

APPLICATION FOR TREATMENT AS “PROFESSIONAL INVESTOR” (INDIVIDUAL)
專業投資者（個人）申請書

1. Treatment as a “professional investor”

「專業投資者」之待遇

I hereby declare that I am an individual have currently a portfolio (note (1) below) of not less than HK\$8 million when any one or more of the following are taken into account—:

本人謹此聲明：本人為個人客戶，並且在計算以下任何一個或多於一個項目時，擁有的投資組合（見以下附註(1)）不少於 HK\$8,000,000—

(a) a portfolio in my own account;

本人的帳戶內的投資組合；

(b) a portfolio in a joint account with my associate (note (2) below);

本人聯同其有聯繫者（見以下附註(2)）於某聯權共有帳戶內的投資組合；

(c) my share of a portfolio in a joint account with a person other than my associate (note (3) below);

本人聯同一名或多於一名其有聯繫者以外的人士於某聯權共有帳內的投資組合中所佔部分（見以下附註(3)）；

(d) a portfolio of a corporation which currently has as its principal business the holding of investments and is wholly owned by me; and

現時主要業務是持有投資項目並由本人全資擁有的法團的投資組合；和

(e) my share of a portfolio of a corporation which currently has as its principal business the holding of investments and is not wholly owned by me.

現時主要業務是持有投資項目並由本人及多於一名人士全資擁有的法團的投資組合。

Notes

附註

(1) Portfolio shall include 投資組合包括：

(a) securities;

證券；

(b) a certificate of deposit issued by

由以下機構發行之存款證

(i) an authorized financial institution;

認可財務機構;

Or

或者

(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;

(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 該人、法團或合夥持有的款項投資組合。

(2) The term of “my associate” shall mean my spouse or any child.

「有聯繫者」詞語，就任何個人而言，指該人的配偶或任何子女。

(3) For the purposes of paragraph (c), my share of a portfolio in a joint account with a person other than my associate is—

為了施行（c）款而言，本人聯同一名或多於一名其有聯繫者以外的人士於某聯權共有帳內的投资組合中所佔部分是一

(a) my share of the portfolio, as specified in a written agreement between the accountholders; or

為賬戶持有人之間訂立的書面協議中指明，本人於該投資組合中所佔部分; 或

(b) in the absence of an agreement referred to in paragraph (a), an equal share of the portfolio.

如沒有訂立（a）段所述的協議，則為於投資組合中平均所佔部分。

I further declare that I will provide/ have provided Gransing Securities Company Limited (“GSCL”) with the relevant supporting documents issued within the required period as evidence to prove my fulfillment of the requirements as to be classified as a “professional investor” pursuant to the Securities and Futures Ordinance (Cap.571) (“SFO”).

本人進一步確認 本人將會/已經向國投證券有限公司（下稱「國投證券」）提供所有於指定期內發出的相關證明檔，以證明本人符合《證券及期貨條例》（第 571 章）（下稱「證券及期貨條例」）中有關「專業投資者」的定義所描述的人士。

At the same time, I am now applying to become a “Professional Investor” defined by the Code of Conduct for Licensees or Registrants of the Securities and Futures Commission (hereinafter referred to as the “Code of Conduct”).

同時，本人現向國投證券申請成為《證券及期貨事務監察委員會持牌人或註冊人操守準則》（下稱「操守準則」）定義之「專業投資者」。

2. Compliance with the Code

遵守「操守準則」

I understand that GSCL, as a licensed corporation registered with the Securities and Futures Commission to carry

on Type 9 (asset management) regulated activities for the purposes of the SFO, is ordinarily required to comply with the business conduct rules set out in the Code in the provision of the services to us. GSCL is, however, in certain circumstances permitted to dispense with certain specific business conduct rules in the Code in respect of its dealings with a “professional investor” as defined in the Code.

本人明白國投證券根據證券及期貨條例於香港證券及期貨監察委員會註冊之持牌機構經營第九類(提供資產管理)之受規管活動，在向本人提供服務的同時，一般情況下須遵守「操守準則」中所訂與業務操守有關的規則。然而，國投證券在某些情況下，在與「操守準則」中定義之「專業投資者」往來時，可獲免除遵守「操守準則」中一些與業務操守有關的特定規則。

Waived Rules:

獲放寬的條文:

- (a) Information for clients, GSCL will not be required to:
國投證券將不需要：
- (i) inform me about GSCL or the identity or status of GSCL’s employees or others acting on behalf of GSCL; or
向客戶提供有關持牌人或註冊人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；
 - (ii) confirm me promptly the essential features of a transaction after effecting a transaction for me; or
為客戶完成交易後，盡快向該客戶確認有關該宗交易的重點；及
 - (iii) provide me with any documentation on the Nasdaq-Amex Pilot Program.
向客戶提供關於納斯達克－美國證券交易所試驗計劃的資料文件。

Right to withdraw from being treated as a “professional investor”:

撤回被視為「專業投資者」之資格:

I understand that I have the right, at any time, to object to being treated as a “professional investor” as described above and request to withdraw from being so treated by giving GSCL written notice of not less than 5 business days.

本人明白本人於任何時候均擁有權利反對及撤回被視為「專業投資者」之資格，唯該等要求需要最少五個工作天前向國投證券以書面提出。

I agree that unless and until GSCL receives a written notice of my relevant objection and withdrawal qualification, GSCL has the right to treat me as a “professional investor” and I will Assume relevant risks and consequences. Any request to withdraw my “professional investor” qualifications from me will not hinder or affect the services provided by GSCL to me before the withdrawal request becomes effective

本人同意除非及直至國投證券收到本人有關的反對及撤回資格之書面通知，國投證券有權將本人視為「專業投

資者」及本人將承擔相關的風險及後果。有關任何本人撤回「專業投資者」資格的要求，在該撤回要求生效前，均不會妨礙及影響國投證券向本人提供的服務。

Client Signature

客戶簽署

Client Name

客戶姓名

Date

日期

For completion by GSCL staff

由國投證券員工填寫

Frontline Staff

I hereby confirm that 我在此確認:-

- (a) I have done assessment on the Client in accordance with section 3 of the Securities and Futures (Professional Investor) Rules; and 我已按照《證券及期貨(專業投資者)規則》(第571D章)第3條對客戶進行評估; 及
- (b) I have seen the original / certified true copy of the supporting documents requested in this Assessment Form. 我已按照本評估表格的要求, 查閱相關證明檔的原件/經公證的文件副本。

Signature:

簽名

Full Name:

全名:

CE No.:

中央編號:

Date:

日期:

Account Opening Team

Reviewed by: Date:

Date of Assets Proof

(internal / external records)

Approve / Reject

Approval Remarks

CMS/ Inputted by: Date:

Checked by
