

SAMPLE

**Contract (Bought and Sold) Notes
for non-trade transfer of units of a recognized Hong Kong fund
under the Mutual Recognition of Funds
between the Mainland of China and Hong Kong**

1. Particulars of Transferor	
Name	
Identification Document and Number	
Capacity (Please delete as appropriate)	Principal / Agent
Principal's Name (Note 1)	
Principal's Identification Document and Number (Note 1)	
2. Particulars of Transferee	
Name	
Identification Document and Number	
Capacity (Please delete as appropriate)	Principal / Agent
Principal's Name (Note 2)	
Principal's Identification Document and Number (Note 2)	
3. Particulars of Transfer of Units	
Date of Transaction (dd/mm/yyyy)	/ /
Name and Class of Fund	
Number of Unit Transferred	
Unit Price	
Total Amount of Consideration	
Net Asset Value of One Unit of Fund	
Circumstance leading to the non-trade transfer (Please delete as appropriate)	Succession / Divorce / Dissolution of Company / Donation / Law Enforcement Action / Other: _____ (Please specify)
4. Executed by:	
Transferor – Signature: Name: Date: Location:	
Transferee – Signature: Name: Date: Location:	

Note: (1) Leave it blank if transferor is principal
(2) Leave it blank if transferee is principal