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駿利亨德森證券投資顧問股份有限公司 函

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受文者：匯豐(台灣)商業銀行股份有限公司

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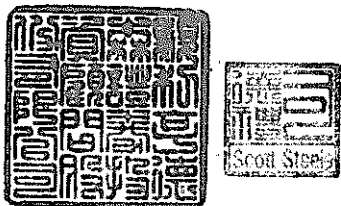
附件：境外基金重要訊息通知書—英文及中譯文

主旨：謹通知 駿利亨德森資產管理基金重大行政事項變更，詳如說明，請查照。

說明：

- 一、本公司接獲總代理之駿利亨德森資產管理基金（下稱「本基金」）通知，將於民國109年(西元2020年)間擬針對本基金進行重大變更，包括變更股東服務代理人、基金會計、存託機構、變更股份類別的命名規則、新增管理公司、變更其中一檔子基金的名稱以及更新與客戶的法律合約中有關洗錢防制及反行賄與貪腐的內容及其他法規用語等。上述變更之細節及預訂時間表，詳見附件一境外基金通知書英文版及中譯文。
- 二、由於部分變更仍需進一步申請中華民國金融監督管理委員會核准，本公司於獲知本基金有關此變更事項之後續訊息，將立即通知 貴公司。

駿利亨德森證券投資顧問股份有限公司

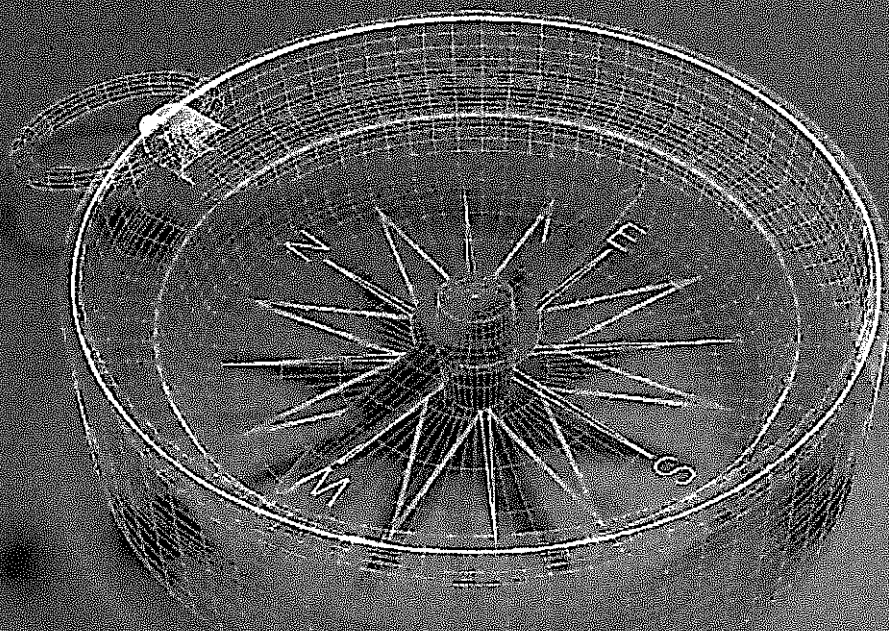




KEEPING YOU IN THE PICTURE

駿利亨德森資產管理基金：

重大行政事項變更，包括新的股東服務代理人、基金會計及存託機構



<中譯文僅供參考，與原文相較不盡完整，亦有歧異，如有疑義應以英文本為準>

行政事項變更

2020 年間，本公司擬針對駿利亨德森資產管理基金（下稱「JHCF」或「本公司」）旗下子基金之行政管理進行部分變更，後頁的預訂時間表列出各項時程。謹希望本「重要訊息通知」文件能協助「台端」了解這些變更及其對「台端」的影響。

本公司擬採取以下措施：

- 變更下列服務的外部供應商：
 - 過戶代理人
 - 基金會計
 - 存託機構／保管機構
- 變更股份類別的命名規則
- 新增管理公司
- 變更其中一檔子基金的名稱
- 更新與客戶的法律合約中有關洗錢防制（下稱「AML」）及反行賄與貪腐（下稱「ABC」）的內容及其他法規用語

詳細內容請參見下表。

本公司在此過程中將盡力減低投資人的不便，但仍有必要提供新的銀行帳號與聯絡資訊予「台端」。

為何進行這些變更？

本公司經全面檢視第三方服務協議後，決定進行此等變更，希望透過這些變更提供客戶更為便捷且更具效益的服務，各種基金產品線與各地區之間亦能更加一致。此等變更目的在盡量降低客戶對於盧森堡與都柏林註冊基金兩種產品線之間經驗上的差異。

投資人因此等行政上的整併措施而獲得之益處，包括：

- **客戶建立關係及開戶流程：**本公司的盧森堡與都柏林兩種產品線僅需單一開戶流程。
- **簡化法令遵循程序：**針對「認識你的客戶」及洗錢防制之規定，客戶進行愛爾蘭與盧森堡兩種註冊基金之開戶時將僅需提供一次身分證明文件。
- **客戶服務：**針對客戶服務提供單一聯絡窗口，包括跨境查詢、交易與評價，並有機會轉成單一對帳單。
- **產品一致性：**共通的股份類別命名規則及共通的文件格式，使兩種基金線之間的跨基金線交易更為簡便。

整體而言，預計客戶服務的水準將維持不變或提升。

請注意，前述變更不代表管理子基金之基金經理人、子基金之管理方式或子基金之風險程度會發生變動。

預定時間表

請注意，此時間表有可能異動。倘須異動時，本公司將於事前通知。

- 2020年3月：針對與客戶的法律合約將使用新的 AML 與 ABC 用語一事，寄發通知函
- 2020年4月：寄發法令規定之股東通知書及股東臨時會開會通知書
- 2020年5月：召開股東臨時會以修訂本公司組織章程／設立文件
- 2020年6月1日：各項變更開始生效之「生效日期」
- 2020年6月：變更後通知書

本公司預計將對本公司的盧森堡基金系列進行行政事項變更，詳細資訊將適時寄發通知。

變更的內容？

子基金名稱

子基金駿利亨德森環球科技基金將變更名稱，但該基金的投資組合管理及風險程度將不會改變。其他所有子基金名稱則維持不變。

股份級別命名規則

股份級別的命名規則將轉為本公司盧森堡基金系列所使用的數字命名規則，例如 A2 HUSD。請參見下表說明：

股份級別英文 字母代號	數字代號	數字代號說明	字母代號	字母代號說明	幣別代號
A (此字母指股份級別條款，例如每年管理費及最低首次投資金額)。	1	淨收益：收益扣除費用後再配息。	M	每月配息	HUSD (此指股份級別之幣別，本範例指美元避險)
	2	累計：將保留之收益累加並反映於股份級別價格。	Q	每季配息	
	3	總收益：將全部收益用於配息；費用從本金扣除。	S	每半年配息	
	4	總收益+本金：將全部收益及可能有一部分的本金用於配息；費用從本金扣除。配息通常包括一部分的已實現（及未實現）資本利得，且可能包括部分的原始投入資本。	無字母代號	每年配息	
	5	總收益+本金：將全部收益及可能有一部分的本金用於配息；費用從本金扣除。配息通常包括一部分的已實現（及未實現）資本利得，且可能包括部分的原始投入資本。			

股份級別命名之變更將於生效日期起實施。

原股份級別的完整清單與相對應的新股份級別將載於法令規定之股東通知書中。

與客戶之合約

本公司亦藉此機會，將與客戶的法律合約中有關 AML 與 ABC 之內容及其他法規用語措辭進行重要的強化，詳細內容將依規定納入對客戶的信函中。

本公司預計於 3 月寄發此等變更信函，並將後續追蹤以確保在生效日期前完成簽署。

職務與相關當事人之變更

此相關變更將依據第 3 頁的時間表進行，但應取得主管機關核可，且必要時應取得股東同意。

行政事項移轉予新服務供應商一事預計將於生效日期一併生效。

職務	現行供應商	新供應商
過戶代理人	Citibank Europe plc 1 North Wall Quay Dublin 1 Ireland 電話：+353 1 622 1326 傳真：+353 1 240 1602 janushendersonta@citi.com	International Financial Data Services (Ireland) Limited Bishops Square Redmond's Hill Dublin 2 Ireland 電話：+353 1 242 5453 愛爾蘭傳真號碼：+ 353 1 562 5537 JanusHendersonTACS@statestreet.com State Street Global Services 68/F Two International Finance Centre 8 Finance Street Central Hong Kong 電話：待補 傳真：+852 2103 0266
存託機構	Citibank Depository Services Ireland 1 North Wall Quay Dublin 1 Ireland	JP Morgan Bank (Ireland) Plc 200 Capital Dock 79 Sir John Rogerson's Quay Dublin 2 Ireland
行政管理人	Citibank Europe plc	JP Morgan Administration Services (Ireland) Plc 200 Capital Dock 79 Sir John Rogerson's Quay Dublin 2 Ireland
基金會計及保管機構	Citibank Europe plc	JP Morgan Bank (Ireland) Plc
管理公司	自行管理	Henderson Management, S.A. (簡稱「HMSA」)

如何實施變更？

通知：對分銷商與投資人，某些變更僅須通知即可，此份「重要訊息通知」文件構成對客戶通知之部份，俾使客戶知悉變更且於必要時預作準備。

股東表決：僅其中一項變更應交付股東表決始得實施—即修訂組織章程，將本公司從自行管理（self-managed）變更為由管理公司管理。股東臨時會開會通知書將依前述時間表規畫的時程寄發。

變更對客戶有何影響？

投資人與分銷商

支票—現階段不接受以支票進行申購，此規定於生效日期後亦不會變更。

現金配息日—將從 XD(除息日) + 3 日變更為 XD(除息日) + 5 日。一旦確定後將提供配息行事曆。

投資人帳號—駿利亨德森資產管理基金投資人在股東名簿上的帳號將不會變更。

投資人持股—除了變更股份級別名稱外，投資人的持股不會因此移轉而變動。

新銀行帳戶—申購款項交割的銀行帳號資訊將變更。本公司將於接近生效日期時以書面通知並刊登在本公司的網站。該資訊自生效日期起可自新的過戶代理人 IFDS Ireland 處取得。

新聯絡資訊—登記與過戶代理人將有新的聯絡資訊。自生效日期起，客戶應使用第 4 頁表格所列的 IFDS Ireland 或香港的聯絡資訊。

新的報告傳送機制—IFDS 將透過 Victor Buck Services (簡稱「VBS」) 旗下經安全驗證的線上人口報告存放庫 VDOX，以傳送對帳單及成交單。

新 Swift 地址—生效日期起使用的新資訊將後續提供。

接近生效日期的交易日—接近生效日期前後將如常進行，且交易交易時間及交割時間將不受影響。

淨值資料檔—淨值、投資人稅負及配息率之資料檔將有變更，將於生效日期前通知。績效數據將不會包含在淨值資料檔中。

KIID/PHS/KFS 之公告及取得—KIID/PHS/KFS 之公告或取得將不會改變。這些文件將依規定予以更新以反映新的行政事項資訊。

淨值公告—自格林威治標準時間 (GMT) 24:00 北美東部標準時間 (EST) 19:00 / 台灣時間 (CST) 08:00 起，JHCF 所有基金的淨值將會繼續公布在網站 www.janushenderson.com。淨值資料檔將由摩根大通 (JP Morgan) 提供，格式會有若干變動，且淨值、投資人稅負及配息資料檔將改為獨立資料檔。績效數據將不會包含在淨值資料檔中。

對帳單及成交單—生效日期後，此等單據將由 IFDS Ireland 定期出具。對帳單郵寄日期將不會變更，但這些報告的 PDF 格式將會有小幅變動。

STP 交易—STP/swift 交易將變更傳遞管道。

評價時點—評價時點將無變動。

零帳戶餘額—生效日期時將與其他所有帳戶一併轉移。

佣金

佣金及銷售服務費之給付—後收級別的佣金款項／通路服務費（存入經紀商帳戶）將從月底+ 7 日改成月底+ 10 日支付。

佣金、銷售服務費及退佣—將由 IFDS 給付而非由 Citi 給付。

新的收費方式—計算前收型手續費／佣金的方式將予以簡化；請注意，此舉不影響所支付的金額。

準備作業

分銷商與投資人可能希望在生效日期前收到文件／詳細資訊後，開始進行變更的準備作業。

本公司會將寄送下列文件予 台端以供參考：

- 基金改採管理公司制的股東臨時會開會通知書
- 為強化 AML 與 ABC 之規範而對客戶法律合約進行的修訂內容
- 生效日期前的行政資訊詳細內容
- 開盤與收盤評價單

希望本信函對 台端有所助益，若有任何疑問，請聯絡 台端的客戶關係經理。

本公司的辦事處

欲取得有關前述變更或本公司產品的更多訊息，請洽 台灣當地的銷售辦事處或造訪本公司的網址 www.janushenderson.com。

Janus Henderson
INVESTORS

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駿利亨德森資產管理基金乃根據愛爾蘭法律成立的可轉讓集體投資企業，基金之間各具獨立責任。投資人應注意任何投資僅可根據最新的基金公開說明書及其所載有關收費、開支及風險等資料為基礎，並應仔細閱讀，基金公開說明書可向所有分銷商及付款代理人索取。本基金並非適合所有投資人投資及並非提供予所有司法管轄區的投資人。本基金不供美國人士投資。基金報酬或有所變化，投資的本金亦隨市場漲跌和外幣匯率而波動。投資人贖回股份時股份的價值可能多於或少於原來的價值。本文件並非銷售股份之招攬，且本文件所載內容不得視為投資建議。

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Austrian investors may obtain the current prospectus and simplified prospectus free of charge at Bank Austria Creditanstalt AG, AM Hof 2, 1010 Wien, Austria. This document is not for public distribution in Belgium. German investors may obtain the current prospectus and simplified prospectus free of charge at State Street Bank GmbH, Brienner Str. 59, D-80333, Munich, Germany. The Fund has been registered under the Act of the supervision of investment institutions in the Netherlands. Dutch investors may obtain the current prospectus, simplified prospectus, annual report, semi annual report and Memorandum & Articles of Association from Citi Funds Services (Ireland) Ltd (in their capacity as administrator). Janus Henderson Capital Funds Plc is an Irish collective investment scheme (IIC) registered in the National Securities Market Commission's (CNMV) registry with registration number 265. Its custodian is Brown Brothers Harriman Trustee Services (Ireland) Limited and its Investment Advisor is Janus Capital International Limited, authorised and regulated by the Financial Conduct Authority. Investors are warned that they should make their investments based on the IIC's latest documentation. You may consult with and request from the distributor (Allfunds Bank, S.A.) and subdistributors in Spain as well as from the registries of the CNMV a copy of the marketing memorandum, the prospectus and the latest published economic reports. The Custodian in Spain is Citibank Europe plc, Spanish Branch.

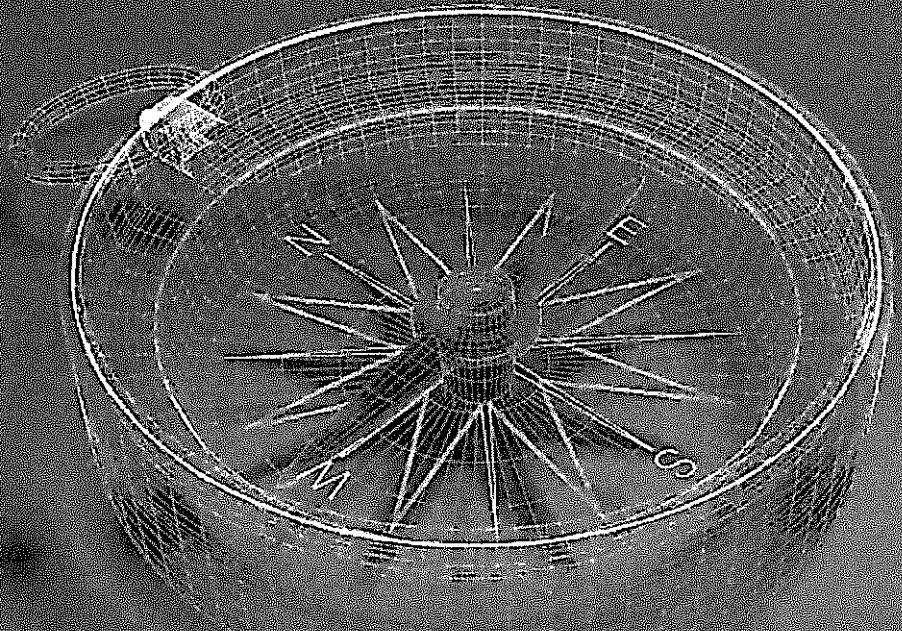
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Janus Henderson Capital Funds plc:
Key administrative changes including new
Shareholder Servicing Agent, Fund Accountant & Depository



Administrative changes

During 2020 we propose making some changes to the administration of the sub-funds of Janus Henderson Capital Funds plc ('JHCF' or 'the Company'). The timeline opposite sets out the schedule. We hope that this 'Keeping you in the picture' document will help guide you through the changes and how they may affect you.

We intend to undertake the following:

- Changes to external providers of the following services:
 - Transfer agent
 - Fund accountant
 - Depository / custodian
- Changes to the naming convention of share classes
- Addition of a management company
- Change in the name of one of the sub-funds
- Upgrading of Anti-Money Laundering (AML) and Anti-Bribery and Corruption (ABC) wording and other regulatory wording in legal agreements with clients

Details are given in the tables below.

Throughout the process we will seek to minimise disruption to investors but it will be necessary for us to provide you with new bank account numbers and contact details.

Why are we making these changes?

These changes follow a comprehensive review of our third-party servicing arrangements. By making these changes, we aim to deliver a more streamlined and efficient service for clients, with greater consistency across fund ranges and jurisdictions. The changes are intended to minimise the differences between our Luxembourg and Dublin-based fund ranges in terms of client experience.

Investor benefits of consolidating the administration include:

- **Client on-boarding and account opening:** single account opening process for both our Luxembourg- and Dublin-based ranges.
- **Simplified regulatory compliance:** clients will only need to provide identification documents once to fulfil Know Your Client and AML requirements for account opening for both Luxembourg- and Dublin-based funds.
- **Client servicing:** single point of contact for client service covering cross-border queries, dealing and valuations, with the potential to move to single statements.
- **Product harmonisation:** common share class naming conventions and common look to documentation, making it simpler to deal across the two ranges.

Overall we expect that client service will be maintained or enhanced.

Please note that the changes will not mean a change in the fund managers who manage the sub-funds, the way the sub-funds are managed or the risk profiles of the sub-funds.

Planned timeline

Please note that the timeline is subject to change. Should any change be necessary and we will of course inform you in advance of any alteration.

- March 2020: Letter regarding new AML and ABC wording in legal agreements with clients
- April 2020: Regulatory shareholder notification and EGM notification
- May 2020: EGM for change to the Articles of Association/Constitution of the Company
- **1 June 2020:** The 'Effective Date' on which all changes will come in effect
- June 2020: Post change notification

We expect to make administrative changes to our Luxembourg funds. Further details of this change will be sent you in due course as applicable.

What is changing?

Sub-fund names

The Global Technology sub-fund will be renamed. The underlying portfolio management and risk profile of this fund will not change. All other sub-fund names will remain unchanged.

Share class naming conventions

We will move to the numeric share class naming convention which is used on our Luxembourg funds, such as A2 HUSD. The table explains this below:

Sub class letter code	Numeric code	Description of numeric code	Letter Code	Description of Letter Code	Currency code
A (this letter references terms of the share class such as annual management charge and minimum initial investment).	1	<i>Net income:</i> distributes income after the deduction of charges.	M	Monthly distribution	HUSD (this denotes the currency of the share class, in this case it is Hedged US Dollars)
	2	<i>Accumulation:</i> accumulates income which is retained within the price of the share class.	Q	Quarterly distribution	
	3	<i>Gross Income:</i> distributes all income; charges are deducted from capital.	S	Semi-annual distribution	
	4	<i>Gross income + capital:</i> distributes all income and potentially a portion of capital; charges are deducted from capital. Distributions typically include a portion of realised (and unrealised) capital gains and may include a portion of original capital invested.	No letter code	Annual distribution	
	5	<i>Gross income + capital:</i> distributes all income and potentially a portion of capital; charges are deducted from capital. Distributions typically include a portion of realised (and unrealised) capital gains and may include a portion of original capital invested.			

The share class naming changes will take place on the Effective Date.

A full list of the old share classes and the corresponding new share classes will be made available with the regulatory shareholder notification.

Agreements with Clients

We are also taking the opportunity to make important enhancements to wording on AML and ABC and other regulatory wording in legal agreements with clients, the details of which will be included in letters addressed to clients as required.

We are planning to send these amendment letters in March and we will be following these up to ensure signature ahead of the Effective Date.

Changes to functions and parties

The changes will take place according to the timeline on page 3, subject to regulatory and, where required, shareholder approval.

The administrative migration to the new service providers is expected to take place in one tranche on the Effective Date.

Function	Current	New
Transfer Agent	<p>Citibank Europe plc 1 North Wall Quay Dublin 1 Ireland</p> <p>Tel: +353 1 622 1326 Fax: +353 1 240 1602</p> <p>janushendersonta@citi.com</p>	<p>International Financial Data Services (Ireland) Limited Bishops Square Redmond's Hill Dublin 2 Ireland</p> <p>Tel: +353 1 242 5453 Irish Fax Number + 353 1 562 5537</p> <p>JanusHendersonTACS@statestreet.com</p> <p>State Street Global Services 68/F Two International Finance Centre 8 Finance Street Central Hong Kong</p> <p>Tel: to follow Fax: +852 2103 0266</p>
Depository	<p>Citibank Depository Services Ireland 1 North Wall Quay Dublin 1 Ireland</p>	<p>JP Morgan Bank (Ireland) Plc 200 Capital Dock 79 Sir John Rogerson's Quay Dublin 2 Ireland</p>
Administrator	<p>Citibank Europe plc</p>	<p>JP Morgan Administration Services (Ireland) Plc 200 Capital Dock 79 Sir John Rogerson's Quay Dublin 2 Ireland</p>

Fund Accountant and Custodian	Citibank Europe plc	JP Morgan Bank (Ireland) Plc
Management Company	Self-managed	Henderson Management, S.A. ("HMSA")

How will the changes be implemented?

Notification: For distributors and investors, some changes only require notification. This "Keeping you in the picture" document forms part of the notification being provided to clients to allow clients to be aware of and, where necessary, prepare for the changes.

Shareholder vote: Only one of the changes requires a shareholder vote in order to be implemented – the amendment to the Articles of Association moving the Company from self-managed to one with a management company. An EGM notice will be sent as outlined in the timeline above.

How will the changes affect clients?

Investors and distributors

Cheques - Cheques are not currently acceptable for making subscriptions and this will not change after the Effective Date.

Distribution payment dates – To be changed from XD + 3 to XD + 5. A dividend calendar will be provided when it is available.

Investor account number – Register account numbers will not change for investors in JHCF.

Investor shareholdings - There will be no change to shareholdings as a result of the migration other than the renaming of share classes.

New bank accounts – Bank account details for subscription payment settlements will change. We will publish these in written correspondence and on our website closer to the Effective Date. They will be available from IFDS Ireland, the new Transfer Agent, from the Effective Date.

New contact details – There will be new contact details for the Registrar and Transfer Agent. From the Effective Date, clients should use the IFDS Ireland or Hong Kong. Contact details in the table on page 4.

New report delivery mechanism – IFDS will be using Victor Buck Services' ("VBS") secure online portal reporting depository, VDOX, to deliver Statements and Contract Notes.

New Swift address – New details for use from the Effective Date will follow.

Dealing days around the Effective Date – Dealing will continue as usual around the Effective Date with no impact on dealing or settlement times.

Price file – There will be changes to the price, investor tax and distribution rates file and these will be communicated ahead of the Effective Date. Performance figures will not be included in the price file.

Publication and accessibility of KIIDs / PHS / KFS - There will be no change to the publication or accessibility of the KIIDs/PHS/KFS. These documents will be updated to reflect new administrative details as required.

Publication of prices - Prices for all the JHCF funds will continue to be available on the website www.janushenderson.com from 24:00 GMT / 19:00 EST /08:00 CST). Price files will be distributed by JP Morgan. There will be some changes to formatting and price, investor tax and distribution files will become separate files. Performance figures will not be included in the price files.

Statements and contract notes – These will be issued from IFDS Ireland for periods after the Effective Date. There will be no change of statement mailing dates but there will be minor formatting changes to these PDF reports.

STP Trading – Routing will change for STP/swift trading

Valuation points - There will be no change to valuation points.

Zero account balances – These will be transitioned across on the Effective Date along with all other accounts.

Commission

Commissions and trail payments – Advance commissions payments/upfront fees (broker credit) will move from Month End + 7 to Month End + 10.

Commission, trailer fees and rebates – Payments will come from IFDS rather than Citi.

New fee methodology – There will be a simplified methodology for calculating front-end loading/commissions; please note this will not impact the amounts paid.

Actions to prepare

Distributors and Investors may wish to start undertaking certain actions in preparation of the upcoming changes when documents / details are available ahead of the Effective Date.

We will send you the following documents for your attention:

- EGM notice to introduce the management company into the scheme
- Executable amendment to legal agreements with clients reflecting enhancements to AML and ABC rules
- Further administrative details prior to the Effective Date
- Opening and closing valuation statement

We hope you find this communication helpful, should you have any further questions please contact your relationship manager.

Our offices

For further information on these changes or our products, please contact your local sales office or visit our website at www.janushenderson.com.

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