

## 駿利亨德森基金通知

2023 年 8 月 9 日

富達投信甫於近日接獲「駿利亨德森基金系列」之在台總代理人野村證券投資信託股份有限公司之通知事項。相關書件如附件所示供參。

若您對本通知有任何相關問題，歡迎聯絡您專屬的業務專員。富達證券營業讓與予富達投信後，目前富達投信未擔任該系列基金之銷售機構，若有其他相關問題，建議您可洽詢該系列基金之總代理人。

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**【富達投信獨立經營管理】**各基金經金管會核准或同意生效，惟不表示絕無風險，基金經理公司以往之經理績效不保證基金之最低投資收益，基金經理公司除盡善良管理人之注意義務外，不負責各基金之盈虧，亦不保證最低之收益，投資人申購前應詳閱基金公開說明書。有關基金應負擔之費用(境外基金含分銷費用)已揭露於基金之公開說明書或投資人須知中，投資人索取公開說明書或投資人須知，可至富達投資服務網 <http://www.fidelity.com.tw>或境外基金資訊觀測站 <http://www.fundclear.com.tw>查詢，或請洽富達投信或銷售機構索取。Fidelity 富達, Fidelity International, 與Fidelity International 加上其F標章為FIL Limited 之商標。FIL Limited 為富達國際有限公司。富達證券投資信託股份有限公司為FIL Limited 在台投資100%之子公司。110台北市信義區忠孝東路五段68號11樓，富達投信服務電話 0800-00-9911。

SITE 2016 09-007

正本

發文方式：電子交換（第一類，不加密）

檔號：

保存年限：

## 野村證券投資信託股份有限公司 函

地址：11049臺北市信義路5段7號30樓  
電話：(02)81015501 # 574  
電子信箱：Julie.Huang@nomurafunds.com.tw

受文者：如正副本行文單位

發文日期：中華民國112年8月8日

發文字號：野村信字第1120000458號

速別：普通件

密等及解密條件或保密期限：

附件：中、英文股東通知書及委託書

主旨：謹函轉本公司擔任總代理人之駿利亨德森資產管理基金系列境外基金通知「駿利亨德森環球生命科技基金」（下稱「本基金」）之若干變更，如後說明，請查照。

說明：

- 一、本公司經金融監督管理委員會核准，擔任駿利亨德森資產管理基金系列境外基金之總代理人，在國內公開募集及銷售，合先敘明。
- 二、本基金於歐盟永續金融揭露法規(下稱「SFDR」)，將於2023年9月11日前後出版之本基金補充文件修訂版，以反映其促進SFDR第8條所定義之環境及/或社會特徵，更新本基金之永續性方法，詳細說明請參附件中、英文股東通知書。

正本：宏利證券投資信託股份有限公司、中租證券投資顧問股份有限公司、鉅亨證券投資顧問股份有限公司、基富通證券股份有限公司、好好證券股份有限公司、統一綜合證券股份有限公司、凱基證券股份有限公司、元大證券股份有限公司、永豐金證券股份有限公司、臺灣銀行股份有限公司信託部、臺灣土地銀行股份有限公司、合作金庫商業銀行(信託部)、第一商業銀行股份有限公司信託處規劃部、華南商業銀行股份有限公司、彰化商業銀行股份有限公司信託處、上海商業儲蓄銀行股份有限公司信託部、台北富邦商業銀行股份有限公司、國泰世華商業銀行股份有限公司信託部(統編12163963)、高雄銀行股份有限公司信託部、兆豐國際商業銀行股份有限公司、花旗(台灣)商業銀行股份有限公司信託部、花旗(台灣)商業銀行股份有限公司財富管理業務暨產品企劃處、王道商業銀行股份有限公司財富管理部、王道商業銀行股份有限公司財富信託部、臺灣中小企業銀行股份有限公司、渣打國際商業銀行股份有限公司信託部、台中商業銀行股份有限公司、京城商業銀行股份有限公司信託部、香港商香港上海匯豐銀行股份有限公司台北分公司、瑞興商業銀行股份有限公司信託部、華泰商業銀行股份有限公司信託部、



臺灣新光商業銀行股份有限公司(財管商品部)、臺灣新光商業銀行股份有限公司(信託部)、陽信商業銀行股份有限公司信託部、板信商業銀行股份有限公司信託部、聯邦商業銀行股份有限公司財管部、遠東國際商業銀行股份有限公司投資顧問部、遠東國際商業銀行股份有限公司信託部、元大商業銀行股份有限公司、永豐商業銀行股份有限公司理財商品部、玉山商業銀行股份有限公司信託部、凱基商業銀行股份有限公司、星展(台灣)商業銀行信託部(T&O—WMO)、台新國際商業銀行股份有限公司、安泰商業銀行股份有限公司、中國信託商業銀行股份有限公司、容海國際證券投資顧問股份有限公司、富達證券投資信託股份有限公司、全球人壽保險股份有限公司、安聯人壽保險股份有限公司、富邦人壽保險股份有限公司產品行銷部、南山人壽保險股份有限公司、元大人壽保險股份有限公司、中國人壽保險股份有限公司、合作金庫證券投資信託股份有限公司、國泰證券投資信託股份有限公司、兆豐國際證券投資信託股份有限公司、復華證券投資信託股份有限公司

副本：



**THIS DOCUMENT IS IMPORTANT AND REQUIRES YOUR IMMEDIATE ATTENTION. IF YOU ARE IN ANY DOUBT AS TO THE ACTION YOU SHOULD TAKE YOU SHOULD SEEK ADVICE FROM YOUR INVESTMENT CONSULTANT OR OTHER PROFESSIONAL INDEPENDENT ADVISER. IN ACCORDANCE WITH THE CURRENT POLICY OF THE CENTRAL BANK, THIS DOCUMENT HAS NOT BEEN REVIEWED BY THE CENTRAL BANK.**

**JANUS HENDERSON CAPITAL FUNDS plc  
(the “Company”)**

Registration No. 296610.  
10 Earlsfort Terrace  
Dublin 2  
Ireland

**NOTICE TO SHAREHOLDERS  
(“Notice”)**

[8] August 2023

Dear Shareholder,

We are writing to you to inform you of certain changes to the Janus Henderson Global Life Sciences Fund (the “Fund”), a sub-fund of the Company.

Unless otherwise specified below, these changes will be reflected in an amended supplement for the Fund to be dated on or around [11 September] 2023 (the “Effective Date”).

*The terms used but not otherwise defined in this notice shall have the same meanings as those defined in the latest prospectus for the Company and/or supplements for the Funds (the “Prospectus”).*

**Changes applicable to Janus Henderson Global Life Sciences Fund in relation to its classification under the EU Sustainable Finance Disclosure Regulation (“SFDR”)**

**Update to the Sustainability Approach of the Fund**

The supplement for the Fund will be updated from the Effective Date to reflect that it promotes environmental and / or social characteristics as defined under Article 8 of SFDR.

An Article 8 fund under SFDR is classified as a fund that:

*“Promotes, among other characteristics, environmental or social characteristics, or a combination of those characteristics, provided that the companies in which the investments are made follow good governance practices”*

From the Effective Date the Fund will introduce new binding criteria to its investment strategy.

The Fund will exclude investment in companies deemed to have failed to comply with the UN Global Compact principles, and in addition, the Sub-Investment Adviser will apply screens to ensure at least 80% of the portfolio is invested in companies with an ESG risk rating of BB or higher by MSCI or equivalent.

Details of the environmental and/or social characteristics promoted by the Fund and how the Fund seeks to achieve the promotion of such characteristics will be disclosed in “Annex II Template pre-contractual disclosure” appended to the Prospectus from the Effective Date.

The changes outlined herein will not have a material impact on the Fund’s investment strategy, portfolio composition, or risk profile. There are no new fees, charges or increases in existing fees or charges borne by the Fund because of this change. There will not be a material adverse impact on the rights or interests of the shareholders of the Fund. There will be no material change in the operation and/or manner in which the Fund is being managed.

Please see “**Action Required by You**” below for details on how to respond to this change.

### **Action Required by You**

**PLEASE READ CAREFULLY AND CHOOSE ONE OF THE FOLLOWING OPTIONS:**

**1. Take no action**

You are not required to take any action as a result of this Change.

**2. Exchange your Shares**

You may switch your Shares in the Fund into the equivalent class of shares of any other sub-fund(s) of the Company free of charge on any Business Day prior to the Effective Date in accordance with the provisions of the Prospectus, provided that such an investment is permitted, including in your country.

The shares in the sub-fund(s) you specify will be purchased at the share price applicable to that sub-fund in accordance with the provisions of the Prospectus.

Before you switch into a new sub-fund, it is important that you read the Key Information Document (“**PRIIPs KIDs**”) of the new sub-fund, which are available as described below.

**3. Redeem your Shares**

If you do not wish to remain invested in the Fund following the implementation of the proposed Change you may redeem your Shares in the Fund free of charge on any Business Day prior to the Effective Date by following the usual redemption procedures and terms as set out in the Prospectus.

During such period, redeeming Shareholders will not be subject to contingent deferred sales charge, if applicable, provided they submit their redemption request in accordance with the provisions referenced above.

### **Additional Information**

Any instruction to exchange or redeem your Shares should be sent to the Registrar and Transfer Agent at the address indicated in **Appendix A**.

Investors may obtain the Prospectus, the supplements, the PRIIPS KIDs, the Articles, as well as the annual and semi-annual reports of the Company, free of charge from the registered office and at [www.janushenderson.com](http://www.janushenderson.com)

An exchange or redemption of your Shares may affect your tax position. You should therefore seek guidance from a professional adviser on any taxes that apply in the country of your respective citizenship, domicile, or residence.

Please note that for any dealing in the Fund prior to the Effective Date the Directors have discretion to apply a dilution adjustment to reflect more fairly the value of the

### **Janus Henderson Capital Funds PLC**

10 Earlsfort Terrace, Dublin 2, Ireland

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investments in circumstances the Directors consider appropriate, with the view to protecting the interests of remaining Shareholders. Any dilution adjustment, if applicable, will be applied in accordance with the provisions of the Prospectus and may lower the proceeds that you receive from the sale of your Shares in the case of Redemption, or the value of your Shares in the case of an exchange.

**If you choose to redeem your Shares in the Fund,**

we will pay the redemption proceeds to you in accordance with the provisions of the Prospectus, except that we will not impose any fee (except for any dilution adjustment, as described above) if you redeem because of the Change described in this notice.

**If you choose to exchange your Shares to a holding in a different Fund,**

then we will use the proceeds to purchase Shares in the Fund(s) you specify at the share price applicable to that Fund in accordance with the provisions of the Prospectus except that we will not impose any fee (except for any dilution adjustment, as described above) if you exchange because of the Change described in this notice.

If you are in any doubt about the action to be taken, please seek advice from your stockbroker, bank manager, solicitor, accountant, relationship manager or other professional adviser.

We may require documentation to verify your identity if we do not already hold it and may delay payment until we receive such verification.

We will normally make payment in accordance with the standing instructions we hold on file. If you have changed your bank account and not informed us, please confirm your up-to-date details in writing using the contact details provided in **Appendix A**.

**Need more information? How to contact us**

If you have any questions, please contact the Registrar and Transfer Agent, using the details provided in Appendix A.

For local agents and representatives for Singaporean, Swiss, German or Belgian investors please see details in Appendix A.

Yours faithfully,



Director

For and on behalf of Janus Henderson Capital Funds plc

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## Appendix A

### Agents and Local Representatives of the Company

<p style="text-align: center;"><b><u>Transfer Agent</u></b></p> <p style="text-align: center;"><b>International Financial Data Services (Ireland) Limited</b> Bishops Square Redmond's Hill Dublin 2 Ireland Telephone number: +353 1 242 5453 Fax number: +353 1 562 5537</p>	<p style="text-align: center;"><b>Singapore investors</b></p> <p style="text-align: center;"><b>Singapore representative</b></p> <p style="text-align: center;"><b>Janus Henderson Investors (Singapore) Limited</b> Level 34 - Unit 03-04 138 Market Street CapitaGreen Singapore 048946</p> <p style="text-align: center;"><i>The Prospectus, the Product Highlights Sheet ("PHS"), the Articles, as well as the annual and semi-annual reports of the Company, may be obtained free of charge from the Singapore representative.</i></p>
<p style="text-align: center;"><b>Swiss investors</b></p> <p style="text-align: center;"><b>Swiss representative</b> <b>FIRST INDEPENDENT FUND SERVICES LTD.,</b> Klausstrasse 33, 8008 Zurich</p> <p style="text-align: center;"><i>The Paying Agent in Switzerland is Banque Cantonale de Genève, 17, quai de l'Île, 1204 Geneva, Switzerland. The Extract Prospectus for Switzerland, the key information documents, the Company's Articles as well as the annual and semi-annual reports may be obtained free of charge from the Swiss representative.</i></p>	<p style="text-align: center;"><b>German investors</b></p> <p style="text-align: center;"><b>Janus Henderson Investors Europe S.A.</b> (“JHIESA”) 2 rue de Bitbourg L-1273 Luxembourg Grand Duchy of Luxembourg</p> <p style="text-align: center;"><i>JHIESA is the facilities service provider according to Sec. 306a (1) German Investment Code (KAGB) and the relevant Prospectus and key information documents for packaged retail and insurance-based investment products (PRIIPs-KIDs), the Certificate of Incorporation and Memorandum and Articles of Association and the annual and semi-annual reports are available there free of charge in paper form.</i></p>
<p style="text-align: center;"><b>Belgian investors</b></p> <p style="text-align: center;"><b>Janus Henderson Investors Europe S.A.</b> (“JHIESA”) 2 rue de Bitbourg L-1273 Luxembourg Grand Duchy of Luxembourg</p> <p style="text-align: center;"><i>The PRIIPS KIDs (in English and French), the Prospectus, the Articles of association and the annual audited accounts and report (in English) of the Company can be obtained free of charge at the registered seat of the Company and the facilities agent.</i></p>	<p style="text-align: center;"><b>For all other investors</b></p> <p>should you have any questions relating to these matters or copies of documents, you should either contact us at the above address or alternatively you should contact your investment consultant, tax adviser and/or legal adviser as appropriate.</p> <p>If you are in any doubt about the action to be taken, please seek advice from your stockbroker, bank manager, solicitor, accountant, relationship manager or other professional adviser.</p> <p>Please note that subsidiaries and/or delegated third parties of the Janus Henderson Group that you communicate with about your investment may record telephone calls and other communications for training, quality and monitoring purposes and to meet regulatory record keeping obligations in accordance with the Privacy Policy.</p>

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此為重要文件，請立即閱讀。如果台端對應採取之行動有疑問，請洽詢台端的投資顧問或其他專業獨立顧問。依照愛爾蘭中央銀行現行政策，本文件尚未經愛爾蘭中央銀行審核。

駿利亨德森資產管理基金  
(下稱「本公司」)  
Registration No. 296610.  
10 Earlsfort Terrace  
Dublin 2  
Ireland

股東通知書  
(下稱「本通知書」)

2023年8月[8]日

親愛的股東：

本通知書旨在通知台端有關本公司之子基金即駿利亨德森環球生命科技基金(下稱「本基金」)之若干變更。

除非後述內容另行載明，此等變更將於 2023 年[ 9 月 11 日]前後出版之本基金補充文件修訂版(下稱「生效日」)。

本通知書所使用但未另行定義之詞彙，悉與本公司最近期之公開說明書及/或本基金之補充文件(下稱「公開說明書」)中所定義的詞彙具相同涵義。

**駿利亨德森環球生命科技基金於歐盟永續金融揭露法規(下稱「SFDR」)下所屬分類適用之變更**

**更新本基金之永續性方法**

本基金之補充文件將從生效日起更新，以反映其促進 SFDR 第 8 條所定義之環境及/或社會特徵。

以下基金歸類為 SFDR 第 8 條基金：

「除其他特徵外，旨在促進環境/社會特徵或此類特徵之組合，惟被投資之公司應遵循良好治理實務。」

自生效日起，本基金將為其投資策略引進新約束標準。

本基金之投資將排除經認定未遵守聯合國全球盟約原則之公司，且副投資顧問將進行篩選以確保至少 80% 之投資組合投資於 ESG 風險評級經 MSCI 評為 BB 以上或同等級。

本基金提倡之環境及/或社會特徵之詳細資訊以及本基金如何尋求實現促進此類特徵，將於生效日起附於公開說明書之「附錄二締約前揭露資訊範本」中揭露。

此處概述之變更不會對本基金之投資策略、投資組合或風險程度產生重大影響。本基金不會因此改變並負擔新增費用、收費或增加現有費用或收費，亦不會對本基金股東之權益造成重大不利影響。本基金之運作及/或管理方式不會發生重大變化。

就如何因應此變更之詳細資訊，請參閱下方「**台端須採取之行動**」。



## 台端須採取之行動

請詳細閱讀並選擇以下任一選項：

### 1. 不採取任何行動

台端毋需為此變更採取任何行動。

### 2. 轉換台端之股份

台端得依公開說明書之規定，於生效日前之任何營業日免費將台端於本基金之股份轉換為本公司任何其他子基金之同等類別股份，惟應屬(包括在台端所在國家/地區)可允許之投資。

台端指定之子基金股份將依公開說明書之規定，以適用於該子基金之股價購買。

在台端轉換至新子基金前，請務必閱讀新子基金之主要資訊文件(下稱「PRIIPs KIDs」)，該文件之取得方式如下所述。

### 3. 買回台端之股份

若台端不願在實施擬議之變更後繼續投資於本基金，台端得於生效日前之任何營業日，依公開說明書規定之通常買回程序及條款免費買回台端持有之本基金股份。

於此期間，若買回股東依上述規定提交買回請求，將不適用遞延銷售費用之規定(如有適用)。

## 其他資訊

任何交換或買回台端的股份指示均應按照**附錄 A**之指定地址發送至登記處與過戶代理人。

投資人得於註冊辦事處及 [www.janushenderson.com](http://www.janushenderson.com) 免費取得本公司之公開說明書、補充文件、PRIIPs KID、公司章程以及年報與半年報。

轉換或買回台端的股份可能會影響台端的稅務狀況。因此，台端應該就適用於台端之公民身份、住所或居住國之任何稅務事項向專業顧問尋求諮詢。

請注意，對於生效日前本基金之任何交易，董事得酌情適用稀釋調整，以在董事認為適當之情況下更公平地反映投資價值，以保護其餘股東之利益。任何稀釋調整(如適用)將依公開說明書之規定進行適用，並可能降低台端於買回時從出售台端的股份中獲得之價金，或在交換時降低台端的股份價值。

若台端選擇買回台端持有之本基金股份，

## Janus Henderson Capital Funds PLC

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Directors: Mr. Carl O'Sullivan; Mr. Peter Sandys; Mr Ian Dyble (UK); Ms. Jane Shoemake (UK), Mr. Matteo Candolini (Italy).  
An umbrella fund with segregated liability between sub-funds. Registered No. 296610; Registered Address: as above.

本公司將根據公開說明書之規定向台端支付買回價金，但若台端係因本通知所述之變更而買回，本公司不收取任何費用（上述之任何稀釋調整除外）。

**若台端選擇將台端的股份轉換成不同基金之股份，**

如台端因本通知中所述之變更而進行股份轉換，本公司將依公開說明書之規定，使用價金以適用於台端指定之基金股份類別之該基金股價申購，但本公司不會收取任何費用（上述之任何稀釋調整除外）。

如台端對要採取之行動有任何疑問，請向台端的股票經紀人、銀行經理、律師、會計師、客戶經理或其他專業顧問尋求建議。

若本公司尚未持有以驗證台端身份的文件，本公司可能需要該文件，且於本公司收到此類驗證前可能會延遲付款。

本公司通常會依本公司留存之常規指示進行付款。若台端已更改銀行帳戶但未通知本公司，請使用附件A中提供之聯繫方式以書面形式確認台端的最新詳細資訊。

**如需更多資訊，如何聯絡本公司？**

若台端有任何問題，請聯絡登記處與過戶代理人，聯絡資訊請參考附件 A。

新加坡、瑞士、德國或比利時投資人之當地代理人或代表機構，請參考附件 A 之聯絡資訊。

順頌 時綏

董事

代表駿利亨德森資產管理基金

**Janus Henderson Capital Funds PLC**

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An umbrella fund with segregated liability between sub-funds. Registered No. 296610; Registered Address: as above.

附件 A

本公司代理人及當地代表機構

<p style="text-align: center;"><b>過戶代理人</b></p> <p style="text-align: center;"><b>International Financial Data Services (Ireland) Limited</b> Bishops Square Redmond's Hill Dublin 2 愛爾蘭電話：+353 1 242 5453 傳真：+353 1 562 5537</p>	<p style="text-align: center;"><b>新加坡投資人</b></p> <p style="text-align: center;"><b>新加坡代表機構</b></p> <p style="text-align: center;"><b>Janus Henderson Investors (Singapore) Limited</b> Level 34 - Unit 03-04 138 Market Street CapitaGreen Singapore 048946</p> <p>公開說明書、產品資料概要、章程及本公司年報與半年報，可向新加坡代表機構免費索取。</p>
<p style="text-align: center;"><b>瑞士投資人</b></p> <p style="text-align: center;"><b>瑞士代表機構</b></p> <p style="text-align: center;"><b>First Independent Fund Services Ltd.,</b> Klausstrasse 33, 8008 Zurich</p> <p>瑞士付款代理人為 <i>Banque Cantonale de Genève</i> (設址 17, quai de l'Île, 1204 Geneva, Switzerland)</p> <p>瑞士公開說明書摘錄本、PRIIPS KIDs、本公司章程及年報與半年報，得向瑞士代表機構免費索取。</p>	<p style="text-align: center;"><b>德國投資人</b></p> <p style="text-align: center;"><b>Janus Henderson Investors Europe S.A.</b> (簡稱「JHIESA」) 2 rue de Bitbourg L-1273 Luxembourg Grand Duchy of Luxembourg</p> <p>JHIESA 係根據德國投資法 (KAGB) Sec 306a (1) 之設施服務提供商，可免費索取相關公開說明書、零售及保險投資產品組合之 PRIIPS KIDs、本公司設立證明與備忘錄、章程及年報與半年報。</p>
<p style="text-align: center;"><b>比利時投資人</b></p> <p style="text-align: center;"><b>Janus Henderson Investors Europe S.A.</b> (簡稱「JHIESA」) 2 rue de Bitbourg L-1273 Luxembourg Grand Duchy of Luxembourg</p> <p>PRIIPS KIDs (英文及法文)、公開說明書、章程以及本公司經會計師查核之年度帳目與報告(英文)，可向本公司登記辦事處及資金代理人免費索取。</p>	<p style="text-align: center;"><b>所有其他投資人</b></p> <p>若台端對於前述事項或文件有任何疑問，應該按上述地址與本公司聯繫，或應聯繫台端之投資顧問、稅務顧問及/或法律顧問。</p> <p>若台端對要採取的行動有任何疑問，請諮詢台端的證券經紀商、銀行經理、律師、會計師、客戶關係經理或其他專業顧問。</p> <p>請注意，駿利亨德森集團的子公司及/或委任之第三人可能將與台端間就台端之投資所進行溝通之內容進行電話錄音或記錄其他通訊往來，以用於培訓、品管及監控，並依據隱私政策履行規定之記錄保存義務。</p>

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