

**Funderstone Securities Limited  
Funderstone Futures Limited  
Funderstone Asset Management (HK) Limited**

**DECLARATION OF CONSENTING TO BEING TREATED AS A PROFESSIONAL INVESTOR (CORPORATE)  
同意被視為專業投資者申報表 (法團)**

- Initial Assessment 首次評估
- Additional Assessment (If the Client wishes to invest in a product or market in respect of which the Client is currently not the Professional Investor)  
額外評估 (當客戶要求投資某產品或市場, 而客戶尚未成為該產品或市場的專業投資者)
- Special Assessment, if the Client has ceased to trade in the relevant product or market for more than 2 years.  
特別評估, 如客戶已停止於相關產品或市場買賣超過2年。
- Re-Assessment  
重新評估

Please complete all of **Parts A to E** in this Declaration below and provide sufficient documentary proof as required for Funderstone Group's checking to substantiate Client's Professional Investor status.

請填妥本申報表以下**A至E的全部部分**, 並提供充分的所須文件證明, 以供Funderstone 集團核實客戶的專業投資者身份。

**A. CLIENT INFORMATION  
客戶資料**

Client Name 客戶名稱		
English 英文: _____		
Chinese 中文: _____		
Securities Cash A/C No. 現金證券賬戶號碼	Securities Margin A/C No. 保證金證券賬戶號碼	Futures Account A/C No. 期貨賬戶號碼

(Funderstone Securities Limited, Funderstone Futures Limited and Funderstone Asset Management (HK) Limited are collectively referred to as "**Funderstone Group**".)  
(Funderstone Securities Limited、Funderstone Futures Limited 及 Funderstone Asset Management (HK) Limited 統稱為「**Funderstone 集團**」。)

Funderstone Securities Limited (CE No. AAK018) is currently licensed to engage in the following regulated activities: Type 1 (dealing in securities), Type 4 (advising on securities), Type 6 (advising on corporate finance) and Type 9 (asset management) under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) ("**SFO**").

Funderstone Securities Limited (中央編號: AAK018) 現時獲許可從事《證券及期貨條例》(香港法例第 571 章) (「**證券及期貨條例**」) 項下的以下受規管活動: 第 1 類 (證券交易)、第 4 類 (就證券提供意見)、第 6 類 (就機構融資提供意見) 及第 9 類 (提供資產管理)。

Funderstone Futures Limited (CE No. AAD847) is currently licensed to engage in the following regulated activities: Type 2 (dealing in future contracts), Type 5 (advising on futures contracts) and Type 9 (asset management) under the SFO.

Funderstone Futures Limited (中央編號: AAD847) 現時獲許可從事《證券及期貨條例》項下的以下受規管活動: 第 2 類 (期貨合約交易)、第 5 類 (就期貨合約提供意見) 及第 9 類 (提供資產管理)。

Funderstone Asset Management (HK) Limited (CE No. ACD757) is currently licensed to engage in Type 9 regulated activity (asset management) under the SFO.

Funderstone Asset Management (HK) Limited (中央編號: ACD757) 現時獲許可從事《證券及期貨條例》項下的第 9 類受規管活動 (提供資產管理)。

**B. CRITERIA FOR QUALIFYING AS A CORPORATE PROFESSIONAL INVESTOR - PORTFOLIO ADEQUACY TEST**  
**合資格成為法團專業投資者的準則 - 資產充足度測試**

(For definition of Professional Investor, please refer to the definition of Professional Investor stated in paragraphs (a), (c) and (d) under section 3 of the Securities and Futures (Professional Investor) Rules (Cap. 571D of the Laws of Hong Kong) ("PI Rules"). The definition of Professional Investor is provided in **Annexure 1** of this Declaration for reference only.)

(有關專業投資者的定義，請參考《證券及期貨（專業投資者）規則》（香港法例第571D章）（《專業投資者規則》）第3條（a）、（c）及（d）段。申報表**附件1**之專業投資者定義只供參考。)

(Please provide certified copies of the relevant supporting documents (as certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary).) (請提交經由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證核證的相關證明文件。)

(Please tick the box(es) as appropriate) (請在適當方格內劃上「✓」號)

<b>Legal Form of Investor</b> <b>投資者的組成方式</b>	<b>Criteria</b> <b>準則</b> <i>(A reference to an amount expressed in HKD below includes its equivalent in any foreign currency.)</i> <i>(以下凡提述以港元表示的款額，包括其等值的任何外幣。)</i>	<b>Supporting Document(s)</b> <b>證明文件</b>
<input type="checkbox"/> <b>Corporation (other than a Trust Corporation)</b> <b>法團（信託法團除外）</b>	<input type="checkbox"/> <b>Category A Corporation</b> <b>A組別法團</b> <input type="checkbox"/> Has a Portfolio of not less than HKD8 million 擁有的投資組合不少於港幣800萬元 <input type="checkbox"/> Has total assets of not less than HKD40 million 擁有的總資產不少於港幣4,000萬元  <input type="checkbox"/> <b>Category B Corporation</b> <b>B組別法團</b> <input type="checkbox"/> a corporation which has as its principal business the holding of investments and is wholly owned by any one or more of the following persons— 主要業務是持有投資項目並在有關日期由以下任何一名或多於一名人士全資擁有的法團— <input type="checkbox"/> (i) a Trust Corporation having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million; 擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產不少於港幣4,000萬元的信託法團； <input type="checkbox"/> (ii) an Individual Professional Investor; 個人專業投資者； <input type="checkbox"/> (iii) any Category A Corporation; 任何A組別法團； <input type="checkbox"/> (iv) a partnership having a Portfolio of not less than HKD8 million or total assets of not less than HKD40 million; 擁有的投資組合不少於港幣800萬元或擁有的總資產不少於港幣4,000萬元的合夥； <input type="checkbox"/> (v) a professional investor within the meaning of paragraph (a), (d), (e), (f), (g) or (h) of the definition of professional investor in section 1 of Part 1 of Schedule 1 to the SFO (Detail is listed in <b>Annexure 1</b> )	<b>Documents ascertaining total assets or portfolio (applicable to Categories A, B and C Corporation)</b> <b>確定總資產或投資組合的文件（適用於A、B及C組別法團）</b> <input type="checkbox"/> most recent audited financial statements prepared in respect of the corporation within 16 months 在16個月內就該法團擬備的最近期的經審計的財務報表 <input type="checkbox"/> a statement of account or a certificate issued by a Custodian within 12 months 由保管人在12個月內發出的賬戶結單或證明書 <input type="checkbox"/> a certificate issued by an auditor or a certified public accountant within 12 months 由核數師或會計師在12個月內發出的證明書 <input type="checkbox"/> a Public Filing submitted by or on behalf of the corporation within 12 months 由或代表該法團在12個月內呈交的公開檔案 <input type="checkbox"/> others (please specify): 其他（請註明）： _____  <b>Documents ascertaining principal business of the corporation as the holding of investments (applicable to Category B Corporation)</b> <b>確定法團主要業務為持有投資項目的文件（適用於B組別法團）</b> <input type="checkbox"/> business registration certificate of the corporation 該法團的商業登記證 <input type="checkbox"/> others (please specify): 其他（請註明）： _____  <b>Documents ascertaining ownership of the corporation (applicable to Categories B and C Corporation)</b> <b>確定法團擁有人身份的文件（適用於B及C組別法團）</b> <input type="checkbox"/> register of members of the relevant Category A Corporation 相關的A組別法團的成員登記冊 <input type="checkbox"/> others (please specify): 其他（請註明）： _____

	<p>(“Specified Professional Investor”); or                  屬《證券及期貨條例》附表1第1部第1條專業投資者的定義的(a)、(d)、(e)、(f)、(g)或(h)段所指的專業投資者（請參考附件1）（「特定專業投資者」）；或</p> <p><input type="checkbox"/> (vi) any Category B Corporation                  任何B組別法團</p> <p><b>Category C Corporation</b>  <b>C組別法團</b></p> <p><input type="checkbox"/> wholly owns a Category A Corporation                  全資擁有一間A組別法團</p>	<p><b>Documents ascertaining relevant information of the relevant individual(s) or corporation(s) (applicable to Categories B and C Corporation)</b>  <b>確定法團相關人士或法團資料的文件（適用於B及C組別法團）</b></p> <p><input type="checkbox"/> document(s) showing that a relevant Trust Corporation having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million                  證明相關擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產不少於港幣4,000萬元的信託法團的文件</p> <p><input type="checkbox"/> document(s) showing that a relevant individual is an Individual Professional Investor                  證明相關人士為個人專業投資者的文件</p> <p><input type="checkbox"/> document(s) showing that a relevant corporation is a Category A Corporation                  證明相關法團為一間A組別法團的文件</p> <p><input type="checkbox"/> document(s) showing that a relevant partnership having a Portfolio of not less than HKD8 million or total assets of not less than HKD40 million                  證明相關合夥擁有的投資組合不少於港幣800萬元或擁有的總資產不少於港幣4,000萬元的文件</p> <p><input type="checkbox"/> documents showing that a relevant corporation is a Specified Professional Investor                  證明相關法團為特定專業投資者的文件</p> <p><input type="checkbox"/> others (please specify):                  其他（請註明）：                  _____</p>
<p><input type="checkbox"/> <b>Partnership</b>  <b>合夥</b></p>	<p><input type="checkbox"/> Has a Portfolio of not less than HKD8 million                  擁有的投資組合不少於港幣800萬元</p> <p><input type="checkbox"/> Has total assets of not less than HKD40 million                  擁有的總資產不少於港幣4,000萬元</p>	<p><input type="checkbox"/> most recent audited financial statements prepared in respect of the partnership within 16 months                  在16個月內就該合夥擬備的最近期的經審計的財務報表</p> <p><input type="checkbox"/> a statement of account or a certificate issued by a Custodian within 12 months                  由保管人在12個月內發出的賬戶結單或證明書</p> <p><input type="checkbox"/> a certificate issued by an auditor or a certified public accountant within 12 months                  由核數師或會計師在12個月內發出的證明書</p> <p><input type="checkbox"/> a Public Filing submitted by or on behalf of the partnership within 12 months                  由或代表該合夥在12個月內提交的公開檔案</p> <p><input type="checkbox"/> others (please specify):                  其他（請註明）：                  _____</p>
<p><input type="checkbox"/> <b>Trust Corporation</b>  <b>信託法團</b></p> <p><input type="checkbox"/> any trust company registered under Part 8 of the Trustee Ordinance (Cap. 29 of the Laws of Hong Kong) (“HK Trust Company”)                  根據《受託人條例》（香港法例第29章）第8部註冊的任何信託公司（「香港信託公司」）</p> <p><input type="checkbox"/> any other corporation which—                  符合以下說明的其他法團 —                  (i) carries on a business which is of a nature similar to that of HK Trust</p>	<p><input type="checkbox"/> Has been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million                  擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產不少於港幣四千萬元</p>	<p><input type="checkbox"/> most recent audited financial statements prepared in respect of the trust corporation (or a trust of which it acts as a trustee within 16 months                  在16個月內就該信託法團(或其擔任信託人的任何信託)擬備的最近期的經審計的財務報表</p> <p><input type="checkbox"/> a statement of account or a certificate issued by a Custodian within 12 months                  由保管人在12個月內發出的賬戶結單或證明書</p> <p><input type="checkbox"/> a certificate issued by an auditor or a certified public accountant within 12 months                  由核數師或會計師在12個月內發出的證明書</p> <p><input type="checkbox"/> a Public Filing submitted by or on behalf of the trust corporation (whether on its own behalf or in respect of a trust of which it acts as a trustee) within 12</p>

<p>Company; and 所經營的業務的性質與香港信託公司所經營的業務的性質相似; 並</p> <p>(ii) is regulated under the law of any place outside Hong Kong. 根據香港以外地方的法律受規管。</p>		<p>months 由或代表該信託法團(不論是代表其本身或就其擔任信託人的任何信託)在12個月內呈交的公開檔案</p> <p>others (please specify): 其他(請註明):</p> <p>_____</p> <p>_____</p>
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**Capitalized terms in the above table shall have the following meanings:**  
 上表中採用的大寫詞彙具有以下涵義:

**Portfolio** means a portfolio comprising any of the following:  
**投資組合** 指由任何以下項目所組成的投資組合:

- (a) securities; 證券;
- (b) a certificate of deposit (e.g. bank monthly statement) issued by (i) an authorised financial institution; or (ii) a bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong; or 由(i)認可財務機構發出的存款憑證(例如: 銀行月結單); 或(ii)並非認可財務機構但根據香港以外地方的法律受規管的銀行發行的存款憑證; 或
- (c) in relation to an individual, corporation or partnership, money held by a custodian for the individual, corporation or partnership. 就任何個人、法團或合夥而言, 由保管人替該個人、法團或合夥持有的款項。

**Custodian** means:

**保管人**指

- (a) a corporation the principal business of which is to act as a custodian of securities or other property for another person, whether on trust or by contract; or 主要業務是作為另一人的證券或其他財產的保管人(不論是以信託或合約形式保管)的法團; 或
- (b) any of the following persons whose business includes acting as a custodian of securities or other property for another person, whether on trust or by contract— 業務包括作為另一人的證券或其他財產的保管人(不論是以信託或合約形式保管)的下列人士—
  - (i) an authorized financial institution; 認可財務機構;
  - (ii) a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; 並非認可財務機構但根據香港以外地方的法律受規管的銀行;
  - (iii) a corporation licensed by Securities and Futures Commission of Hong Kong (“SFC”) under the SFO; or 獲香港證券及期貨事務監察委員會(「證監會」)按照《證券及期貨條例》批給牌照的法團; 或
  - (iv) a person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong. 經營提供投資服務的業務並根據香港以外地方的法律受規管的人。

**Public Filing** means a document that, pursuant to the legal or regulatory requirements in Hong Kong or in a place outside Hong Kong, has been submitted to a person or body that is under a duty to publish the document to, or otherwise make the document available for inspection by, members of the public in Hong Kong or in a place outside Hong Kong, by or on behalf of (a) a trust corporation (whether on its own behalf or in respect of a trust of which it acts as a trustee), (b) an individual, (c) a corporation (other than a Trust Corporation) or (d) a partnership.

**公開檔案**指由或代表(a)信託法團(不論是代表其本身或就其擔任信託人的任何信託)、(b)個人、(c)法團(信託法團除外)、或(d)合夥依據香港或香港以外地方的法律規定或規管性規定而呈交給某人士或團體的文件, 而該人士或團體有責任向香港或香港以外地方的公眾發表該文件, 或以其他方式提供該文件予有關的公眾查閱。

## C. CORPORATE PROFESSIONAL INVESTOR ASSESSMENT (“CPI ASSESSMENT”) 法團專業投資者評估

(Please provide certified copies of the relevant supporting documents (as certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary).) (請提交經由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證核證的相關證明文件。)

(Please tick the box(es) as appropriate) (請在適當方格內劃上「✓」號)

Assessment Criteria 評估準則	Supporting Document(s) 證明文件
<input type="checkbox"/> the Client has the <u>appropriate corporate structure and investment process and controls</u> (i.e. how investment decisions are made, including whether the Client has a specialised treasury or other function responsible for making investment decisions); and 客戶擁有合適的企業架構和投資程序及監控措施(即投資決定是如何作出的, 包括客戶是否設有專門的庫務或負責作出投資決定的其他職能); 及	<input type="checkbox"/> Please complete <u>Part D</u> below 請完成下面的D部分 <input type="checkbox"/> Any supporting documents showing the <u>corporate structure</u> (e.g. financial group or listed company) 證明企業架構的任何證明文件(例如金融集團或上市公司)
<input type="checkbox"/> the person(s) responsible for making investment decisions on behalf of the Client has/have <u>sufficient investment background</u> (including the investment experience of such person(s)); and 負責代表客戶作出投資決定的人士具備充分的投資背景(包括該人士的投資經驗); 及	<input type="checkbox"/> Please complete <u>Part E</u> and submit all relevant supporting documents 請完成下面的第E部分並提交相關證明文件
<input type="checkbox"/> the Client is <u>aware of the risks involved</u> which is	<input type="checkbox"/> Please complete <u>Part E</u> and submit all supporting documents showing

considered in terms of the person(s) responsible for making investment decisions.  
 客戶對所涉及的風險有所認知 (以負責作出投資決定的人士對相關風險的認知為準)。

the awareness of terms and risks (e.g. a signed Risk Disclosure Statement, Prospectus, or Offering Document)  
 請完成下面的第E部分並提交證明條款與風險認知的任何證明文件 (例如經簽名的風險披露聲明、招股說明書或發售文件)

## D. CPI ASSESSMENT - CORPORATE STRUCTURE AND INVESTMENT PROCESS AND CONTROL

### 法團專業投資者評估 - 企業架構和投資程序及監控措施

Objectives: To prove that the Client has the appropriate corporate structure and investment process and controls.

目的: 證明客戶擁有合適的企業架構和投資程序及監控措施。

(Please tick the box(es) as appropriate) (請在適當方格內劃上「✓」號)

**Please indicate if your corporation has the following corporate structure and investment process and controls:**  
**請指出貴法團是否具備下述的企業架構和投資程序及監控措施:**

- has an in-house treasury, investment or similar function comprising of competent and suitably qualified professionals responsible for the investment strategies and investment process;  
 內部設有由具備勝任能力及適當資格之專業人士組成的庫務、投資或類似職能，負責其投資策略及投資程序;
- has a designated investment committee comprising of competent and suitably qualified professionals responsible for the investment strategies and investment process; and (i) such a committee makes investment decisions on behalf of Client or (ii) Client makes informed investment decisions taking into account the advice or recommendation of such committee;  
 內部設有由具備勝任能力及適當資格之專業人士組成的專責投資委員會，負責其投資策略及程序；及(i)該委員會代表客戶作出投資決定或(ii)客戶在作出有根據的投資決定時會考慮該委員會的意見或建議;
- engages an external investment advisory team comprising of competent and suitably qualified professionals responsible for the investment strategies and investment process; and (i) such a team makes investment decisions on behalf of Client or (ii) Client makes informed investment decisions taking into account the advice or recommendation of such team, in each case this external team is:  
 委聘由具備勝任能力及適當資格之專業人士組成的外部投資顧問團隊，負責其投資策略及投資程序；及(i)該團隊代表客戶作出投資決定或(ii)客戶在作出有根據的投資決定時會考慮該團隊的意見或建議，而在每個情況下，該外部團隊乃：
- (i) independent of the intermediary that is conducting the CPI Assessment;  
 獨立於進行法團專業投資者評估的中介人；
- (ii) subject to regulatory oversight (where required); and  
 受制於規管監察(如有此規定)；及
- (iii) in an investment advisory capacity in advising Client on investment strategies, advice and recommendations; and/or  
 以投資顧問身分就投資策略、意見及建議向客戶提供意見；及/或
- relies on and follow the investment strategies, advice and recommendations of its related corporation provided that the related corporation:  
 依據及遵循其有連繫法團的投資策略、意見及建議，前提是該有連繫法團：
- (i) has an in-house treasury, investment or similar function;  
 設有內部庫務、投資或類似職能；
- (ii) has a designated investment committee; or  
 設有專責投資委員會；或
- (iii) engages an external investment advisory team that meets the following conditions:  
 委聘符合下列條件的外部投資顧問團隊：
- (a) independent of the intermediary that is conducting the CPI Assessment;  
 獨立於進行法團專業投資者評估的中介人；
- (b) subject to regulatory oversight (where required); and  
 受制於規管監察(如有此規定)；及
- (c) in an investment advisory capacity in advising Client on investment strategies, advice and recommendations.  
 以投資顧問身分就投資策略、意見及建議向客戶提供意見。
- that comprises of competent and suitably qualified professionals responsible for Client's investment strategies and investment process.  
 並由具備勝任能力及適當資格之專業人士組成，負責客戶的投資策略及投資程序。

Others (please specify) 其他 (請註明) : \_\_\_\_\_

Supporting Information (Please list out, and use separate sheets if required):

補充資料 (請列出，如有需要，請使用額外紙張填寫):

**E. CPI ASSESSMENT — SUFFICIENT INVESTMENT BACKGROUND CONFIRMATIONS**  
**法團專業投資者評估 — 充分投資資歷確認**

**Objectives:** To prove that the person(s) responsible for making investment decisions on behalf of the Client (“Designated Investment Decision Maker(s)”) has sufficient investment background in the relevant product(s) and market(s).

**目的:** 證明負責代表客戶作出投資決定的人士 (「指定投資決策者」) 具備充分的相關產品和市場投資背景。

**For each of the product(s) and market(s),** please answer ALL of the following questions and provide supporting account statement(s), trade Confirmation(s), declaration(s) of academic background, professional qualification, proof of Professional Investor status and/or other proof(s) to substantiate answers below.

**就每個產品和市場,** 請分別回答以下所有問題, 並提供相關賬戶結單、交易確認書、學術背景、專業資格的聲明、專業投資者的身份證明及 / 或其他證明文件以證實下列的答案。

If there are more than one Designated Investment Decision Makers for a product and/or market indicated below, please fill in the questionnaire below in the Continuation Sheet A.

如就各別產品及/或市場多於一位指定投資決策者, 請個別指定投資決策者在繼頁A上填寫以下問卷。

Name of the relevant Designated Investment Decision Maker 相關指定投資決策者的名稱:

Chinese 中文: \_\_\_\_\_

English 英文: \_\_\_\_\_

**1. Relevant Products, Markets, Investment Experience and History 相關產品、市場、投資經驗及歷史**

(The product(s) and market(s) indicated in the table below are referred to in this Part E as the “Relevant Products and Markets”.)  
 (下表中已選的產品及市場於此E部分中稱為「相關產品及市場」。)

Do you have relevant investment experience in the Relevant Products and Markets?

閣下是否擁有相關產品及市場的相關投資經驗?

No 否

Yes, details are as follows (please **tick the box(es)** where applicable and fill in the blanks accordingly)

是, 詳情如下 (請在下列適當方格內劃上「✓」號及填寫空格)

		Investment Experience 投資經驗					
Investment Products 投資產品	Relevant Market 相關市場	Rating of your investment knowledge and experience and risks involved in the Relevant Products and Markets* 閣下評估自己的投資知識及經驗以及相關產品及市場的投資風險* <small>*Please use the scale provided below to indicate your answers. *請以表格下面的程度標示答案。</small>	Personal Investments or Investments for Others 個人投資或為他人而投資	Trading Volume in the last 12 months (HKD) 過去 12 個月內的交易金額 (港幣)	No. of Transaction(s) in the last 12 months 過去 12 個月內的交易次數 <small>*A sale and purchase of the same product shall be counted as one transaction. *一買一賣計算為一次交易。</small>	Years of Experience 投資年期	
<input type="checkbox"/> (a) Stocks 股票	<input type="checkbox"/> Hong Kong 香港	Level of investment knowledge and experience: 投資知識及經驗程度: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3  Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: <input type="checkbox"/> Very high 非常高 <input type="checkbox"/> High 高 <input type="checkbox"/> Moderate 中等 <input type="checkbox"/> Low 低	<input type="checkbox"/> Personal Investments 個人投資		<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____	
	<input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞		<input type="checkbox"/> Investments for Others 為他人而投資		<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____	

		<input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____	<input type="checkbox"/> Very low 非常低				
<input type="checkbox"/> (b) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品 (例如債券、可換股債券等) / 外幣存款	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____	Level of investment knowledge and experience: 投資知識及經驗程度: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3  Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: <input type="checkbox"/> Very high 非常高 <input type="checkbox"/> High 高 <input type="checkbox"/> Moderate 中等 <input type="checkbox"/> Low 低 <input type="checkbox"/> Very low 非常低	<input type="checkbox"/> Personal Investments 個人投資  <input type="checkbox"/> Investments for Others 為他人而投資			<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗  <input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____  <input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____
<input type="checkbox"/> (c) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____	Level of investment knowledge and experience: 投資知識及經驗程度: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3  Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: <input type="checkbox"/> Very high 非常高 <input type="checkbox"/> High 高 <input type="checkbox"/> Moderate 中等 <input type="checkbox"/> Low 低 <input type="checkbox"/> Very low 非常低	<input type="checkbox"/> Personal Investments 個人投資  <input type="checkbox"/> Investments for Others 為他人而投資			<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗  <input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____  <input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____

<input type="checkbox"/>	<p>(d) Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulat or, Margin Trading, etc) 衍生工具/槓桿產品 (例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等)</p>	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____	<p>Level of investment knowledge and experience: 投資知識及經驗程度:  <input type="checkbox"/> 1  <input type="checkbox"/> 2  <input type="checkbox"/> 3</p> <p>Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:  <input type="checkbox"/> Very high 非常高  <input type="checkbox"/> High 高  <input type="checkbox"/> Moderate 中等  <input type="checkbox"/> Low 低  <input type="checkbox"/> Very low 非常低</p>	<input type="checkbox"/> Personal Investments 個人投資  <input type="checkbox"/> Investments for Others 為他人而投資		<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____  <input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____
<input type="checkbox"/>	<p>(e) Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鈎存款/票據、貨幣掛鈎存款等)</p>	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____	<p>Level of investment knowledge and experience: 投資知識及經驗程度:  <input type="checkbox"/> 1  <input type="checkbox"/> 2  <input type="checkbox"/> 3</p> <p>Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:  <input type="checkbox"/> Very high 非常高  <input type="checkbox"/> High 高  <input type="checkbox"/> Moderate 中等  <input type="checkbox"/> Low 低  <input type="checkbox"/> Very low 非常低</p>	<input type="checkbox"/> Personal Investments 個人投資  <input type="checkbox"/> Investments for Others 為他人而投資		<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗  <input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____  <input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____
<input type="checkbox"/>	<p>(f) Others (please specify) 其他 (請註明):                  _____                  _____                  _____</p>	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲	<p>Level of investment knowledge and experience: 投資知識及經驗程度:  <input type="checkbox"/> 1  <input type="checkbox"/> 2  <input type="checkbox"/> 3</p> <p>Level of risk involved in the Relevant Products and Markets 相關產品及</p>	<input type="checkbox"/> Personal Investments 個人投資  <input type="checkbox"/> Investments for Others 為他人而投		<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗  <input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____  <input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____



		<input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____	市場的投資風險程度: <input type="checkbox"/> Very high 非常高 <input type="checkbox"/> High 高 <input type="checkbox"/> Moderate 中等 <input type="checkbox"/> Low 低 <input type="checkbox"/> Very low 非常低			years is: 多於 2 年, 年期 為: _____
--	--	--	--	--	--	-------------------------------------

**\*Please indicate the rating of your investment knowledge and experience according to the following scale:**

**請以下數字範圍標示閣下評估自己的投資知識及經驗的程度**

**1 – I have limited or no knowledge and experience about the Relevant Products and Markets, and I have limited understanding about the risks involved in the Relevant Products and Markets.**

本人就相關產品及市場有限的或沒有知識及經驗, 本人對相關產品及市場涉及的風險有限的理解。

**2 – I have average knowledge or experience about the Relevant Products and Markets, and I have average understanding about the risks involved in the Relevant Products and Markets.**

本人就相關產品及市場具有普通的知識或經驗, 本人對相關產品及市場涉及的風險具普通的理解。

**3 – I have advanced and sufficient knowledge or experience about the Relevant Products and Markets, and I have advanced and sufficient understanding about the risks involved in the Relevant Products and Markets.**

本人就相關產品及市場具有深度且充分知識或經驗, 本人對相關產品及市場涉及的風險具深度且充分的理解。

## 2. Relevant academic or professional qualifications 相關學歷或專業資格

Do you have academic qualification(s) or training(s) in the Relevant Products and Markets?

閣下是否擁有相關產品及市場的學歷或培訓經驗?

**\*Please provide certified copies of relevant certificates or supporting documents**

**請提供相關證書或證明文件的核證本**

No 否

Yes, details are as follows 是, 詳情如下

Degree in accounting, business administration, economics, finance, law or other degree or above  
會計、工商管理、經濟、財務、法律學位或其他學位或以上

Chartered Financial Analyst (CFA) 特許金融分析師

Certified International Investment Analyst (CIIA) 註冊國際投資分析師

Certified Financial Planner (CFP) 認可財務策劃師

Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會計或財務專業資格 (請註明): \_\_\_\_\_

Passes in English or Chinese, and Mathematics in HKCEE or equivalent

香港中學會考證書英文或中文, 及數學合格或同等學歷

Passes in Hong Kong Securities and Investment Institute Diploma Programme Examination (DPE)

香港證券及投資學會文憑課程考試合格

Paper 試卷: 123

Hong Kong Securities and Investment Institute Professional Diploma in Financial Markets (PDFM)

香港證券及投資學會金融市場專業文憑

Module 單元: 1234567

Passes in Hong Kong Securities and Investment Institute Licensing Examination (LE) for Securities and Futures Intermediaries

香港證券及投資學會證券及期貨從業員資格考試合格

Paper 試卷: 1789101112

Others (please specify) 其他 (請註明): \_\_\_\_\_

## 3. Do you possess any relevant license or professional qualification? (e.g. SFC license, HKMA registration, CFP, CFA, CPA, etc.)

閣下是否持有相關的牌照或專業資格? (例如證監會牌照、金管局註冊、特許財務策劃師、特許金融分析師、註冊會計師等資格)

**\*Please provide certified copies of relevant certificates or supporting documents**

**請提供相關證書或證明文件的核證本**

No 否

Yes, details are as follows 是, 詳情如下

Chartered Financial Analyst (CFA) 特許金融分析師

Certified International Investment Analyst (CIIA) 註冊國際投資分析師

Certified Financial Planner (CFP) 認可財務策劃師

Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會

計或財務專業資格 (請註明): \_\_\_\_\_

Others (please specify) 其他 (請註明): \_\_\_\_\_

#### 4. Relevant Work Experience 相關工作經驗

Do you have any relevant working experience about the Relevant Products and Markets?

閣下是否擁有相關產品及市場的相關工作經驗?

No 否

Yes, details are as follows (please **tick the box(es) where applicable** and fill in the blanks accordingly)

是, 詳情如下 (請在下列適當方格內劃上「✓」號及填寫空格)

	Investment Products 投資產品	Work Experience 工作經驗				Are you working/Have you worked as a Designated Investment Decision Maker for such employer? 閣下是否正為 / 或曾為該僱主擔任指定投資決策者?
		Relevant Market 相關市場	Name of employer 僱主名稱	Job Title 職銜	Years of Service 服務年期	
<input type="checkbox"/>	(a) Stocks 股票	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			Senior management role(s) 資深管理職位: _____ years 年 Junior role(s) 初級職位: _____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/>	(b) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品 (例如債券、可換股債券等) / 外幣存款	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			Senior management role(s) 資深管理職位: _____ years 年 Junior role(s) 初級職位: _____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

<input type="checkbox"/>	<p>(c) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金</p>	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			<p>Senior management role(s) 資深管理職位: _____ years 年            Junior role(s) 初級職位: _____ years 年</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/>	<p>(d) Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品 (例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等)</p>	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			<p>Senior management role(s) 資深管理職位: _____ years 年            Junior role(s) 初級職位: _____ years 年</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/>	<p>(e) Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鉤存款等)</p>	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore			<p>Senior management role(s) 資深管理職位: _____ years 年            Junior role(s) 初級職位: _____ years 年</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

		新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____				
<input type="checkbox"/>	(f) Others (please specify) 其他 (請註明): _____ _____ _____ _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			Senior management role(s) 資深管理職位: ____ years 年 Junior role(s) 初級職位: ____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

5. Additional notes on other investment background about the Relevant Products and Markets (where applicable)  
 閣下就相關產品及市場的其他投資資歷的附加註釋 (如適用)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(Note: Please use additional sheets and indicate the page number where necessary)  
 (註: 如有需要, 請使用額外紙張填寫 (並標註頁碼))

**IMPORTANT NOTES:**

**重要提示:**

If Funderstone Group is not reasonably satisfied that the Client has met all requirements under paragraph 15.3A of the Code of Conduct for Persons Licensed by or Registered with the SFC based on the information provided by the Client in Parts C to E above, the Client may be required to complete a separate Client Risk Profiling Questionnaire.

如 Funderstone 集團根據客戶於上述第 C 至 E 部分提供之資料, 未能合理地信納客戶符合《證券及期貨事務監察委員會持牌人或註冊人操守準則》15.3A 段內所有條件, Funderstone 集團可能要求客戶填寫另外之客戶風險評估問卷。

## Notice of Treatment as a Professional Investor (“this Notice”) 關於被視為專業投資者的通知 (「本通知」)

Under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (as amended from time to time) (the “Code of Conduct”) issued by the Securities and Futures Commission of Hong Kong, Funderstone Group may, in dealing with a client, classify such client as a “Professional Investor” where Funderstone Group believes such client falls within the definition of “Professional Investor” under the Securities and Futures Ordinance (the “SFO”).

根據香港證券及期貨事務監察委員會發出(經不時修訂)的《證券及期貨事務監察委員會持牌人或註冊人操守準則》(「**操守準則**」), 在與客戶交易的過程中, 若 Funderstone 集團相信該客戶符合《證券及期貨條例》對「專業投資者」的定義, Funderstone 集團可將該客戶歸類為「專業投資者」。

In light of your knowledge, expertise, experience, resources and/or your regulatory registration status in the Hong Kong Special Administrative Region of the People’s Republic of China (“Hong Kong”) and/or your home jurisdiction, Funderstone Group has classified you as a Professional Investor of the following product(s) and market(s):

鑒於貴法團的知識、專業知識、經驗、資源及/或閣下在中華人民共和國香港特別行政區(「香港」)及/或貴法團本籍司法管轄區的監管註冊狀況, Funderstone 集團已將貴法團歸類為以下產品及市場的專業投資者:

*\*Please delete as appropriate 請刪去不適用者*

Relevant Products 相關產品	Relevant Markets 相關市場
(a) *Stocks 股票	(i). *Hong Kong 香港
(b) *Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品(例如債券、可換股債券等) / 外幣存款	(ii). *Mainland China 中國內地
(c) *Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	(iii). *United States 美國
(d) *Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品(例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等)	(iv). *Japan 日本
(e) *Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品(例如股票掛鉤存款/票據、貨幣掛鉤存款等)	(v). *United Kingdom 英國
(f) *Others (please specify) 其他(請註明): _____	(vi). *Europe 歐洲
	(vii). *Australia 澳洲
	(viii). *Singapore 新加坡
	(ix). *Malaysia 馬來西亞
	(x). *Others (please specify) 其他(請註明): _____ _____

Below are the details of the risks and consequences of being treated as a Professional Investor and the right to withdraw from being treated as Professional Investor at any time.

以下為當客戶被視為專業投資者的風險及後果, 以及客戶可隨時撤回被視為專業投資者的權利。

### 1. Risks and Consequences of being treated as a Corporate Professional Investor

#### 被視為法團專業投資者的風險及後果

As you are treated as Professional Investor described in the SFO and the PI Rules, please be reminded to take note of the details under paragraphs 15.4 and 15.5 of the Code of Conduct and ensure that you understand the risks and consequences of being treated as a Corporate Professional Investor. **Annexure 2** provides provisions that may be waived for Professional Investors, which is a brief summary of paragraphs 15.4 and 15.5 of the Code of Conduct for reference only.

由於貴法團被視為《證券及期貨條例》及《專業投資者規則》定義的專業投資者, 貴法團務須閱讀《操守準則》第 15.4 及 15.5 段的詳細內容, 並確保貴法團明白被視為法團專業投資者的風險及後果。附件 2 載列之專業投資者可豁免的規定為《操守準則》第 15.4 及 15.5 段的摘要, 只用作參考之用。

Where you act as an intermediary to effect transactions, upon request from Funderstone Group and/or the regulatory body(ies) and within the applicable time frame, you shall provide the required information about the ultimate client and person giving order to the regulatory body(ies) even the request is made after termination of your account(s) with Funderstone Group.

如貴法團以中介人身分執行交易, 貴法團需應 Funderstone 集團及/或監管部門的要求, 在適用的時限內向監管部門提供最終客戶及發出指示人士的資料。即使是貴法團在 Funderstone 集團的戶口結束後才提出的要求, 此規定亦適用。

Notwithstanding your Professional Investor status with Funderstone Group, Funderstone Group would remind you that you are obliged to observe all rules, regulations and laws of Hong Kong or any of its regulatory authority which apply to you. Accordingly, Funderstone Group would advise that you consult your own legal advisers.

儘管貴法團在 Funderstone 集團具有專業投資者的資格，但 Funderstone 集團謹提醒貴法團，貴法團必須遵守香港或適用於貴法團的任何香港監管部門的所有規則、規例及法例。因此，Funderstone 集團建議貴法團自行徵詢法律顧問的意見。

If you agree to be treated as a Professional Investor, please sign and return to Funderstone Group the Declaration of Consenting to Being Treated as a Professional Investor (the “**Declaration**”) as attached herewith.

假如貴法團同意被視為專業投資者，請簽署隨函夾附的「同意被視為專業投資者之申報表」（「**申報表**」）並交給 Funderstone 集團。

If you find yourself no longer fall within the definition of Professional Investor as defined in the SFO and the PI Rules, please notify Funderstone Group in writing immediately.

假若貴法團發現其不再符合《證券及期貨條例》及《專業投資者規則》對專業投資者的定義，請立即以書面方式通知 Funderstone 集團。

If you agree to be treated as a Professional Investor, Funderstone Group is required to carry out a confirmation exercise annually to enable Funderstone Group to ensure that you continue to fulfil the requisite requirements under the PI Rules.

假如貴法團同意被視為專業投資者，Funderstone 集團需要每年向貴法團進行一次確認，從而確保貴法團繼續符合《專業投資者規則》所界定的有關規定。

Should you have any questions regarding this Notice or require further clarification or information, please feel free to contact Funderstone Group or seek professional advice.

如若貴法團對本通知有任何疑問，或需要進一步的說明或資料，請與 Funderstone 集團聯絡或徵詢專業意見。

## **2. Right to withdraw from being treated as a Professional Investor 撤回被視為專業投資者的權利**

If you become a Professional Investor, you have the right to withdraw from being treated as a Professional Investor for all products or markets or any part thereof for the purpose of the Code of Conduct at any time by **giving written notice** to Funderstone Group. After receiving such written notice, Funderstone Group will **process your request within 14 business days** and inform you about the effective date of such withdrawal. Any request of withdrawal given by you shall be without prejudice to and shall not affect the provision of any services rendered and/or products offered to you on the basis that you are a Professional Investor prior to such withdrawal taking effect.

貴法團若成為專業投資者，貴法團有權利隨時向 Funderstone 集團**提交已簽署的書面通知**，要求撤回對於所有或任何一項產品類別及/或相關市場被視為《操守準則》所指的專業投資者身份。當收到貴法團的書面通知，Funderstone 集團會在**14 個工作天之內處理**貴法團的要求，並會通知貴法團該撤回的生效日期。在該撤回還未生效之前，Funderstone 集團仍會視貴法團為專業投資者，並在此條件下向貴法團提供任何相關服務及/或產品並無任何影響，且無損各方權利。

Funderstone Group also has the right, at any time, to stop treating you as a Professional Investor by giving not less than 14 days written notice to you. Such will be effective upon the expiry of such notice period, unless you follow the procedures to apply as a Professional Investor as Funderstone Group requires from time to time.

Funderstone 集團也有權利隨時向貴法團發出通知期不少於14天的書面通知停止貴法團被視為一名專業投資者，在通知期屆滿後生效。除非貴法團按 Funderstone 集團不時要求的手續重新辦理申請成為專業投資者。

## **3. Accurate information 準確資料**

You confirm that the information and supporting document(s) provided in this Declaration is valid, complete and accurate. If there is any change to the information and relevant supporting document(s) provided and such change will have impact on your continuity of Professional Investor status, you are obligated to immediately notify Funderstone Group of any changes to that information, provide relevant supporting document(s) and/or re-perform the assessment.

貴法團須確認在本申報表中所提供的資料及相關證明文件均屬有效、真實並正確無誤。如貴法團所提供的資料及相關證明文件在之後有任何改變，而其改變足以影響貴法團繼續成為專業投資者，貴法團有責任即時通知 Funderstone 集團更新資料、重新提供相關的證明文件及/或重新進行評估。

## Client Declaration

### 客戶聲明

- We hereby confirm that the information provided above is true and complete. We also understand and agree that Funderstone Group may rely on the above information provided to assess whether we have acquired general knowledge of the nature and risks of derivative instruments. Funderstone Group is entitled to rely fully on such information for all purposes, unless they receive notice in writing from us of any change.  
 我們確認上述資料完全真實及完整 並明白及同意 Funderstone 集團可能根據以上提供之資料評估我們是否對衍生工具的性質及風險有一般認識。除非 Funderstone 集團收到我們的任何書面變更通知，否則他們有權完全倚賴該等資料作任何用途。
- We fully understand the above mentioned Notice of Treatment as a Professional Investor fully explained by Licensed Representative, including:  
 我們完全明白由持牌人士解釋的以上的關於被視為專業投資者的通知，包括：
- (a) We fall within the definition of Professional Investor under the SFO and the PI Rules;  
 我們符合《證券及期貨條例》及《專業投資者規則》對「專業投資者」的定義；
- (b) Funderstone Group has explained to us the risks and consequences of being treated as a Professional Investor and the right to withdraw from being treated as such at any time as contained in the Notice provided to us by them;  
 Funderstone 集團已向我們解釋被視為專業投資者的風險及後果，以及隨時撤回被視為專業投資者的權利，如 Funderstone 集團向我們提供的通知中所述；
- (c) We fully understand the provisions in the Notice and we are fully aware of the risks and consequences of being treated as a Professional Investor and our right to withdraw from being treated as such for all products or markets or any part thereof, and agree to be treated as such; and  
 我們完全明白通知中的條文，我們完全知悉被視為專業投資者的風險及後果以及我們撤回被視為所有或任何一項產品類別及/或相關市場的專業投資者的權利，並同意被視為專業投資者；及
- (d) We agree that we shall, immediately upon request by Funderstone Group, inform regulatory body(ies) of the identity, address, occupation, and contact details of the ultimate beneficiary(ies) if we effect a transaction otherwise than for our own benefits.  
 我們同意，若我們並非為我們的利益而執行一項交易，我們須在 Funderstone 集團要求時，立即通知監管機構關於最終受益人的身份、地址、職業及聯絡資料。
- (e) We further agree to provide supporting documents for verification of our status as a Professional Investor upon request.  
 我們進一步同意，為核實我們的專業投資者身份，我們同意按需要提供相關證明文件。
- We hereby give consent to be treated as a Corporate Professional Investor for the relevant product(s) and market(s) indicated below:  
 我們謹此同意成為以下相關產品和市場的法團專業投資者：  
*\*Please delete as appropriate 請刪去不適用者*

Relevant Products 相關產品	Relevant Markets 相關市場
(a) *Stocks 股票	(i). *Hong Kong 香港
(b) *Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品 (例如債券、可換股債券等) / 外幣存款	(ii). *Mainland China 中國內地
(c) *Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	(iii). *United States 美國
(d) *Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品 (例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等)	(iv). *Japan 日本
(e) *Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鉤存款等)	(v). *United Kingdom 英國
(f) *Others (please specify) 其他 (請註明): _____	(vi). *Europe 歐洲
	(vii). *Australia 澳洲
	(viii). *Singapore 新加坡
	(ix). *Malaysia 馬來西亞
	(x). *Others (please specify) *其他 (請註明): _____ _____

**CONFIRMED, AGREED AND SIGNED BY 茲由確認、同意並簽署:**

Client's Company Chop 客戶之公司印章

Name of Client

客戶名稱: \_\_\_\_\_

Date 日期: \_\_\_\_\_

*Note: This Declaration should be signed by the Sole Proprietor if the Client is a sole-proprietorship, all Partners if the Client is a partnership, or the Authorized Person(s) if the Client is a limited company.*

*備註: 如客戶為獨資經營商號, 由東主簽署; 如客戶為合夥組織, 由所有合夥人簽署; 如客戶為有限公司, 由獲授權簽署人士簽署本申報表。*

Client's Signature 客戶簽署

Client's Signature 客戶簽署

Name of Authorized Signatory(ies)

獲授權簽署人姓名:

Title 職銜:

Date 日期:

Name of Authorized Signatory(ies)

獲授權簽署人姓名:

Title 職銜:

Date 日期:

Client's Signature 客戶簽署

Client's Signature 客戶簽署

Name of Authorized Signatory(ies)

獲授權簽署人姓名:

Title 職銜:

Date 日期:

Name of Authorized Signatory(ies)

獲授權簽署人姓名:

Title 職銜:

Date 日期:

**Signature of Witness 見證人簽署**

*(To be certified by a person licensed or registered with the SFC or his affiliate, an affiliate of Funderstone Group, professional person, such as a branch manager of a bank, certified public accountant, lawyer or notary public. 由香港證監會發牌或註冊之人士或其聯繫人士、Funderstone 集團聯繫人士、專業人士 (例如: 銀行分行經理、執業會計師、律師或公證人) 核證。)*

I, named below, hereby certify that I have met and identified each of the person(s) who executed this Declaration before me, and reviewed his/her/their original identification document(s). 本人(姓名見下)核證已經與本申報表簽署人會晤及核對其身份證明文件正本, 而且該等簽署人已在本人面前簽署本申報表。

Name 姓名: \_\_\_\_\_

Qualifications 資格: \_\_\_\_\_

**Signature of Witness**

見證人簽署: \_\_\_\_\_

Date 日期: \_\_\_\_\_



**Declaration from Staff 職員聲明** (to be completed by staff of Funderstone Group 此欄由 Funderstone 集團職員填寫)

I have clearly explained the Notice of Treatment as a Professional Investor, Client Declaration, Definition of Professional Investor (**Annexure 1**) and Provisions that may be waived for Professional Investors (**Annexure 2**) in this Declaration in a language of the Client's choice and have also invited and suggested the Client to ask questions and to seek independent legal advice.

本人已根據客戶所選擇的語言向其提供及解釋本申報表中關於被視為專業投資者的通知、客戶聲明、專業投資者的定義 (**附件 1**) 及專業投資者可豁免的規定 (**附件 2**), 並已邀請及建議客戶就其內容和細則提出問題及尋求獨立法律意見。

I, the undersigned Licensed Representative ("LR"), confirm that I have assessed the above Client based on the information and supporting documents provided by it in this Declaration above. I am satisfied that it meets the requirements for Corporate Professional Investor of product(s) and market(s) indicated in the above Client Declaration and can be treated as such.

本人作為簽署此文件的持牌人士, 確認已基於由上述客戶於此申報表所提供的資料及證明文件評估上述客戶。本人信納上述客戶符合對法團專業投資者的規定, 並可視上述客戶為客戶聲明內剔選的產品和市場的法團專業投資者。

Name of Staff 職員姓名: \_\_\_\_\_ Position 職位: \_\_\_\_\_

Staff's CE No. 職員中央編號: \_\_\_\_\_

**Signature of Staff**

職員簽署: \_\_\_\_\_ (signed by LR 由持牌人士簽署)

Date 日期: \_\_\_\_\_

**For Funderstone Group's Use Only**  
**Funderstone 集團專用**

Base on the following Assessment Criteria, we are **satisfied** that the Client meets the requirements for Corporate Professional Investor of product(s) and market(s) indicated in the above Client Declaration and **can** be treated as such.

基於以下評估準則, 我們已**信納**客戶已符合對法團專業投資者的以下兩項規定, 並**可視**客戶為以上客戶聲明中標示的產品及市場之法團專業投資者:

Client **can** pass the Portfolio Adequacy Test and **has** valid asset proof.

客戶 **能夠** 通過資產充足度測試 及 **能夠** 提供有效的資產證明。

Client **can** pass the CPI Assessment and **has** valid proof.

客戶 **能夠** 通過法團專業投資者評估 及 **能夠** 提供有效的證明。

\_\_\_\_\_  
 LR's Signature

持牌人士簽署

\_\_\_\_\_  
 LR's Name / CE No.

持牌人士姓名 / 中央編號

\_\_\_\_\_  
 Team / Dept

組別 / 部門

\_\_\_\_\_  
 Date

日期

**Endorsed by Responsible Officer 由負責人員批核:**

Approve 批准

Reject 否決

\_\_\_\_\_  
 Responsible Officer's Signature

負責人員簽署

\_\_\_\_\_  
 Responsible Officer's Name

負責人員姓名

\_\_\_\_\_  
 Team / Dept

組別 / 部門

\_\_\_\_\_  
 Date

日期

## Annexure 1 附件 1

### Definition of Professional Investor 專業投資者的定義

The Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) (“SFO”) provides the following definition of “Professional Investor”:  
 《證券及期貨條例》(香港法例第 571 章) (《證券及期貨條例》) 提供以下有關「專業投資者」的定義:

- (a) any recognised exchange company, recognised clearing house, recognised exchange controller or recognised investor compensation company, or any person authorised to provide automated trading services under section 95(2) of SFO;  
 認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據《證券及期貨條例》第 95 (2) 條獲認可提供自動化交易服務的人;
- (b) any intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong;  
 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人;
- (c) any authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong;  
 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行;
- (d) any insurer authorised under the Insurance Companies Ordinance (Cap. 41 of the Laws of Hong Kong), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;  
 根據《保險公司條例》(香港法例第 41 章) 獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人;
- (e) any scheme which—  
 符合以下說明的計劃—
  - (i) is a collective investment scheme authorised under section 104 of SFO; or  
 屬根據《證券及期貨條例》第 104 條獲認可的集體投資計劃；或
  - (ii) is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place,  
 以相似的方式根據香港以外地方的法律成立，並(如受該地方的法律規管)根據該地方的法律獲准許營辦，  
 or any person by whom any such scheme is operated;  
 或營辦任何該等計劃的人;
- (f) any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap. 485 of the Laws of Hong Kong), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485. sub. leg. A of the Laws of Hong Kong), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2(1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;  
 《強制性公積金計劃條例》(香港法例第 485 章)第 2(1)條界定的註冊計劃，或《強制性公積金計劃(一般)規例》(香港法例第 485 章，附屬法例 A)第 2 條界定的該等計劃的成分基金，或就任何該等計劃而言屬該條例第 2(1)條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人;
- (g) any scheme which—  
 符合以下說明的計劃—
  - (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426 of the Laws of Hong Kong); or  
 屬《職業退休計劃條例》(香港法例第 426 章)第 2(1)條界定的註冊計劃；或
  - (ii) is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place,  
 屬該條例第 2(1)條界定的離岸計劃，並(如以某地方為本籍而受該地方的法律規管)根據該地方的法律獲准許營辦，  
 or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;  
 或就任何該等計劃而言屬該條例第 2(1)條界定的管理人的;
- (h) any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency;  
 任何政府(市政府當局除外)、執行中央銀行職能的任何機構，或任何多邊機構;
- (i) except for the purposes of Schedule 5 to SFO, any corporation which is—  
 (除為施行《證券及期貨條例》附表 5 外)符合以下說明的法團—
  - (i) a wholly owned subsidiary of—  
 屬下述者的全資附屬公司—
    - (A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or

中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或  
 (B) an authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong;  
 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；

(ii) a holding company which holds all the issued share capital of—  
 屬持有下述者的所有已發行股本的控權公司—

(A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or  
 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或

(B) an authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong; or  
 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或

(iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii); or  
 屬第(ii)節提述的控權公司的任何其他全資附屬公司；或

(j) any person of a class which is prescribed by rules made under section 397 of SFO for the purposes of this paragraph as within the meaning of this definition for the purposes of the provisions of SFO, or to the extent that it is prescribed by rules so made as within the meaning of this definition for the purposes of any provision of SFO.

屬於為施行本段而藉根據《證券及期貨條例》第 397 條訂立的規則訂明為就《證券及期貨條例》條文屬本定義所指的類別的人，或(如為施行本段而藉如此訂立的規則訂明某類別為就《證券及期貨條例》任何條文屬本定義所指的類別)在該範圍內屬於該類別的人。

Section 3 of the Securities and Futures (Professional Investor) Rules (CAP 571D of the Laws of Hong Kong) (“PI Rules”) provides that for the purposes of paragraph (j) of the definition of “professional investor” in section 1 of Part 1 of Schedule 1 to SFO, the following persons are prescribed as within the meaning of that definition for the purposes of any provision of SFO other than Schedule 5—

《證券及期貨(專業投資者)規則》(香港法例第 571D 章)(「**專業投資者規則**」)第 3 條指，為施行《證券及期貨條例》附表 1 第 1 部第 1 條「專業投資者」的定義的 (j) 段，現就《證券及期貨條例》的任何條文(附表 5 除外)訂明以下人士屬該定義所指的人—

(a) any trust corporation (*note 1*) having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million at the relevant date (*note 2*) or as ascertained in accordance with section 8 of PI Rules;

符合以下說明的任何信託法團 (*註 1*): 擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產在有關日期 (*註 2*) 或按照《專業投資者規則》第 8 條獲確定，不少於港幣 40,000,000 元；

(b) any individual having a portfolio (*note 3*) of not less than HKD8 million at the relevant date (*note 2*) or as ascertained in accordance with section 8 of PI Rules, when any one or more of the following are taken into account—

符合以下說明的任何個人: 在考慮以下任何一項或多於一項時，擁有的投資組合 (*註 3*) 在有關日期 (*註 2*) 或按照《專業投資者規則》第 8 條而獲確定，不少於港幣 8,000,000 元——

(i) a portfolio on the individual's own account;  
 該個人本人的賬戶內的投資組合；

(ii) a portfolio on a joint account with the individual's associate (*note 4*);  
 該個人聯同其有聯繫者 (*註 4*) 於某聯權共有賬戶內的投資組合；

(iii) the individual's share of a portfolio (*note 3*) on a joint account with one or more persons other than the individual's associate (*note 4*);  
 該個人在聯同一名或多於一名其有聯繫者 (*註 4*) 以外的人士於某聯權共有賬戶內的投資組合 (*註 3*) 中所佔部分；

(iv) a portfolio (*note 3*) of a corporation which, at the relevant date (*note 2*), has as its principal business the holding of investments and is wholly owned by the individual;  
 在有關日期的主要業務是持有投資項目並在有關日期 (*註 2*) 由該個人全資擁有的法團的投資組合 (*註 3*);

(c) any corporation having—  
 符合以下說明的任何法團 ——

(i) a portfolio (*note 3*) of not less than HKD8 million; or  
 擁有的投資組合 (*註 3*) 在有關日期 (*註 2*) 或按照《專業投資者規則》第 8 條而獲 確定不少於港幣 8,000,000 元；或

(ii) total assets of not less than HKD40 million,  
 擁有的總資產在有關日期 (*註 2*) 或按照《專業投資者規則》第 8 條而獲確 定不少於港幣 40,000,000 元；

at the relevant date (*note 2*) or as ascertained in accordance with section 8 of PI Rules;

(d) any corporation which, at the relevant date (*note 2*), has as its principal business the holding of investments and is wholly owned by any one or more of the following persons—

在有關日期的主要業務是持有投資項目並在有關日期 (*註 2*) 由以下任何一名或多於一名人士全資擁有的任何法團 ——

(i) a trust corporation (*note 1*) specified in paragraph (a);  
 (a) 段指明的信託法團 (*註 1*);

(ii) an individual specified in paragraph (b);

- (b) 段指明的個人;
- (iii) a corporation specified in this paragraph or paragraph (c);  
本段或 (c) 段指明的法團;
- (iv) a partnership specified in paragraph (g);  
(g) 段指明的合夥;
- (v) a professional investor within the meaning of paragraph (a), (d), (e), (f), (g) or (h) of the definition of professional investor in section 1 of Part 1 of Schedule 1 to SFO; or  
屬《證券及期貨條例》附表 1 第 1 部第 1 條專業投資者的定義的 (a)、(d)、(e)、(f)、(g) 或 (h) 段所指的專業投資者; 或
- (e) any corporation which, at the relevant date (note 2), wholly owns a corporation referred to in paragraph (c);  
在有關日期 (註 2) 全資擁有 (c) 段提述的法團的法團;
- (f) any partnership specified for the purposes of section 3(d) of PI Rules is a partnership having—  
為施行《專業投資者規則》第 3(d) 條而指明的合夥, 是符合以下說明的合夥 ——
- (i) a portfolio (note 3) of not less than HKD8 million; or  
擁有的投資組合 (註 3) 在有關日期 (註 2) 或按照第 8 條而獲確定不少於港幣 8,000,000 元; 或
- (ii) total assets of not less than HKD40 million,  
擁有的總資產在有關日期 (註 2) 或按照《專業投資者規則》第 8 條而獲確定不少於港幣 40,000,000 元。
- at the relevant date (note 2) or as ascertained in accordance with section 8 of PI Rules.

**Note 1: "trust corporation" means:-**

註 1: 「信託法團」指:

- (a) any trust company registered under Part 8 of the Trustee Ordinance (Cap. 29 of the Laws of Hong Kong); or  
根據《受託人條例》(香港法例第 29 章)第 8 部註冊的任何信託公司; 或
- (b) any other corporation which—  
符合以下說明的其他法團 ——
- (i) carries on a business which is of a nature similar to that of a trust company referred to in paragraph (a); and  
所經營的業務的性質與(a)段提述的信託公司所經營的業務的性質相似; 並
- (ii) is regulated under the law of any place outside Hong Kong.  
根據香港以外地方的法律受規管。

**Note 2: "relevant date" means:-**

註 2: 「有關日期」指:

- (a) in the case of an advertisement, invitation or document described in section 103(3)(k) of SFO, means the date on which the advertisement, invitation or document is issued, or possessed for the purposes of issue;  
就《證券及期貨條例》第 103(3)(k)條所描述的廣告、邀請或文件而言, 指發出或為發出而管有該廣告、邀請或文件的日期;
- (b) in the case of a call described in section 174(2)(a) of SFO, means the date on which the call is made;  
就《證券及期貨條例》第 174(2)(a)條所描述的造訪而言, 指進行該造訪的日期;
- (c) in the case of an offer described in section 175(5)(d) of SFO, means the date on which the offer is made; or  
就《證券及期貨條例》第 175(5)(d)條所描述的要約而言, 指提出該要約的日期; 或
- (d) in any other case which, by virtue of any rules made under SFO, requires compliance with an obligation, means the date by or on which the obligation is required to be complied with.  
就憑藉根據《證券及期貨條例》訂立的規則而規定須於某日期或之前或須於某日期履行某項責任的其他情況而言, 指該日期。

**Note 3: "portfolio" means a portfolio comprising any of the following:**

註 3: 「投資組合」指由任何下述項目組成的投資組合:

- (a) securities;  
證券;
- (b) a certificate of deposit issued by—  
由 ——
- (i) an authorized financial institution; or  
認可財務機構發行的存款證; 或
- (ii) a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;  
並非認可財務機構但根據香港以外地方的法律受規管的銀行發行的存款證;
- (c) in relation to an individual, corporation or partnership, money held by a custodian (note 5) for the individual, corporation or partnership.

就任何個人、法團或合夥而言，由保管人替該人、法團或合夥持有的款項。

Note 4: "associate", in relation to an individual, means the spouse or any child of the individual.

註 4: 「有聯繫者」指就任何個人而言，指該人的配偶或任何子女。

Note 5: "custodian" means:-

註 5: 「保管人」指:

- (a) a corporation the principal business of which is to act as a custodian of securities or other property for another person, whether on trust or by contract; or  
主要業務是作為另一人的證券或其他財產的保管人（不論是以信託或合約形式保管）的法團；或
- (b) any of the following persons whose business includes acting as a custodian of securities or other property for another person, whether on trust or by contract—  
業務包括作為另一人的證券或其他財產的保管人（不論是以信託或合約形式保管）的下列人士——
- (i) an authorized financial institution;  
認可財務機構;
  - (ii) a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;  
並非認可財務機構但根據香港以外地方的法律受規管的銀行;
  - (iii) a licensed corporation;  
持牌法團;
  - (iv) a person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong.  
經營提供投資服務的業務並根據香港以外地方的法律受規管的人。

Please take note that in this Annexure 1, a reference to an amount expressed in Hong Kong dollars includes its equivalent in any foreign currency.

請注意，在此附件 1中，凡提述以港元表示的款額，包括其等值的任何外幣。

## Annexure 2

## 附件 2

**Provisions that may be waived for Professional Investors****專業投資者可豁免的規定**

Paragraph 15 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the “Code”) provides that where a client of a licensed corporation is a Professional Investor (as defined under Part 1 of Schedule 1 to the Securities and Futures Ordinance) and all relevant provisions under the paragraph 15.3A and 15.3B of the Code have been duly complied with and observed by the licensed corporation, such licensed corporation can be exempted from the following requirements of the Code.

證券及期貨事務監察委員會持牌人或註冊人的行為守則（「《操守準則》」）第 15 條規定，如持牌法團的客戶屬專業投資者（按證券及期貨條例附表 1 第 1 部定義）而且該持牌法團已妥為遵守及遵從《操守準則》第 15.3A 及 15.3B 段下的所有相關規定，則該持牌法團在可獲豁免守則中的以下規定：

**Applicable exempt provisions for Institutional Professional investors and Corporate Professional Investors (where the licensed corporation has complied with paragraphs 15.3A and 15.3B of the Code)**

機構專業投資者和法團專業投資者（前提是持牌法團已遵從《操守準則》第 15.3A 及 15.3B 段的規定）的適用豁免條款

## (a) Information about clients

有關客戶的資料

(i) the need to establish a client's financial situation, investment experience and investment objectives (paragraph 5.1 and paragraphs 2(d) and 2(e) of Schedule 6 to the Code), except where the licensed corporation is providing advice on corporate finance work;

須確立客戶的財務狀況、投資經驗及投資目標（《操守準則》第 5.1 段及附表 6 第 2(d) 及 2(e) 段），但上述豁免不適用於提供企業融資意見的持牌法團；

(ii) the need to ensure the suitability of a recommendation or solicitation (paragraph 5.2 and paragraph 49 of Schedule 6 to the Code); and

須確保所作出的建議或招攬行為是合適的（《操守準則》第 5.2 段及附表 6 第 49 段）；及

(iii) the need to assess the client's knowledge of derivatives and characterize the client based on his knowledge of derivatives (paragraph 5.1A of the Code);

須評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類（《操守準則》第 5.1A 段）；

## (b) Client agreement

客戶協議

(i) the need to enter into a written agreement and the provision of relevant risk disclosure statements (paragraph 6.1, paragraph 20.2(c), paragraph 2 of Schedule 3, paragraph 2 of Schedule 4 and paragraph 1 of Schedule 6 to the Code);

須訂立協議書及提供相關的風險披露聲明（《操守準則》第 6.1 段、第 20.2(c) 段、附表 3 第 2 段、附表 4 第 2 段及附表 6 第 1 段）；

## (c) Information for clients

為客戶提供資料

(i) the need to disclose transaction related information (paragraph 8.3A of the Code);

須披露與交易相關的資料（《操守準則》第 8.3A 段）；

## (d) Discretionary accounts

委託賬戶

(i) the need for a licensed corporation to obtain from the client an authority in a written form prior to effecting transactions for the client without his specific authority (paragraph 7.1(a)(ii) of the Code);

持牌法團在為該客戶進行未經該客戶特定授權的交易之前，須先向該客戶取得書面授權（《操守準則》第 7.1(a)(ii) 段）；及

(ii) the need to explain the authority described under paragraph 7.1(a)(ii) of the Code and the need to confirm it on an annual basis (paragraph 7.1(b) of the Code);

須解釋《操守準則》第 7.1(a)(ii) 段所述的授權，並須每年確認該項授權一次（《操守準則》第 7.1(b) 段）；

(iii) the need for a licensed corporation to disclose benefits receivable for effecting transactions for a client under a discretionary account (paragraph 7.2 of the Code); and

持牌法團須披露因應在委託賬戶下為客戶進行交易而可取得的收益（《操守準則》第 7.2 段）；及

(e) the need to ensure the suitability of a transaction in a complex product, to provide sufficient information about a complex product and to provide warning statements (paragraph 5.5(a) of the Code).

須確保複雜產品交易的合適性，提供有關複雜產品的充分資料及提供警告聲明（《操守準則》第 5.5(a) 段）

**Applicable exempt provisions for Institutional Professional investors, Corporate Professional Investors (where the licensed corporation has complied with paragraph 15.3B of the Code) and Individual Professional Investors (where the licensed corporation has complied with paragraph 15.3B of the Code)**

機構專業投資者、法團專業投資者（前提是持牌法團已遵從《操守準則》第 15.3B 段的規定）和個人專業投資者（前提是持牌法團已遵從《操守準則》第 15.3B 段的規定）的適用豁免條款

## (a) Information for clients

為客戶提供資料

- (i) the need to inform the client about the licensed corporation and the identity and status of its employees and others acting on its behalf (paragraph 8.1 of the Code);  
須向客戶提供有關持牌法團和有關其僱員及其他代表其行事的人士的身分和受僱狀況的資料（《操守準則》第 8.1 段）;
- (ii) the need to confirm promptly with the client the essential features of a transaction after effecting a transaction for a client (paragraph 8.2, paragraph 4 of Schedule 3 and paragraph 18 of Schedule 6 to the Code); and  
為客戶完成交易後，須儘快向該客戶確認有關該宗交易的重點（《操守準則》第 8.2 段、附表 3 第 4 段及附表 6 第 18 段）；及
- (iii) the need to provide the client with documentation on the Nasdaq-Amex Pilot Program (paragraph 1 of Schedule 3 to the Code).  
須向客戶提供關於納斯達克－美國證券交易所試驗計劃的數據文件（《操守準則》附表 3 第 1 段）。

**E. CPI ASSESSMENT — SUFFICIENT INVESTMENT BACKGROUND CONFIRMATIONS**

**法團專業投資者評估 — 充分投資資歷確認**

**For each of the product(s) and market(s)**, please answer ALL of the following questions and provide supporting account statement(s), trade Confirmation(s), declaration(s) of academic background, professional qualification, proof of Professional Investor status and/or other proof(s) to substantiate answers below.

**就每個產品和市場**，請分別回答以下所有問題，並提供相關賬戶結單、交易確認書、學術背景、專業資格的聲明、專業投資者的身份證明及 / 或其他證明文件以證實下列的答案。

Name of the relevant Designated Investment Decision Maker 相關指定投資決策者的名稱:

Chinese 中文: \_\_\_\_\_

English 英文: \_\_\_\_\_

**6. Relevant Products, Markets, Investment Experience and History 相關產品、市場、投資經驗及歷史**

(The product(s) and market(s) indicated in the table below are referred to in this Part E as the "Relevant Products and Markets".)  
 (下表已選的產品及市場於此E部分中稱為「相關產品及市場」。)

Do you have relevant investment experience in the Relevant Products and Markets?

閣下是否擁有相關產品及市場的相關投資經驗?

No 否

Yes, details are as follows (please **tick the box(es) where applicable** and fill in the blanks accordingly)

是，詳情如下（請在下列適當方格內劃上「✓」號及填寫空格）

		Investment Experience 投資經驗				
Investment Products 投資產品	Relevant Market 相關市場	Rating of your investment knowledge and experience and risks involved in the Relevant Products and Markets* 閣下評估自己的投資知識及經驗以及相關產品及市場的投資風險* <small>*Please use the scale provided below to indicate your answers. *請以表格下面的程度標示答案。</small>	Personal Investments or Investments for Others 個人投資或為他人而投資	Trading Volume in the last 12 months (HKD) 過去 12 個月內的交易金額 (港幣)	No. of Transaction(s) in the last 12 months 過去 12 個月內的交易次數 <small>*A sale and purchase of the same product shall be counted as one transaction. *一買一賣計算為一次交易。</small>	Years of Experience 投資年期
<input type="checkbox"/> (a) Stocks 股票	<input type="checkbox"/> Hong Kong 香港	Level of investment knowledge and experience: 投資知識及經驗程度: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3  Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: <input type="checkbox"/> Very high 非常高 <input type="checkbox"/> High 高 <input type="checkbox"/> Moderate 中等 <input type="checkbox"/> Low 低 <input type="checkbox"/> Very low 非常低	<input type="checkbox"/> Personal Investments 個人投資		<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年
	<input type="checkbox"/> Mainland China 中國內地					<input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____
	<input type="checkbox"/> U.S. 美國					<input type="checkbox"/> less than 2 years 少於 2 年
	<input type="checkbox"/> Japan 日本					<input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____
	<input type="checkbox"/> U.K. 英國					
	<input type="checkbox"/> Europe 歐洲					
	<input type="checkbox"/> Australia 澳洲					
	<input type="checkbox"/> Singapore 新加坡					
	<input type="checkbox"/> Malaysia 馬來西亞		<input type="checkbox"/> Investments for Others 為他人而投資		<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	
	<input type="checkbox"/> Others (please specify) 其他 (請註明): _____					



<input type="checkbox"/>	(b) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品 (例如債券、可換股債券等) / 外幣存款	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明):   	<p>Level of investment knowledge and experience: 投資知識及經驗程度:</p> <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <p>Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:</p> <input type="checkbox"/> Very high 非常高 <input type="checkbox"/> High 高 <input type="checkbox"/> Moderate 中等 <input type="checkbox"/> Low 低 <input type="checkbox"/> Very low 非常低	<input type="checkbox"/> Personal Investments 個人投資	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____  <input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____	
<input type="checkbox"/>	(c) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明):   	<p>Level of investment knowledge and experience: 投資知識及經驗程度:</p> <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <p>Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:</p> <input type="checkbox"/> Very high 非常高 <input type="checkbox"/> High 高 <input type="checkbox"/> Moderate 中等 <input type="checkbox"/> Low 低 <input type="checkbox"/> Very low 非常低	<input type="checkbox"/> Personal Investments 個人投資	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____  <input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____	
<input type="checkbox"/>	(d) Derivatives and Leverage Products (e.g. Futures, Options, Warrants,	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本	<p>Level of investment knowledge and experience: 投資知識及經驗程度:</p> <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> Personal Investments 個人投資	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____	

	<p>Callable Bull/Bear Contracts, Accumulated or, Margin Trading, etc)                  衍生工具/槓桿產品 (例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等)</p>	<p><input type="checkbox"/> U.K. 英國  <input type="checkbox"/> Europe 歐洲  <input type="checkbox"/> Australia 澳洲  <input type="checkbox"/> Singapore 新加坡  <input type="checkbox"/> Malaysia 馬來西亞  <input type="checkbox"/> Others (please specify) 其他 (請註明):                  _____                  _____                  _____</p>	<p><input type="checkbox"/> 3                  Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:  <input type="checkbox"/> Very high 非常高  <input type="checkbox"/> High 高  <input type="checkbox"/> Moderate 中等  <input type="checkbox"/> Low 低  <input type="checkbox"/> Very low 非常低</p>	<p><input type="checkbox"/> Investments for Others 為他人而投資</p>		<p><input type="checkbox"/> less than 2 years 少於 2 年  <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____</p> <p><input type="checkbox"/> less than 40 少於 40 宗  <input type="checkbox"/> more than 40 多於 40 宗</p>	
<p><input type="checkbox"/> (e)</p>	<p>Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc)                  結構化產品 (例如股票掛鈎存款/票據、貨幣掛鈎存款等)</p>	<p><input type="checkbox"/> Hong Kong 香港  <input type="checkbox"/> Mainland China 中國內地  <input type="checkbox"/> U.S. 美國  <input type="checkbox"/> Japan 日本  <input type="checkbox"/> U.K. 英國  <input type="checkbox"/> Europe 歐洲  <input type="checkbox"/> Australia 澳洲  <input type="checkbox"/> Singapore 新加坡  <input type="checkbox"/> Malaysia 馬來西亞  <input type="checkbox"/> Others (please specify) 其他 (請註明):                  _____                  _____                  _____</p>	<p>Level of investment knowledge and experience: 投資知識及經驗程度:  <input type="checkbox"/> 1  <input type="checkbox"/> 2  <input type="checkbox"/> 3                  Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:  <input type="checkbox"/> Very high 非常高  <input type="checkbox"/> High 高  <input type="checkbox"/> Moderate 中等  <input type="checkbox"/> Low 低  <input type="checkbox"/> Very low 非常低</p>	<p><input type="checkbox"/> Personal Investments 個人投資</p>		<p><input type="checkbox"/> less than 40 少於 40 宗  <input type="checkbox"/> more than 40 多於 40 宗</p>	<p><input type="checkbox"/> less than 2 years 少於 2 年  <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____</p>
<p><input type="checkbox"/> (f)</p>	<p>Others (please specify) 其他 (請註明):                  _____                  _____                  _____</p>	<p><input type="checkbox"/> Hong Kong 香港  <input type="checkbox"/> Mainland China 中國內地  <input type="checkbox"/> U.S. 美國  <input type="checkbox"/> Japan 日本  <input type="checkbox"/> U.K. 英國  <input type="checkbox"/> Europe 歐洲  <input type="checkbox"/> Australia 澳洲  <input type="checkbox"/> Singapore 新加坡  <input type="checkbox"/> Malaysia 馬來西亞  <input type="checkbox"/> Others (please specify) 其他 (請註明):                  _____                  _____                  _____</p>	<p>Level of investment knowledge and experience: 投資知識及經驗程度:  <input type="checkbox"/> 1  <input type="checkbox"/> 2  <input type="checkbox"/> 3                  Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:  <input type="checkbox"/> Very high 非常高  <input type="checkbox"/> High 高  <input type="checkbox"/> Moderate 中等  <input type="checkbox"/> Low 低  <input type="checkbox"/> Very low 非常低</p>	<p><input type="checkbox"/> Personal Investments 個人投資</p>		<p><input type="checkbox"/> less than 40 少於 40 宗  <input type="checkbox"/> more than 40 多於 40 宗</p>	<p><input type="checkbox"/> less than 2 years 少於 2 年  <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____</p>
				<p><input type="checkbox"/> Investments for Others 為他人而投資</p>		<p><input type="checkbox"/> less than 40 少於 40 宗  <input type="checkbox"/> more than 40 多於 40 宗</p>	<p><input type="checkbox"/> less than 2 years 少於 2 年  <input type="checkbox"/> more than 2 years, the no. of years is: 多於 2 年, 年期為: _____</p>

		其他 (請註明):					
		_____					
		_____					
		_____					

**\*Please indicate the rating of your investment knowledge and experience according to the following scale:**

**請以下數字範圍標示閣下評估自己的投資知識及經驗的程度**

**1 – I have limited or no knowledge and experience about the Relevant Products and Markets, and I have limited understanding about the risks involved in the Relevant Products and Markets.**

本人就相關產品及市場有限的或沒有知識及經驗，本人對相關產品及市場涉及的風險有限的理解。

**2 – I have average knowledge or experience about the Relevant Products and Markets, and I have average understanding about the risks involved in the Relevant Products and Markets.**

本人就相關產品及市場具有普通的知識或經驗，本人對相關產品及市場涉及的風險具普通的理解。

**3 – I have advanced and sufficient knowledge or experience about the Relevant Products and Markets, and I have advanced and sufficient understanding about the risks involved in the Relevant Products and Markets.**

本人就相關產品及市場具有深度且充分知識或經驗，本人對相關產品及市場涉及的風險具深度且充分的理解。

## 7. Relevant academic or professional qualifications 相關學歷或專業資格

Do you have academic qualification(s) or training(s) in the Relevant Products and Markets?

閣下是否擁有相關產品及市場的學歷或培訓經驗?

**\*Please provide certified copies of relevant certificates or supporting documents**

**請提供相關證書或證明文件的核證本**

No 否

Yes, details are as follows 是，詳情如下

Degree in accounting, business administration, economics, finance, law or other degree or above

會計、工商管理、經濟、財務、法律學位或其他學位或以上

Chartered Financial Analyst (CFA) 特許金融分析師

Certified International Investment Analyst (CIIA) 註冊國際投資分析師

Certified Financial Planner (CFP) 認可財務策劃師

Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會計或財務專業資格 (請註明): \_\_\_\_\_

Passes in English or Chinese, and Mathematics in HKCEE or equivalent

香港中學會考證書英文或中文，及數學合格或同等學歷

Passes in Hong Kong Securities and Investment Institute Diploma Programme Examination (DPE)

香港證券及投資學會文憑課程考試合格

Paper 試卷: 123

Hong Kong Securities and Investment Institute Professional Diploma in Financial Markets (PDFM)

香港證券及投資學會金融市場專業文憑

Module 單元: 1234567

Passes in Hong Kong Securities and Investment Institute Licensing Examination (LE) for Securities and Futures Intermediaries

香港證券及投資學會證券及期貨從業員資格考試合格

Paper 試卷: 1789101112

Others (please specify) 其他 (請註明): \_\_\_\_\_

## 8. Do you possess any relevant license or professional qualification? (e.g. SFC license, HKMA registration, CFP, CFA, CPA, etc.)

閣下是否持有相關的牌照或專業資格? (例如證監會牌照、金管局註冊、特許財務策劃師、特許金融分析師、註冊會計師等資格)

**\*Please provide certified copies of relevant certificates or supporting documents**

**請提供相關證書或證明文件的核證本**

No 否

Yes, details are as follows 是，詳情如下

Chartered Financial Analyst (CFA) 特許金融分析師

Certified International Investment Analyst (CIIA) 註冊國際投資分析師

Certified Financial Planner (CFP) 認可財務策劃師

Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會計或財務專業資格 (請註明): \_\_\_\_\_

Others (please specify) 其他 (請註明): \_\_\_\_\_

## 9. Relevant Work Experience 相關工作經驗

Do you have any relevant working experience about the Relevant Products and Markets?

閣下是否擁有相關產品及市場的相關工作經驗?

No 否

Yes, details are as follows (please **tick the box(es) where applicable** and fill in the blanks accordingly)

是，詳情如下（請在下列適當方格內劃上「✓」號及填寫空格）

	Investment Products 投資產品	Work Experience 工作經驗				Are you working/Have you worked as a Designated Investment Decision Maker for such employer? 閣下是否正為 / 或曾為該僱主擔任指定投資決策者?
		Relevant Market 相關市場	Name of employer 僱主名稱	Job Title 職銜	Years of Service 服務年期	
<input type="checkbox"/>	(g) Stocks 股票	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他（請註明）： _____ _____ _____			Senior management role(s) 資深管理職位: _____ years 年 Junior role(s) 初級職位: _____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/>	(h) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品（例如債券、可換股債券等） / 外幣存款	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他（請註明）： _____ _____ _____			Senior management role(s) 資深管理職位: _____ years 年 Junior role(s) 初級職位: _____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/>	(i) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國			Senior management role(s) 資深管理職位: _____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

		<input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			Junior role(s) 初級 職位: ____ years 年	
<input type="checkbox"/>	(j) Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品 (例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等)	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			Senior management role(s) 資深管理職位: ____ years 年 Junior role(s) 初級職位: ____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/>	(k) Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鉤存款等)	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			Senior management role(s) 資深管理職位: ____ years 年 Junior role(s) 初級職位: ____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

		_____ _____ _____				
<input type="checkbox"/>	(l) Others (please specify) 其他 (請註明): _____ _____ _____ _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Japan 日本 <input type="checkbox"/> U.K. 英國 <input type="checkbox"/> Europe 歐洲 <input type="checkbox"/> Australia 澳洲 <input type="checkbox"/> Singapore 新加坡 <input type="checkbox"/> Malaysia 馬來西亞 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ _____ _____			Senior management role(s) 資深管理職位: _____ years 年 Junior role(s) 初級職位: _____ years 年	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

10. Additional notes on other investment background about the Relevant Products and Markets (where applicable)  
 閣下就相關產品及市場的其他投資資歷的附加註釋 (如適用)

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(Note: Please use additional sheets and indicate the page number where necessary)  
 (註: 如有需要, 請使用額外紙張填寫 (並標註頁碼))