

iTrade Securities Investment Limited ("iTrade Securities") is licensed (CE No. BHL021) under the Securities and Futures Ordinance (Chapter 571 of Laws of Hong Kong) to carry out the regulated activities in Hong Kong.

美信證券投資有限公司 (美信證券) 是根據證券及期貨條例 (香港法例第 571 章) 獲認可之持牌法團 (中央編號: BHL021) 於香港進行受規管活動。

Individual / Corporate Professional Investor Assessment Form 個人/法團專業投資者評估表格

CLIENT DETAILS 客戶資料 (所有客戶必須填寫):

Name of the Client: 客戶名稱:	(In English) 英文 (In Chinese) 中文
iTrade Sec Account No.: 美信證券賬戶號碼:	Risk Level: 客戶風險級別:

SECTION 1 - CLASSIFICATION OF INDIVIDUAL / CORPORATE PROFESSIONAL INVESTOR

第一部份 - 個人/法團專業投資者的歸類

Pursuant to the requirements under Section 3 of the Securities and Futures (Professional Investor) Rule (Cap. 571D Professional Investor Rule), I/we declare and confirm that I/we are a Professional Investor within one of the following types (please only select ONE type and submit the supporting documents for our reference.):

根據第 571D 章第 3 條,《證券及期貨 (專業投資者) 規則》(「專業投資者規則」) 所列的規定,閣下/吾等聲明及確認以下其中一種類別的專業投資者 (請只選擇一種類別,並提交證明文件供本公司參考):

Type of Professional Investor 專業投資者類別	Criteria & Supporting Documents to be provided 準則及證明文件(請提供)
<input type="checkbox"/> Individual – An individual, either alone or with any of his or her associates (i.e. the spouse or any child of the individual) on a joint account. 個人 - 單獨或聯同其有聯繫者(即配偶或其子女)擁有共同賬戶	Any individual, either alone or with any of his associates, i.e. the spouse or any child of the individual, on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency as stated in an auditor's certificate or ascertained by custodian statements within 12 months; 單獨或聯同其有聯繫者 (即個人的配偶或其任何子女) 於某共有賬戶擁有不少於 8,000,000 港元或等值外幣的投資組合的個人, 而該投資組合的總值載於核數師發出的證明書內或在 12 個月內發給該人的保管人結單內而獲確定;
<input type="checkbox"/> Corporate / Partnership 法團 / 合夥	Any corporation or partnership having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency or total assets of not less than HK\$40 million or its equivalent in any foreign currency as ascertained by the most recent audited financial statements within the last 16 months or custodian statements within the last 12 months. 擁有不少於 8,000,000 港元或等值外幣的投資組合或不少於 40,000,000 港元或等值外幣的總資產的法團或合夥, 而該投資組合或總資產的總值在前 16 個月內擬備的最近期的經審計財務報表而獲確定; 或在前 12 個月內發給該法團或合夥的保管人結單而獲確定。
<input type="checkbox"/> Trust Corporation – A Trust Corporation has been entrusted under the trust of trusts 信托法團- 委托信托或信托下的信托法團	Any trust corporation acting as trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency as ascertained by the most recent audited financial statement within the last 16 months or custodian statements within the last 12 months; 擔任信托的信托人而在該等信托下獲托付不少於 40,000,000 港元或等值外幣的總資產的信托法團, 而該總資產值已載于前 16 個月內擬備的最近期的經審計財務報表內或于前 12 個月內發出的保管人結單內;

<input type="checkbox"/>	Other Corporation	<p>A Corporation, the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following types of Professional Investors: Individual, Corporation, Partnership or Trust Corporation</p> <p>Fulfilled within the descriptions of the above. Supporting documents to be proved that such Corporation is wholly owned by one or more of the following Professional Investors: Individual, Corporation, Partnership or Trust Corporation.</p>
	其他法團	<p>在有關日期的唯一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人仕的全資擁有的專業投資者：個人、法團、合夥或信托法團</p> <p>符合以上的描述：證明文件顯示該法團是由一名或多於一名專業投資者全資擁有：個人、法團、合夥或信托法團</p>

SECTION 2 – PROFESSIONAL INVESTMENT EXPERIENCE AND ASSET ASSESSMENT

第二部份 - 專業投資者經驗和資產評估

1.	<p>Number of investment transactions do you / your company have with products for example include Stocks, Unit Trusts, Bonds, Foreign Currencies, Commodities, Structured investment products, Warrants, Options, Futures, Investment Linked Insurance Plans?</p> <p>您/貴公司有多少次投資於投資產品的經驗*? 投資產品的例子包括股票，單位信托基金，債券，外幣，商品，結構性投資產品，認股權證，期權，期貨，投資相連保險計劃等</p> <table border="1" data-bbox="167 1003 1308 1473"> <tr> <td data-bbox="167 1003 571 1243"></td> <td data-bbox="571 1003 917 1243"> <p>您/貴公司擁有過往交易經驗(於過去 1 年內曾有 40 次或以上交易記錄)。*</p> <p>Your past investment experience (over 40 transaction records in the past 1 year.)*</p> </td> <td data-bbox="917 1003 1308 1243"> <p>請注明您/貴公司於過去 12 個月內在相關市場上進行該等產品交易的所在司法管轄區。</p> <p>Please state the region that you have transactions with the related products in the past 12 months.</p> </td> </tr> <tr> <td data-bbox="167 1243 571 1276">股票 Equities</td> <td data-bbox="571 1243 917 1276"></td> <td data-bbox="917 1243 1308 1276"></td> </tr> <tr> <td data-bbox="167 1276 571 1310">期貨及期權 Futures and Options</td> <td data-bbox="571 1276 917 1310"></td> <td data-bbox="917 1276 1308 1310"></td> </tr> <tr> <td data-bbox="167 1310 571 1344">牛熊證 CBBs</td> <td data-bbox="571 1310 917 1344"></td> <td data-bbox="917 1310 1308 1344"></td> </tr> <tr> <td data-bbox="167 1344 571 1377">基金 Funds</td> <td data-bbox="571 1344 917 1377"></td> <td data-bbox="917 1344 1308 1377"></td> </tr> <tr> <td data-bbox="167 1377 571 1411">債券 Bonds</td> <td data-bbox="571 1377 917 1411"></td> <td data-bbox="917 1377 1308 1411"></td> </tr> <tr> <td data-bbox="167 1411 571 1444">股票掛鈎產品 Equity-linked products</td> <td data-bbox="571 1411 917 1444"></td> <td data-bbox="917 1411 1308 1444"></td> </tr> <tr> <td data-bbox="167 1444 571 1473">其他 Others</td> <td data-bbox="571 1444 917 1473"></td> <td data-bbox="917 1444 1308 1473"></td> </tr> </table>		<p>您/貴公司擁有過往交易經驗(於過去 1 年內曾有 40 次或以上交易記錄)。*</p> <p>Your past investment experience (over 40 transaction records in the past 1 year.)*</p>	<p>請注明您/貴公司於過去 12 個月內在相關市場上進行該等產品交易的所在司法管轄區。</p> <p>Please state the region that you have transactions with the related products in the past 12 months.</p>	股票 Equities			期貨及期權 Futures and Options			牛熊證 CBBs			基金 Funds			債券 Bonds			股票掛鈎產品 Equity-linked products			其他 Others			
	<p>您/貴公司擁有過往交易經驗(於過去 1 年內曾有 40 次或以上交易記錄)。*</p> <p>Your past investment experience (over 40 transaction records in the past 1 year.)*</p>	<p>請注明您/貴公司於過去 12 個月內在相關市場上進行該等產品交易的所在司法管轄區。</p> <p>Please state the region that you have transactions with the related products in the past 12 months.</p>																								
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2.	<p>How many years of investment experience do you / your company have with products for example include Stocks, Unit Trusts, Bonds, Foreign Currencies, Commodities, Structured investment products, Warrants, Options, Futures, Investment Linked Insurance Plans?</p> <p>您/貴公司有多少年投資於投資產品的經驗*? 投資產品的例子包括股票，單位信托基金，債券，外幣，商品，結構性投資產品，認股權證，期權，期貨，投資相連保險計劃等</p> <p>A. None or less than 2 year, 沒有或少於 2 年 B. 2 - 5 years, 2 - 5 年 C. 5 - 10 years, 5 - 10 年 D. More than 10 years 10 年以上</p> <p>*Note: Please provide relevant transaction documents. *注意：請必須提供相關交易證明文件。</p>																									

3.	<p>What is your investment portfolio (in HKD) in terms of cash, securities and certificate of deposit? 就投資組合而言，您/貴公司現時持有的現金，證券和存款證總值*約為 (以港幣計算)?</p> <p>A. Below \$500,000 少於港元\$500,000 B. \$500,001 – \$999,999 介乎港元\$500,001 至 \$999,999 C. \$1,000,000– \$7,999,999 介乎港元\$1,000,000 至 \$7,999,999 D. Between \$8,000,000 to \$39,999,999 介乎港元\$8,000,000 至 39,999,999 E. More than \$40,000,000 多於港元\$40,000,000</p> <p>*Note: Please provide relevant assets proof. *注意: 請必須提供相關資產證明文件。</p>	
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Glossary 詞彙

1. A "portfolio" comprises securities, certificates of deposit issued by an authorized financial institution or an overseas bank and (in relation to an individual, corporation or partnership) money held by a custodian for the individual, corporation or partnership.

“投資組合”指證券、由認可財務機構或海外銀行發行的存款證及（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。

2. A "custodian" is either 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 an authorized financial institution, an overseas bank, a licensed corporation or a regulated overseas person carrying on the business of provision of investment services, provided their businesses include acting as a custodian of securities or other property for another person, whether on trust or by contract. A "custodian" will include a fund manager if its business involves holding client assets.

“保管人”指主要業務是作為另一人的證券或其他財產的保管人（不論是以信托或合約形式保管）的法團；或認可財務機構、海外銀行、）持牌法團、經營提供投資服務的業務的受規管海外人士，前提是其業務包括作為另一人的證券或其他財產的保管人（不論是以信托或合約形式保管）。“保管人”包括基金經理（若其業務涉及持有客戶的資產）。

3. Relevant Date

- a. In the case of an advertisement, invitation or document described in Section 103(3)(k) of the Ordinance, means that on which the advertisement, invitation or document is issued, or possessed for the purposes of issue;
- b. In the case of a call described in Section 174(2) (a) of the Ordinance, means the date on which the call is made.
- c. In the case of an offer described in Section 175(2)(d) of the Ordinance, means the date on which the offer is made; or
- d. In any other case which, by virtue of any rules made under the Ordinance, requires compliance with an obligation, means the date by or on which the obligation is required to be complied with.

有關日期

- a. 就本條例第 103(3)(k) 條所描述的廣告、邀約或文件而言，指發出或為發出而管有該廣告、邀約或文件的日期；
- b. 就本條例第 174(2)(a) 條所描述的造訪而言，指進行該造訪的日期；
- c. 就本條例第 175(2)(d) 條所描述的要約而言，指提出該要約的日期；或
- d. 就憑藉根據本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

SECTION 3 - DECLARATION AND CONSENT
第三部份 - 聲明及同意

To: iTrade Securities Investment Limited
致: 美信證券投資有限公司

I/We, the undersigned Client(s), hereby acknowledge, declare and confirm that after signing in the signature column herein below by myself/ourselves, indicated that::

本人/吾等, 為下述簽署客戶, 謹此知悉、聲明及確認, 當本人/吾等於下列簽署欄內簽署後, 即表示:

- (1) All the information provided in this "Individual/Corporate Professional Investor Assessment Form" (including the supporting documents) is true, complete, correct and accurate;
所有填寫於本『個人/法團專業投資者評估表格』之資料(包括證明文件)均屬真實、完整及準確無訛;
- (2) I/We confirm that, in relation to the products and markets in which I/we will invest, I/we, the trust corporation, the corporation or partnership, the investment holding company (as the case may be):
本人/本公司確認對將作出投資的有關產品及市場, 本人/本公司、信托法團、法團或合夥人、投資公司(視屬何情況而定)現作出以下聲明:
 - a. Has/have investment experience in relevant products;
具以往買賣相關產品的投資經驗;
 - b. Has/have entered into not less than 40 investment transactions in the past year;
於去年曾訂立不少於 40 宗投資交易;
 - c. Has/have experience dealing for at least 2 years in the relevant markets (or markets with similar characteristics); and
於相關市場中(或在擁有類似特色的市場中)進行交易的經驗達最少 2 年; 及
 - d. Are aware of risks involved in trading in the relevant markets.
對在相關市場中進行交易時所涉及的風險的認知。
- (3) I/We clearly understand the definitions and criteria of Individual/Corporate Professional Investor pursuant to the definitions of Professional Investor Rules (i.e. in terms of asset or portfolio thresholds);
根據專業投資者規則的定義(即投資組合規模或資產總值), 本人/吾等清楚明白個人/法團專業投資者的定義及準則;
- (4) I/We have met the minimum requirements of asset or portfolio thresholds to qualify me/us as an Individual/Corporate Professional Investor at the relevant date pursuant to the Professional Investor Rules by providing relevant supporting documents;
根據專業投資者規則, 本人/吾等在有關日期, 已符合作為一位個人/法團專業投資者的投資組合規模或資產總值的最低要求, 並提供相關證明文件;
- (5) I/We give my/our consent to being classified by iTrade Securities as a Professional Investor pursuant to the definitions of Professional Investor Rules;
根據專業投資者規則的定義, 本人/吾等同意被美信證券界定為一位專業投資者;
- (6) I/We understood that I/we have the right to withdraw from being classified as a Professional Investor at any time whether in respect of all products and financial markets by giving not less than 14 days' prior written notice to iTrade Securities; and
本人/吾等明白, 在任何時候, 本人/吾等有權向美信證券發出不少於 14 天的事先書面通知, 撤回被歸類為專業投資者(不論就所有產品及金融市場而言); 及
- (7) I/We undertake to notify iTrade Securities immediately in writing if I/we change my/our financial situations that may affect my/our eligibility for being classified as a Professional Investor.
若本人/吾等的財務情況有變, 影響本人/吾等被界定為專業投資者的條件, 本人/吾等承諾會立刻以書面方式通知美信證券。
- (8) I/We shall provide iTrade Securities with an annual confirmation and the relevant supporting document to ensure that I/we continue to fulfill the requisite requirements of being treated as a Professional Investor under the Securities and Futures (Professional Investor) Rules. If I/we fail to provide such information under the anniversary of my/our account opening date, I/we acknowledge that iTrade Securities shall have the right at any time to terminate me/us as a Professional Investor whether in respect of all products or markets or any part thereof.
本人/本公司須將年度確認書及相關證明文件提供予美信證券, 以確保本人/本公司符合《證券及期貨(專業投資者)規則》之要求, 能夠繼續被視為專業投資者。倘若本人/本公司未能在本人/本公司開戶日期之後的每周年內提供證明文件, 本人/本公司知悉美信證券有權隨時撤回本人/本公司被視為專業投資者的權利(不論就所有或任何部分產品或市場而言)。

SIGNED by:

S.V.

Authorised Signature(s) with Company Chop

獲授權人仕簽署 (及公司蓋章)

Client Name 客戶名稱:

Name of Authorised Signor 獲授權簽署人仕姓名:

Title of Authorised Signor 獲授權簽署人仕職位:

Date 日期:

SECTION 4 - DECLARATION BY ITRADE SECURITIES LICENSED STAFF MEMBER
第四部份 - 持牌職員的聲明及同意

To: iTrade Securities Investment Limited
致: 美信證券投資有限公司

I, (Name of Account Executive/Staff Member) _____, (CE No.) _____ confirmed that:
本人, (客戶經理/職員之姓名) _____, (中央編號) _____ 確認:

I have explained the contents of this Form to the Client. I have invited the Client to read this Form, ask questions and seek independent advice (if the Client wishes);

本人已向客戶解釋本表格的內容。本人已邀請客戶閱讀本表格、提出問題及徵求獨立的意見(如客戶有此意願);

I also have fully explained to the Client the requirements and criteria of being classified as an Individual/Corporate Professional Investor pursuant to the definitions of Professional Investor Rules;

本人亦已向客戶詳細解釋, 根據專業投資者規則, 被界定為一位個人/法團專業投資者的規定及準則;

I confirmed that this Client is fulfilled the requirements and criteria of being classified as an Individual/Corporate Professional Investor pursuant to the definitions of Professional Investor Rules; and

本人確認, 根據專業投資者規則, 此客戶是符合被界定為一位個人/法團專業投資者的規定及準則; 及

I confirmed that this Client has provided me a valid original/certified true copy of the supporting documents as an assessment of portfolio and/or total assets.

本人確認, 此客戶已提交有效的正本/已確認為真確副本的證明文件, 作為投資組合及/或總資產的評估。

SIGNED by: 簽署

Signature of Account Executive/Staff Member
客戶經理/職員簽署

Date 日期

FOR INTERNAL USE ONLY	
Name of Account Executive:	Responsible Officer:
Documents Checked by: Date:	Documents Approved by: Date:
Input by: Date:	Data Checked by: Date: