed.

* A PO Box address will not be accepted for the purposes of registration. Only the address of the first-named applicant will be used for registration purposes. Please provide a proof of address within the last three months.

(a) Country: The main and additional countries of residences have to be disclosed in accordance with Luxembourg and Singapore Law. Schroders may share your account information with the respective tax authorities, who in turn may then share this with other tax authorities representing the jurisdiction in which you have confirmed you are tax resident. If you have more than 2 residences, please attach to this form a separate sheet of paper with the related tax identification numbers.

(b) For the countries of tax residences declared, please provide a Tax Identification Number. If your country of tax residence does not issue TINs, please leave the field blank.

(c) The country must match the country specified in the Address.

II. Distribution Option **: (Distribution Option is only applicable for Singapore Authorised funds.)

(Please tick)

Reinvest in further units (default) ☐

Payment in amount ☐

** Distribution amounts below S\$50.00 will automatically be reinvested.

Note: This Distribution Option shall apply to the subscribed fund; or, in the case of a Switch transaction, apply to the switch-in fund only.

Distribution will automatically be reinvested in further units if neither option is selected.

For distributor/SIMSL use only:

Discount %

III. Subscription Payment

Payments for subscription must be in Fund currency.

1st Applicant:

Full Name (please underline surname)

Gender

Male / Female

Singapore NRIC / Passport No.

Date of Birth

Nationality

Country of Birth

* Address

Telephone (Country - Area Code - Number)

Fax (Country - Area Code - Number)

Email address

Country of Taxation 1 ^{(a) (c)}

Tax Identification Number 1 ^(b)

Country of Taxation 2 ^(a)

Tax Identification Number 2 ^(b)

2nd Applicant: (if applicable)

Full Name (please underline surname)

Gender

Male / Female

Singapore NRIC / Passport No.

Date of Birth

Nationality

Country of Birth

* Address

Telephone (Country - Area Code - Number)

Postal Code

Fax (Country - Area Code - Number)

Email address

Country of Taxation 1 ^{(a) (c)}

Tax Identification Number 1 ^(b)

Country of Taxation 2 ^(a)

Tax Identification Number 2 ^(b)

Is 2nd Applicant a minor? (below age 18)

Yes ☐

No ☐

Account Type

Joint-All ☐

Joint-Alternate ☐

I/We wish to make the following transaction in the following Fund:

* Please tick the appropriate box

Name of Fund

* Subscription

Amount

* Redemption

Units

* Switch

Units

From the above fund into the below fund

Subscription Payment:

Telegraphic Transfer ☐

Cheque ☐

(please attach copy of TT advice)

IV. Redemption & Distribution Proceeds

No third party payment is allowed.

^ For Joint Account, payment will be made to 1st Applicant's name.

Redemption & Distribution Settlement Instruction:

* Please tick the appropriate box

* Currency: ☐ Fund currency (default) ☐ SGD ☐ USD ☐ AUD
☐ EUR ☐ GBP ☐ CNY ☐ Other: _____

Telegraphic Transfer ☐ ^ Cheque ☐

(please provide TT details below)

^ Account Name / Beneficiary

Bank Name

Bank Account No.

For foreign currency accounts:

Bank Name

Bank Account / IBAN No.

Beneficiary Bank SWIFT Code

Correspondent Bank Name & SWIFT Code

Declaration

I/We acknowledge that I/we have received, read and understood the latest Prospectus relating to the subscription of the Fund of which this application is made.

I/We agree to be bound by the provisions of the Trust Deed constituting the Fund as modified from time to time.

I/We acknowledge that I/we have read and fully understood the Important Terms and Conditions on the following page of this transaction form and agreed to be bound by it.

I/We confirm that Schroders is only providing services to me/us and does not provide recommendations/investment advice and will not advise me/us on suitability when processing my/our instructions.

I/We further confirm that I/we have independently and without reliance on Schroders made my/our own judgements and decisions with regard to each instruction to Schroders to subscribe to the units of the Fund and assume full responsibility therein.

If the redemption currency selected above differs from the Fund currency, I/we authorise Schroders and the relevant parties of the relevant Fund to convert the currency, at rates determined by Schroders or the relevant parties of the Fund, and deduct any costs thereof.

I/We declare that I/we are not a U.S. person (please refer to Note 1(A)(viii)) and that I/we are not applying as the proxy-holder of a person who is a U.S. person; that I/we have not been solicited to purchase units while physically present within the U.S.; that at the time I/we placed my/our order to buy units I/we were outside of the U.S.; that I/we will not transfer any of the units or any interest therein to a U.S. person; if my/our underlying investor status as a non-U.S. person should change, I/we will immediately inform you. In such event, I/we agree that the Fund shall be entitled to (but shall not be obligated to) repurchase, or to require me/us to sell my/our units to a person designated by the Fund.

I/We shall provide or consent to the release of all such documents or information as may from time to time be requested by Schroders, Schroders' affiliates or distributors or the Registration Agent as may in its/their opinion necessary to verify my/our identity/identities and/or eligibility and to comply with all applicable anti-money laundering laws and guidelines and other applicable laws and regulations.

Transactions in Restricted Schemes

I/We represent, warrant and declare that I/each of us am/is*: (* Please tick the relevant box below)

☐ an Accredited Investor; or

☐ an Expert Investor

(please refer to the Terms and Conditions for definitions of "Accredited Investor" and "Expert Investor")

and if so, I/we acknowledge that Section 25 (Obligation to disclose product information to clients) and Section 27 (Recommendations by licensees) of the Financial Advisers Act (Cap. 110) and any relevant notices, guidelines or other directions issued by MAS, as may be amended from time to time, do not apply to the person providing me/us with any financial advisory service in respect of units in the relevant Fund.

I/We shall provide such documents or information as may from time to time be requested by Schroders, Schroders' affiliates or distributors or the Registration Agent as may in its/their opinion necessary to evidence my/our qualification as an Accredited Investor or an Expert Investor.

I/We hereby indemnify Schroders, Schroders' affiliates and distributors and the Registration Agent for any loss suffered as a result of any representation/warranty/declaration above not being true in every respect.

By signing this application, I/we hereby agree and consent to the following:

- that the personal data and other information relating to me/us as recorded above is true and correct.
- that Schroder Investment Management (Singapore) Ltd and its related corporations from time to time (the "Schroder Group") shall collect, store and maintain the personal data and other information relating to me/us as recorded above (whether in writing, electronically or otherwise) as part of the collective investment scheme records maintained by the Schroder Group;
- that such personal data collected, stored and maintained shall be used and disclosed for account maintenance purposes and the purposes of carrying out transactions from time to time including but not limited to the processing of such personal data for record keeping purposes, compliance and regulatory (including complying with any anti-money laundering regulations) purposes, legal purposes, audit purposes, tax (including tax reporting) purposes, providing me/us with regular statements of account and other notices, and contacting me/us by telephone, fax, mail, email or otherwise communicating with me/us without express invitation;
- that such personal data collected, stored and maintained shall be disclosed to and processed by third parties for the above purposes from time to time including but not limited to the trustees and registrars of the collective investment schemes, the agents and service providers employed by the Schroder Group, the distributors, banks (including Agent Banks and SRS Operators where applicable), insurers, fund managers, and other intermediaries of the Schroder Group, and the professional advisers to the Schroder Group for the above purposes;
- that such personal data collected, stored and maintained shall be disclosed to any and all applicable regulatory authorities (including the Inland Revenue Authority of Singapore, the Central Provident Fund Board and the Monetary Authority of Singapore) upon request or as may be required by applicable law or regulation from time to time; and
- that such personal data shall be stored, maintained, used, disclosed, processed, transferred or held in Singapore or outside Singapore for the above purposes, as the Group Companies shall consider appropriate.

I/We hereby agree to indemnify Schroders and shall keep Schroders indemnified against all actions, proceedings, liabilities, claims, damages, expenses or legal costs whatsoever arising out of or in connection with Schroders accepting and acting upon this application.

1st Applicant's Signature

2nd Applicant's Signature

Date

1. Application

A) General

- i) Investors should read the prospectus, obtainable from Schroder Investment Management (Singapore) Ltd (referred to herein as “Schroders” or “the Managers” as the case may be) or its distributors, before investing. Units in the Fund are sold only on the basis of information contained in the current prospectuses. All other information or representations must be regarded as unauthorised and must not be relied on.
- ii) All units are issued pursuant to the provisions of the relevant Fund's Trust Deed and any deeds supplemental thereto and its prospectus.
- iii) Application by an individual must be accompanied by a copy of the applicant's identity card or passport.
- iv) If you opt to hold units as Joint-Alternate Holders, the Managers are authorised to act on instructions given by any one of the joint-holders.
- v) The Managers reserve the right to allot fewer units than the number applied for or to refuse any application without assigning any reason.
- vi) Investors will receive a Contract Note indicating the number of units allotted, within 10 business days.
- vii) The Managers must be notified immediately in writing of any change of address, any change of nationality or both. Please complete the Notice of Change of Registration Details form and submit it via your distributor for the change to be effected.
- viii) “U.S. person” includes any natural person who is a citizen of or resident in the United States; a corporation, partnership or other business organisation organised or incorporated under the laws of the United States or any political subdivision thereof, any estate or trust which is administered by an executor or trustee who is a U.S. person or the income of which is subject to U.S. federal income taxation regardless of its source; any account (other than any estate or trust) held by a dealer or fiduciary for the benefit of a U.S. person and any partnership or corporation organised and incorporated under the laws of any foreign jurisdiction which was formed by a U.S. person principally for the purpose of investing in securities not registered under the United States Securities Act of 1933. “U.S. person” shall not include any branch or agency of a United States bank or insurance company that is operating outside the United States for valid business reasons as a locally regulated branch or agency engaged in the banking or insurance business and not formed primarily for the purpose of investing in securities not registered under the United States Securities Act of 1933. For purposes of this definition, the “United States” includes the United States of America, its states, territories and possessions and the District of Columbia. The Fund reserves the right to amend this definition of “U.S. person” without notice, as may be necessary to conform to applicable law and authoritative interpretations thereof.
- ix) The Fund Register Compensation, if any is required, shall be determined based solely on the number of Funds units held by you as shown in the register of the relevant Fund (based on the subscription applications, cancellation requests and realisation requests submitted by you and accepted by the relevant Fund).

B) Payment

- * Cheque : Crossed & payable to SIM LUX - SIM SG Funds Coll Trust Acc
- * Telegraphic Transfer : Contact Schroders for details of bank account

2. Right to Cancel

- i) Information about investors' right to cancel this purchase application is enclosed.
- ii) During the cancellation period, investors may choose to either switch their units in a Fund for units in other Funds managed by Schroders or exercise their right to cancel their units. Where investors choose to switch their units,
 - * they shall not receive any refund of initial sales charge of the original unit trust;
 - * they acknowledge that it is not certain whether they would be in a better or worse position;
 - * the switch is subject to the provisions in the trust deed of the relevant Fund;
 - * they shall be entitled to the right to cancel the units in the switched-in Fund.

3. Realisation (Redemption)

A) General

- i) All realisation must meet the minimum realisation amount pursuant to the provisions of the prospectus. For partial realisation, the unitholder must retain a minimum holding pursuant to the provisions of the prospectus.
- ii) This Form must be signed by the Unitholder or all Unitholders unless the joint-holders had previously opted for a Joint-Alternate signatory mandate.

B) Payment

- i) The proceeds of realisation will be sent to the Unitholder subject to receipt of this original Form. A Contract Note indicating the number and price of units realised will also be sent separately to the Unitholder.
- ii) For Joint Account Holders who had opted for Joint-Alternate signatory mandate, and for Joint-All Holders, the cheque/ telegraphic transfer payment will be made payable to the Unitholder whose name appears first in the register.

4. Dealing

- i) The cut-off time for dealing is 5.00 pm on the dealing deadline.
- ii) Transaction requests received after the dealing deadline in respect of any dealing day, if accepted, will be dealt with on the next dealing day. Prices for a dealing day are determined on the next dealing day.
- iii) Transaction requests, including requests made through facsimile or other electronic means including electronic mail, are irrevocable.

5. Fax and Email Authority and Indemnity

By giving this fax authorisation, I/we:

- i) authorise Schroders and the Trustee of the relevant Fund and any of their authorised agents to act upon instructions given by facsimile or other electronic means including electronic mail, with regard to the units subscribed for (and any further units purchased) or any matter in connection with them or any of them without liability in respect of any transfer, payment or any other act done in accordance with such instructions, including the subsequent subscription, redemption, or switching of units, or any other matter relating to the units, including payment of proceeds from sales of units;
- ii) agree and acknowledge that Schroders and the Trustee of the relevant Fund and any of their authorised agents shall be entitled to rely on the instructions which Schroders and the Trustee and any of their authorised agents reasonably believe, in good faith, to be from me/us, or a person authorised to act on my/our behalf;
- iii) acknowledge that this authorisation shall remain in force until an original notice in writing of its termination is received by Schroders and any such notice shall be without prejudice to the completion of transaction already initiated pursuant to this authorisation; and
- iv) agree to indemnify and hold Schroders and the Trustee of the relevant Fund and any of their authorised agents harmless from and against any loss arising in respect of acting on instructions given by facsimile or other electronic means including electronic mail or by telephone or a decision not to act on the basis of such instructions or for any loss arising from the non-receipt of such instructions.

6. Definitions

“Accredited investor” means —

- (1) an individual —
 - (i) whose net personal assets exceed in value S\$2 million (or its equivalent in a foreign currency); or
 - (ii) whose financial assets (net of any related liabilities) exceed in value S\$1 million (or its equivalent in a foreign currency), where “financial asset” means —
 - (a) a deposit as defined in section 4B of the Banking Act;
 - (b) an investment product as defined in section 2(1) of the Financial Advisers Act; or
 - (c) any other asset as may be prescribed by regulations made under section 341; or
 - (iii) whose income in the preceding 12 months is not less than S\$300,000 (or its equivalent in a foreign currency);
- (2) a corporation with net assets exceeding S\$10 million in value (or its equivalent in a foreign currency), as determined by —
 - (i) the most recent audited balance-sheet of the corporation; or
 - (ii) where the corporation is not required to prepare audited accounts regularly, a balance-sheet of the corporation certified by the corporation as giving a true and fair view of the state of affairs of the corporation as of the date of the balance-sheet, which date shall be within the preceding 12 months;
- (3) any trust —
 - (i) where all the beneficiaries of which are accredited investors; or
 - (ii) where all the settlors of which —
 - (a) are accredited investors;
 - (b) have reserved to themselves all powers of investment and asset management functions under the trust; and
 - (c) have reserved to themselves the power to revoke the trust;
 - (iii) where the subject matter of which exceeds S\$10 million (or its equivalent in a foreign currency) in value.
- (4) an entity (other than a corporation) with net assets exceeding S\$10 million (or its equivalent in a foreign currency) in value;
- (5) a partnership (other than a limited liability partnership) in which every partner is an accredited investors;
- (6) a corporation the entire share capital of which is owned by one or more persons, all of whom are accredited investors;
- (7) a person who holds a joint account with an accredited investor, in respect of dealings through that joint account

“Expert investor” means —

- (1) a person whose business involves the acquisition and disposal, or the holding, of capital markets products, whether as principal or agent;
- (2) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- (3) such other person as the Authority may prescribe;

¹ “capital markets products” means any securities, units in a collective investment scheme, derivatives contracts, spot foreign exchange contracts for the purposes of leveraged foreign exchange trading, and such other products as the Authority may prescribe as capital markets products