

檔 號：  
保存年限：

## 富盛證券投資顧問股份有限公司 函

地址：台北市信義區松德路 171 號 9 樓及 12 樓之一  
承辦人：交易暨基金事務部  
電子信箱：dealing@cgsice.com  
電話：(02)2728-3222

受文者：如行文單位

發文日期：中華民國 109 年 11 月 9 日

發文字號：(109)富顧字第 03201109002 號

密等及解密條件或保密期限：普通

附件：

一、 AWF-shareholder notice 中英文版(共 2 份)。

主旨： 謹依法通知 貴公司有關安盛環球基金系列之公開說明書  
修訂，敬請 查照。

說明：

一、 謹通知安盛環球基金系列公開說明書中譯本進行若干變更，謹略  
述如下。：

- A. 更新有關子基金使用績效指標之揭露規定；
- B. 更新公開說明書中「管理公司」一節中「績效指標法規」之段落，上述變更將立即生效，即公開說明書公告之日；
- C. 修正數檔子基金之建議持有期間(RHP)，以解決兩項主要問題：  
(i)高度相似的資產類別及策略間之歧異，及(ii)目前 RHP 與市場慣例不一致。上述變更將於 2020 年 12 月 9 日生效，即本通知書發佈後一個月；
- D. 更新公開說明書中「本 SICAV」一節中「董事會」之段落；
- E. 更新公開說明書中「管理公司」一節中「董事會」之段落；
- F. 更新公開說明書之相關地址資訊。

二、 本公司已於西元 2020 年 11 月 9 日將前開訊息公告於境外基金  
資訊觀測站，公開說明書已完成更新，投資人須知則將於更新後

上傳。詳細內容請參閱致股東通知書。

正本：國泰世華商業銀行股份有限公司、華泰商業銀行股份有限公司、聯邦商業銀行股份有限公司、陽信商業銀行股份有限公司、王道商業銀行股份有限公司、元富證券股份有限公司、國泰綜合證券股份有限公司、凱基證券股份有限公司、基富通證券股份有限公司、統一綜合證券股份有限公司、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、群益金鼎證券股份有限公司、國泰證券投資顧問股份有限公司、國泰人壽保險股份有限公司。

副本：

董事長 **蔡政宏**



「安盛環球基金」

(下稱「本公司」)

盧森堡可變動資本投資公司

登記辦公室: 49, avenue J. F. Kennedy

L-1855 Luxembourg

商業登記編號: Luxembourg, B-63.116

2020年11月9日

本通知書為重要文件，請立即注意本通知書內容。

如有任何疑問，請尋求專業建議。

(本通知書為節錄本，僅列出與在台灣地區銷售子基金相關之內容)

親愛的股東：

謹通知 臺端本公司之董事（下稱「董事」）已決定對本公司公開說明書（下稱「公開說明書」）進行若干變更，俾使本公司得更有效率管理 臺端之利益。

除非於本通知書中另有定義，本檔所使用之詞彙及表達方式與公開說明書所使用者所載具有相同意義。

- I. 更新有關子基金使用績效指標之揭露規定
- II. 更新公開說明書中「管理公司」一節中「績效指標法規」之段落
- III. 修正數檔子基金之建議持有期間(RHP)
- IV. 更新公開說明書中「本SICAV」一節中「董事會」之段落
- V. 更新公開說明書中「管理公司」一節中「董事會」之段落
- VI. 更新公開說明書之資訊

## I. 更新有關子基金使用績效指標之揭露規定

歐洲證券及市場管理局（「ESMA」）於2019年3月29日頒佈一份UCITS指令(ESMA34-43-392)應用相關的最新「問答集」，尤其針對「第二節- UCITS主要投資人資訊文件（「KIID」）」（以下簡稱「ESMA 問答集」），董事會決定加強績效指標資訊之揭露，詳見本協議附錄1。附錄1中未列出之子基金(i)其績效指標資訊之揭露已符合規定，或(ii)已更新於2020年4月之公開說明書。

本公開說明書之變更係為2020年2月19日對受影響子基金相關KIID所為之修改一致，該等修改日期與依ESMA問答集及盧森堡金融監管委員會(CSSF)之規定，對KIID進行年度更新之日期一致。

## II. 更新公開說明書中「管理公司」一節中「績效指標法規」之段落

董事會決定更新公開說明書中「管理公司」一節中「績效指標法規」之段落如下：

「某些子基金採用歐洲議會及理事會就金融工具及金融契約或為衡量投資基金績效作為績效指標之指數（「BMR」）所頒佈之西元2016年6月8日之歐盟法規2016/1011號所定義之指標以為定義投資組合之資產配置及/或計算績效費用（請參見下列子基金相關附錄中「績效費用之績效指標」一節：最佳收益基金）。

依BMR第28(2)條，管理公司已採用書面計畫，載明使用BMR所定義績效指標之子基金在指標指數發生重大變更或不再提供時將採取之行動（「應變計畫」）。台端得於管理公司之註冊辦公室免費取得應變計畫。

於本公開說明書最近更新之日，下述BMR所定義績效指標行政管理人已列於ESMA之名單，並得於<https://www.esma.europa.eu/benchmarks-register>網站取得：~~彭博指數服務公司（管理 Bloomberg Barclays Global Aggregate OECD Currencies benchmark 指數）、ICE Benchmark Administration Limited（管理 ICE BofAML Euro Corporate 1-10 Yrs benchmark 指數）、MSCI管理之 MSCI Europe Microcap、MSCI Europe ex UK Microcap、MSCI AC World Commodity Producers、Total Return Net 及 MSCI Europe Total Return Net 及 MSCI World Total Return Net Index Benchmarks、Thomson Reuters（管理 Thomson Reuters Convertible Global Focus Hedged Benchmark）、S&P（管理 S&P GSCI Energy & Metals Capped Components 35/20 Benchmark）及 FTSE International Limited（管理 FTSE EuroBig 10+ Yrs EUR Benchmark 及 FTSE Italia All share NT Index Benchmarks）。~~

於本公開說明書最近更新之日，下述績效指標行政管理人尚未列於ESMA之名單：~~EMMI（於 European Money Markets Institute 管理 EONIA Benchmark 時）。~~

上述變更將立即生效，即公開說明書公告之日。

### III. 修正數檔子基金之建議持有期間(RHP)

董事會決定變更幾檔子基金之RHP，如附錄2所詳述，以解決兩項主要問題：(i)高度相似的資產類別及策略間之歧異，及(ii)目前RHP與市場慣例不一致。

上述變更將於2020年12月9日生效，即本通知書發佈後一個月。

不同意此變更之股東得於2020年12月9日前免手續費申請贖回股份。

### IV. 更新公開說明書中「本SICAV」一節中「董事會」之段落

董事會決定更新公開說明書中「本SICAV」一節中「董事會」之段落，以反映(i) Bettina Ducat女士於2020年4月23日之辭任，及(ii)自2020年5月19日起指派Geoffroy Reiss先生為本SICAV之董事長及董事。

上述變更將立即生效，即公開說明書公告之日。

### V. 更新公開說明書中「管理公司」一節中「董事會」之段落

董事會決定更新公開說明書中「管理公司」一節中「董事會」之段落，以反映自2020年6月5日起，指派現居法國的AXA Investment Managers全球主席營運長Godefroy Joly-Lyautey De Colombe為管理公司之董事長及董事。

上述變更將立即生效，即公開說明書公告之日。

### VI. 更新公開說明書之資訊

董事會決定：

- 自2020年9月4日起更新AXA Investment Managers UK Limited 及AXA Investment Managers GS Limited之地址；
- 自2020年9月21日起更新AXA Investment Managers Asia Limited (Hong Kong SAR) 及AXA Investment Managers Chorus Limited之地址，以及
- 更新State Street Bank and Trust Company之地址。

上述變更將立即生效，即公開說明書公告之日。

\* \*

包含本函所載變更之公開說明書得於本公司註冊辦公室取得。

安盛環球基金

董事會

敬上

## 附錄 1

### 下列為子基金加入相關績效指標揭露之摘要

1. 投資於績效指標成份及範圍內之證券，投資經理對投資組合之組成有廣泛之裁量權。	
<p>子基金為主動式管理，[主要投資於「績效指標」(下稱「績效指標」)成份股範圍內之公司股票]或[透過主要投資於「績效指標」(下稱「績效指標」)成份證券範圍內之證券]，以在相關市場（如公開說明書相關段落所定義）中把握機會。作為投資程序的一環，投資經理對於子基金投資組合之成份有廣泛的自由裁量權，得依其投資信念，[對國家或公司持有大幅高於或低於指標成份權重之部位]，及/或[對未包括在績效指標組合內之公司、國家或產業持有曝險]，及/或[在存續期限、地域配置及/或產業或發行人選擇方面進行不同於績效指標之部位配置]，即便績效指標之成份通常代表子基金之投資組合。因此，可能顯著偏離績效指標。</p>	
子基金名稱	績效指標名稱
泛靈頓新興市場基金(AXA World Funds – Framlington Emerging Markets)	MSCI Emerging Markets Total Return Net
泛靈頓歐洲房地產基金(AXA World Funds – Framlington Europe Real Estate Securities)	FTSE EPRA/NAREIT Developed Europe Capped 10% Total Return
美國高收益債券基金 (AXA World Funds – US High Yield Bonds)	ICE BofAML US High Yield Master II
2. 主動式管理且僅為比較目的而參考績效指標，對績效指標未包含之公司、國家或產業具可能取得曝險。	
<p>「子基金為主動式管理，僅為比較目的而參考績效指標。投資經理對子基金投資組成份具完全的自由裁量權，並得對績效指標未納入之公司、國家或產業持有曝險。子基金之投資組合及績效表現可能偏離績效指標之程度並未受限。(...)」</p>	
子基金之名稱	績效指標之名稱
泛靈頓歐洲小型企業基金(AXA World Funds – Framlington Europe Small Cap)	STOXX Europe Small 200 Total Return Net
3. 主動管理並使用績效指標來計算績效費用	
<p>「本子基金為主動式管理，並以下列「績效費用所採之績效指標」(下稱「績效指標」)一節所載績效指標之指數為參考，以計算績效費用股份類別之績效費。因績效指標係特別用於衡量績效之比率，子基金之投資配置或持股之組成與績效指標無關，可能顯著偏離績效指標。」</p>	
子基金之名稱	績效費用所採之績效指標
最佳收益基金 (AXA World Funds – Optimal Income)	歐元股份類別為歐元計價之 Eonia cap + 200 基本點；非歐元股份類別為將歐元計價之 Eonia cap + 200 基本點轉換為該股份類別之幣別。

## 附錄 2

### 子基金 RHP 修改之變更摘要

子基金	現行 RHP	新 RHP
泛靈頓新興市場基金 (Framlington Emerging Markets)	八年	五年
泛靈頓歐洲房地產基金 (Framlington Europe Real Estate Securities)	八年	五年
泛靈頓歐洲小型企業基金 (Framlington Europe Small Cap)	八年	五年
最佳收益基金 (AXA World Funds – Optimal Income)	六年	五年
美國高收益債券基金 (US High Yield Bonds)	七年	五年





## AXA WORLD FUNDS

(the "Sicav")

A Luxembourg Société d'Investissement à Capital Variable

Registered Office: 49, avenue J. F. Kennedy  
L-1855 Luxembourg  
Commercial Register: Luxembourg, B-63.116

9 November 2020

**THIS DOCUMENT IS IMPORTANT AND REQUIRES YOUR IMMEDIATE ATTENTION.**  
**IF IN DOUBT, PLEASE SEEK PROFESSIONAL ADVICE.**

Dear Shareholders,

We are pleased to inform you that the directors of the Sicav (the "Directors") have decided to introduce a number of changes to the prospectus of the Sicav (the "Prospectus"), which will enable it to look after your interests more effectively.

*Except as otherwise specified in this notice, words and expressions contained hereafter shall have the same meaning as in the Prospectus.*

- I. Update of the disclosure requirements regarding the use of benchmarks by the Sub-Funds
- II. Update of the sub-section "Benchmark Regulation" under section "The Management Company" of the general part of the Prospectus
- III. Modification of the recommended holding period ("RHP") of several sub-funds
- IV. Update of the sub-section "The Board of Directors" under section "The SICAV" of the general part of the Prospectus
- V. Update of the sub-section "The Board of Directors" under section "The Management Company" of the general part of the Prospectus
- VI. Update of information in the Prospectus

## I. Update of the disclosure requirements regarding the use of benchmarks by the Sub-Funds

Following the publication on 29 March 2019, by the European Securities and Markets Authority ("ESMA"), of an updated "Questions and Answers" document regarding the application of the UCITS Directive (ESMA34-43-392) and more particularly "Section II – Key Investor Information Document ("KIID") for UCITS" (hereafter referred to as the "ESMA Q&A"), the Directors decided to enhance the benchmark disclosures as detailed in Appendix 1 hereto. Sub-Funds that are not listed in Appendix 1 hereto had either (i) their benchmark disclosures already compliant or (ii) updated at the previous version of the Prospectus dated April 2020.

**This change of the prospectus is an alignment with the modifications made to the relevant KIIDs of the impacted Sub-funds as of 19 February 2020, which corresponds to the date of the KIID annual update as per the requirement of the ESMA Q&A and the *Commission de Surveillance du Secteur Financier* ("CSSF").**

## II. Update of the sub-section "Benchmark Regulation" under section "The Management Company" of the general part of the Prospectus

The Directors decided to update the sub-section "Benchmark Regulation" under section "The Management Company" of the general part of the Prospectus, as follows:

"Certain Sub-Funds use Benchmarks as defined by the Regulation (EU) 2016/1011 of the European Parliament and of the Council of 8 June 2016 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds ("BMR"), for the purpose of defining the asset allocation of a portfolio and/or of computing performance fees (please refer to section "Benchmark for performance fee" in the relevant appendix of the following Sub-Funds: Optimal Income).

As required by article 28(2) of BMR, the Management Company has adopted a written plan setting out actions, which it will take with respect to the Sub-Funds using a benchmark as defined by BMR in the event that the benchmark index materially changes or ceases to be provided (the "Contingency Plan"). You may access the Contingency Plan free of charge at the registered office of the Management Company.

At the date of the latest update of this prospectus, the following Benchmark administrators as defined by BMR are listed in the ESMA Register that you may consult at <https://www.esma.europa.eu/benchmarks-register>: ~~Bloomberg Index Services Limited (which administrates the Bloomberg Barclays Global Aggregate OECD Currencies benchmark index), ICE Benchmark Administration Limited (which administrates the ICE BofAML Euro Corporate 1-40 Yrs benchmark index), MSCI Limited (which administrates the MSCI Europe Microcap, MSCI Europe ex-UK Microcap, MSCI AC World Commodity Producers Total Return Net, MSCI Europe Total Return Net and MSCI World Total Return Net Index Benchmarks), Thomson Reuters (which administrates the Thomson Reuters Convertible Global Focus Hedged Benchmark), S&P (which administrates S&P GSCI Energy & Metals Capped Components 35/20 Benchmark) and FTSE International Limited (which administrates the FTSE EuroBig 10+ Yrs EUR and the FTSE Italia All-share NT index Benchmarks).~~

~~At the date of the latest update of this prospectus, the following Benchmark administrator has not been yet listed in the ESMA Register: EMMI (European Money Markets Institute) when administrating the EONIA Benchmark."~~

**This change takes effect immediately, i. e. at the date of the publication of the updated prospectus.**

## III. Modification of the recommended holding period ("RHP") of several sub-funds

The Directors decided to change the RHPs of several Sub-funds as detailed in Appendix 2 hereto, in order to address two main issues (i) discrepancies were noted among very similar asset classes and strategies and (ii) the current RHP were not in line with the market practice.

**This change will take effect on 9 December 2020, one month after the date of the present Notice.**

Shareholders who do not agree with such change may request the redemption of their shares free of charge up to 9 December 2020.

**IV. Update of the sub-section "The Board of Directors" under section "The SICAV" of the general part of the Prospectus**

The Directors decided to update the sub-section "The Board of Directors" under section "The SICAV" of the general part of the Prospectus in order to reflect (i) the resignation of Ms Bettina Ducat as of 23 April 2020, and (ii) the appointment of Mr Geoffroy Reiss as chairman and director of the Sicav as of 19 May 2020.

**This change takes effect immediately, i. e. at the date of the publication of the updated prospectus.**

**V. Update of the sub-section "The Board of Directors" under section "The Management Company" of the general part of the Prospectus**

The Directors decided to update the sub-section "The Board of Directors" under section "The Management Company" of the general part of the Prospectus in order to reflect the appointment of Godefroy Joly-Lyautey de Colombe, Residing in France, Global Chief Operating Officer, AXA Investment Managers, as a chairman and director of the Management Company as of 5 June 2020.

**This change takes effect immediately, i. e. at the date of the publication of the updated prospectus.**

**VI. Update of information in the Prospectus**

The Directors decided to

- update the address of AXA Investment Managers UK Limited and AXA Investment Managers GS Limited as from 4 September 2020,
- update the address of AXA Investment Managers Asia Limited (Hong Kong SAR) and AXA Investment Managers Chorus Limited as from 21 September 2020, and
- update the address of State Street Bank and Trust Company.

**This change takes effect immediately, i. e. at the date of the publication of the updated prospectus.**

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The Prospectus, taking into account the changes mentioned in this letter, will be available at the registered office of the Sicav.

Yours faithfully,

The Board of Directors  
AXA World Funds

## Appendix 1

### Summary of the changes related to the insertion of the benchmark disclosures in the Sub-Funds listed below

1. Active management and reference to the benchmark for comparative purposes only. The investment manager has full discretion over the composition of the portfolio of the Sub-Fund and can take exposure to companies, countries or sectors not included in the Benchmark.	
<p>The Sub-Fund is actively managed in order to capture opportunities in their relevant market (as defined in the relevant section of the Prospectus), [by mainly investing in equities of companies] OR [primarily investing in securities] that are part of the benchmark index ("the Benchmark") universe.</p> <p>As part of the investment process, the Investment Manager has broad discretion over the composition of the Sub-Fund's portfolio and can take, based on its investment convictions, [large overweight or underweight positions on the sectors or companies compared to the Benchmark's composition] and/or [take exposure to companies, countries or sectors not included in the Benchmark] and/or [take different positioning in terms of duration, geographical allocation and/or sector or issuer selection compared to the Benchmark], even though the Benchmark constituents are generally representative of the Sub-Fund's portfolio. Thus, the deviation from the Benchmark is likely to be significant.</p>	
Name of the Sub-Fund	Name of the Benchmark
AXA World Funds – Framlington Emerging Markets	MSCI Emerging Markets Total Return Net
AXA World Funds – Framlington Europe Real Estate Securities	FTSE EPRA/NAREIT Developed Europe Capped 10% Total Return
AXA World Funds — US High Yield Bonds	ICE BofAML US High Yield Master II

2. Active management and reference to the benchmark for comparative purposes only. The investment manager has full discretion over the composition of the portfolio of the Sub-Fund and can take exposure to companies, countries or sectors not included in the Benchmark.	
<p>"The Sub-Fund is actively managed and references the "Benchmark" for comparative purposes only. The Investment Manager has full discretion over the composition of the portfolio of the Sub-Fund and can take exposure to companies, countries or sectors not included in the Benchmark. There are no restrictions on the extent to which the Sub-Fund's portfolio and performance may deviate from the ones of the Benchmark. (...)"</p>	
Name of the Sub-Fund	Name of the Benchmark
AXA World Funds - Framlington Europe Small Cap	STOXX Europe Small 200 Total Return Net

3. Active management and use of the benchmark for the purpose of the performance fee calculation.	
<p>"The Sub-Fund is actively managed and uses as reference the benchmark index specified in the section "Benchmark for performance fee" below ("the Benchmark"), for the purpose of performance fees' calculation of the performance fee share class against it. As the Benchmark is a rate notably used for performance measurement and the Sub-Fund's investment allocation or holdings' composition is not constituted in relation to the Benchmark, the deviation from the Benchmark is likely to be significant."</p>	
Name of the Sub-Fund	Benchmark for performance fee
AXA World Funds — Optimal Income	Eonia cap + 200 basis points denominated in EUR for EUR Share Classes; Eonia cap + 200 basis points denominated in EUR converted in the currency of the Share Class for non-EUR Share Classes.

## Appendix 2

### Summary of the changes related to the modification of the RHP for the Sub-Funds listed below

Sub-Fund	Current RHP	New RHP
Framlington Emerging Markets	8 years	5 years
Framlington Europe Real Estate Securities	8 years	5 years
Framlington Europe Small Cap	8 years	5 years
Optimal Income	6 years	5 years
US High Yield Bonds	7 years	5 years