

駿利證券投資顧問股份有限公司 函



受文者：上海商業儲蓄銀行股份有限公司

發文日期：中華民國 105 年 6 月 13 日

發文字號：駿顧字第 20160073 號

附 件：詳說明

主旨：通知駿利資產管理基金修訂之短線交易規範如說明所示，請查照。

說明：

一、本公司近日接獲所擔任總代理人之駿利資產管理基金系列（以下簡稱「本基金」）境外基金機構之通知，本基金之短線交易規範（含短線交易監控及報告規則），業經修訂，並自即日起生效。境外基金機構是項通知（含中譯文），詳見說明二。

二、「駿利資產管理基金（以下簡稱「本基金」）或其任何子基金，盼望投資人都能抱持長期心態從事基金投資。過於頻繁的申購及贖回或轉換股份，通常被視為「頻繁交易」或「短線交易」，此可能損害長期股東的利益，因此本基金之政策將禁止頻繁交易或短線交易。

Janus Capital Funds plc (“JCF”) and its sub-funds are intended for long-term investment purposes only. Excessive purchases and redemptions or exchanges of fund shares, commonly referred to as “excessive trading” or “short term trading” can harm the interests of long-term investors and for this reason JCF as a matter of policy, prohibit excessive trading or short term trading.

為確保與市場水準一致以及為了投資人的利益著想，我們持續地審視本基金的相關政策及程序。本基金已修改短線交易的監控及報告規則如下，並自即日起生效。並請 貴行/公司更新您內部短線交易報告的標準。

We continuously review our policy and procedures to ensure they are consistent with market standards and are protecting the interests of investors. JCF has updated the short term trading monitoring and reporting methodology as shown below, effective immediately. Please update your internal reporting criteria.

短線交易的監控及報告規則：

Short Term Trading patterns monitoring / reporting:

監控期間	30 日曆日
Monitoring period	30 calendar days

監控之最低交易金額 美金 100,000 或約當金額
Minimum Trade Amount USD 100,000 or equivalent in other currencies

定期定額交易之監控 排除
Savings Plan Monitoring Excluded

交易之監控 申購後贖回
轉入後轉出
申購後轉出
轉入後贖回
Transactions Buy followed by Sell
Switch Buy followed by Switch Sell
Buy followed by Switch Sell
Switch Buy followed by Sell

通知信及申購之限制

Warning Letter and Restricting Subscription

當在任一 90 天內同一客戶執行二次短線交易時，我們將發出通知信 (Warning Letter) 通知銷售機構以進一步通知該客戶注意該短線交易情形。一般而言，若同一客戶後續再次執行短線交易時，將永久限制該客戶申購及轉入駿利系列基金。

Warning letters will be issued to financial intermediaries who will then inform their clients after a chronological pattern of Short Term Trading is identified (2 round trips within a rolling 90 days for the same client). Generally speaking, subsequent short-term trading activity results in permanent trading restrictions (buy and switch buy).

本基金保留對任何申請人不經通知，逕行限制、拒絕或取消其基金申購和基金轉換申請的權利，包括該申請人之交易申請業經申請人的銷售機構接受。」

JCF reserves the right to restrict, reject or cancel, without any prior notice, any purchase or exchange (switch) order for any reason, including any purchase or exchange order accepted by any investor's financial intermediary.

敬祝 商祺

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