

Application for Professional Investor Status 「專業投資者」申請書

Client Name 客戶名稱: _____

Account Number 帳戶號碼: _____

Pursuant to the conditions set out in section 3 of the Securities and Futures (Professional Investor) Rules ("Professional Investor Rules"), Chapter 571D of the Securities and Futures Ordinance, this section aims to establish your definition and category as a Professional Investor.

根據《證券及期貨條例》（第 571D 章）《證券及期貨（專業投資者）規則》（「專業投資者規則」）第 3 條所列的條件，本部分旨在確立您被視為專業投資者的定義及類別。

Category of Professional Investor 專業投資者類別	Criteria 準則	Relevant Supporting Documents 相關證明文件
☐ Individual - Individually or jointly with his/her associates (spouse or child) holding a joint account 個人 - 單獨或聯同其有聯繫者（配偶或其子女）擁有一個聯名帳戶	On the relevant date, has a portfolio of investments [#] of not less than HK\$8,000,000 or its equivalent in any foreign currency. 在有關日期擁有不少於港幣\$8,000,000 或等值外幣的投資組合 [#] 。	☐ Certification document issued by an auditor or certified public accountant within the last 12 months. 由核數師或註冊會計師於最近12個月內發出的證明檔。 ☐ Account statements for the client's individual account or joint account opened with his/her associates, within the last 12 months (more than one statement may be submitted to prove that the total asset value meets the threshold). 客戶的個人或與其有聯繫者開立的聯名帳戶，於最近12個月內的戶口結單（可提交多於一份，以證明總資產值達標）。
☐ Trust Corporation 信託法團 - The trust corporation acts as the trustee of a trust - 信託法團作為信託的信託人	The total assets of which, on the relevant date, are not less than HK\$40,000,000 or its equivalent in any foreign currency. 在有關日期的總資產，不少於港幣\$40,000,000 或等值外幣。	☐ Audited financial statements issued by the trust corporation's auditor within the last 16 months. 由該信託法團的核數師於最近16個月內發出的經審計財務報表。 ☐ Account statements for the trust corporation within the last 12 months (more than one statement may be submitted to prove that the total asset value meets the threshold). 該信託法團於最近12個月內的戶口結單（可提交多於一份，以證明總資產值達標）。
☐ Corporation or Partnership 法團或合夥	On the relevant date, has a portfolio of investments of not less than HK\$8,000,000 or its equivalent in any foreign currency; or the total assets of which, on the relevant date, are not less than HK\$40,000,000 or its equivalent in any foreign currency. 在有關日期擁有不少於港幣\$8,000,000 或等值外幣的投資組合；或在有關日期的總資產，不少於港幣\$40,000,000 或等值外幣。	☐ Audited financial statements issued by the corporation or partnership's auditor within the last 16 months. 由該法團或合夥的核數師於最近16個月內發出的經審計財務報表。 ☐ Account statements for the trust corporation within the last 12 months (more than one statement may be submitted to prove that the total asset value meets the threshold). 該法團或合夥於最近12個月內的戶口結單（可提交多於一份，以證明總資產值達標）。
☐ Other Corporation - Any corporation whose sole business is holding investments and which is wholly owned by one or more individuals/ corporations/ partnerships or trust corporations who are Professional Investors as described above 其他法團 - 任何以持有投資項目作唯一業務的法團，而該法團是由一位或多於一位就以上所述之專業投資者的個人/法團/合夥或信託法團全資擁有	Same as above 同上	☐ Document capable of showing that the corporation is wholly owned by one or more individuals, corporations/ partnerships or trust corporations. 能夠顯示該法團由一位或多於一位個人、法團/合夥或信託法團全資擁有的證明檔。

[#] A portfolio of investments includes cash*/deposits, certificates of deposit and/or securities**

[#] 投資組合包括現金*/存款，存款證和/或證券**

* Cash includes current/savings deposits, time deposits, structured deposits, etc.

* 現金包括往來/儲蓄存款，定期存款，結構性存款等

** Securities include stocks, bonds, debentures, notes, funds, warrants, options and other products defined under the Securities and Futures Ordinance

** 證券包括股票，債券，債權，票據，基金，窩輪，期權等其他根據證券和期貨條例定義的產品

Appendix – Risks and Consequences of Being Treated as a Professional Investor

附件—被視為專業投資者的風險及後果

Pursuant to the "Code of Conduct," if you or the corporation you represent qualify as a "Professional Investor" under paragraphs 15.3A and 15.3B of the "Code of Conduct," Well Link Securities Limited ("WLSL") will not be required to comply with the following rules in the "Code of Conduct" relating to business conduct ("Relaxed Provisions"), which include:

根據「操守準則」，如閣下或閣下所代表的法團符合「操守準則」之第 15.3A及15.3B 段下之「專業投資者」資格，立橋證券有限公司（「立橋證券」）將不需要遵守「操守準則」中所訂與業務操守有關的下列規則（「獲放寬的條文」），（「獲放寬的條文」）包括：

Exemptions applicable to Corporate Professional Investors (provided that the licensed person or registered institution has complied with the requirements of paragraphs 15.3A and 15.3B of the "Code of Conduct") and Institutional Professional Investors (Paragraph 15.4 of the "Code of Conduct")

適用於法團專業投資者(前提是持牌人或註冊人已遵從「操守準則」第 15.3A 及 15.3B 段的規定)及機構專業投資者的豁免條文（「操守準則」第 15.4 段）

A. Information About Clients 有關客戶的資料

WLSL will not be required to establish my/our financial situation, investment experience and investment objectives, nor ensure that any recommendation or solicitation made to me/us by WLSL is suitable.

「立橋證券」將不須確立本人/吾等的財政狀況、投資經驗和投資目標，及不須確保「立橋證券」向本人/吾等所作出的建議或招攬行為是合適的。

B. Client Agreement 客戶協議書

WLSL will not be required to enter into a written agreement with me/us and will not be required to provide me/us with the relevant risk disclosure statements as required by the "Code of Conduct."

「立橋證券」將不須與本人/吾等訂立書面協議書及不須按「操守準則」之要求向本人/吾等提供相關的風險披露聲明。

C. Discretionary Accounts 全權委託帳戶

WLSL will not be required to obtain written authorization from me/us before effecting transactions for me/us that are not specifically authorized by me/us, nor explain such authorization to me/us, and such authorization will not need to be confirmed annually.

「立橋證券」在為本人/吾等進行未經本人/吾等特定授權的交易之前，不須向本人/吾等取得該書面授權，並且不須向本人/吾等解釋該項授權，及該項授權不須每年確認該項授權一次。

D. Classification of Investors 投資者分類

WLSL will not be required to assess my/our knowledge of derivatives and classify me/us based on my/our knowledge of derivatives.

「立橋證券」將不須要評估本人/吾等對衍生工具的認識，及根據本人/吾等對衍生工具的認識將之分類。

E. Provision of Information to Clients 為客戶提供資料

Disclosure of Sales-related Information Before or At the Point of Sale of Investment Products to Me/Us WLSL will not be required to provide me/us with the following information, including:

在向本人/吾等銷售投資產品之前或之時披露銷售相關資料「立橋證券」將不須要向本人/吾等提供下述資料，包括：

I. The capacity in which WLSL is acting;

「立橋證券」是以何種身份行事;

II. The association of WLSL with the product issuer;

「立橋證券」與產品發行商的關聯;

III. Disclosure of information relating to monetary and non-monetary benefits; and

披露有關金錢及非金錢收益的資料; 及

IV. A general description of the terms and conditions under which WLSL provides fee and charge discounts to clients.

概括地說明「立橋證券」向客戶提供費用及收費折扣的條款及細則。

F. WLSL will not be required to ensure the suitability of complex product transactions, provide adequate information about complex products, and provide warning statements.

「立橋證券」將不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。

Exemptions applicable to Corporate Professional Investors and Individual Professional Investors (provided that the licensed person or registered institution has complied with the requirements of paragraph 15.3B) and Institutional Professional Investors (Paragraph 15.5 of the "Code of Conduct")

適用於法團專業投資者及個人專業投資者(前提是持牌人或註冊人已遵從第 15.3B 段的規定及機構專業投資者的豁免條文（「操守準則」第 15.5 段）

A. Provision of Information to Clients 為客戶提供資料

WLSL will not be required to: 「立橋證券」將不須:

I. Provide me/us with information concerning the identity and employment status of WLSL and its employees and other persons representing WLSL;

向本人/吾等提供有關「立橋證券」及代表「立橋證券」的雇員和其他人士的身分和受雇狀況的資料;

II. Confirm the essential features of a transaction to me/us as soon as practicable after effecting the transaction for me/us;

在為本人/吾等進行交易後，儘快向本人/吾等確認該宗交易的重點;

III. Provide me/us with information documents concerning the NASDAQ-Amex Pilot Program.

向本人/吾等提供關於納斯達克-美國證券交易所試驗計畫的資料文件。

Confirmation of Being Treated as a Professional Investor

確認被歸類為專業投資者

I/We consent to be treated as a Professional Investor. I/We have read, understood and accepted the contents of the **Appendix - Risks and Consequences of Being Treated as a Professional Investor** provided by Well Link Securities Limited, including the risks and consequences of being treated as a Professional Investor. I/We have the right to withdraw the consent to be treated as a Professional Investor and to seek independent advice as desired.

本人／吾等同意被視為專業投資者。本人／吾等已閱讀由立橋證券有限公司所提供之**附件一被視為專業投資者的風險及後果**，並明白及接受當中內容，包括被視為專業投資者的風險及後果，本人／吾等擁有撤回被視為專業投資者以及按照意願接受獨立建議的權利。

I/We further confirm and declare that I/We have received the above explanations in a language that I/We understand. I/We confirm and accept the contents of this declaration and have not relied on any statement, warranty, representation, or undertaking not contained herein. I/We declare and represent that the statements made by me/us are true, complete and correct.

本人／吾等亦確認及聲明本人／吾等通過一種本人／吾等明白的語言得到以上的解釋。本人／吾等確認及接受此聲明書的內容，同時本人／吾等沒有依靠任何不在此載有的任何聲明、保證、陳述、或承諾。本人／吾等聲明及表示本人／吾等所作的聲明乃真實、完整及正確。

I/We understand that I/We have the right at any time to object to and withdraw the qualification of being treated as a "Professional Investor," provided that such request must be made in writing to WLSL at least five business days in advance. I/We agree that unless and until WLSL receives my/our written notice of objection and withdrawal of qualification, any request by me/us to withdraw the "Professional Investor" qualification will not impede or affect the services provided to me/us by WLSL before the withdrawal takes effect.

本人／吾等明白本人／吾等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「立橋證券」以書面提出。本人／吾等同意除非及直至「立橋證券」收到本人／吾等有關的反對及撤回資格之書面通知，有關任何本人／吾等撤回「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「立橋證券」向本人／吾等提供的服務。

☐ The undersigned confirms that all the above contents have been read and clearly understood, and agrees to be treated as a Professional Investor.

簽署人確認已細閱並清楚明白以上全部內容，且同意被歸類為專業投資者。

Client Signature 客戶簽署: _____

Date 日期: _____ Year 年 _____ Month 月 _____ Day 日

(For corporate clients, signed by the authorized person and affixing the company chop) (公司客戶由授權人簽署及公司蓋章)

Client / Company and Authorized Person Name 客戶/公司及授權人名稱: _____ Account Number 帳戶號碼: _____

FOR INTERNAL USE ONLY 以下由內部填寫	DATE 日期
Customer Service Staff (C.S.) / Account Executive (A.E.) Signature 客服職員(C.S.) / 經紀(A.E.)簽署： ☐ Relevant supporting documents attached 附上有關證明文件:	
Settlement Department Signature Verification Signature 交收部核對簽名簽署：	
Responsible Officer (R.O.) Signature 負責人員簽署：	
Compliance Department Review Signature 合規部複核簽署： Supporting documents reviewed by Compliance Department 證明文件由合規部審核： ☐ Compliant 符合規定 ☐ Not Compliant 不符合規定 Approval Opinion 審批意見：	
Signature of the staff responsible for updating the client's account level to PI in the system (Settlement Department) 交收部負責更新系統內客戶帳戶級別為 PI 的執行人簽署：	

(Questionnaire) Assessment of "Professional Investor" Investment Experience and Knowledge Level (問卷) 「專業投資者」就投資經驗及知識水平的評估

Pursuant to the requirements set out in paragraph 15.3 of the Securities and Futures Commission's Code of Conduct for Persons Licensed by or Registered with the SFC ("Code of Conduct"), before accepting a client as a Professional Investor and relaxing certain specific conditions for them, Well Link Securities Limited (hereinafter referred to as "WLSL") should assess and reasonably satisfy itself that the client possesses extensive knowledge and sufficient professional expertise regarding the relevant products and markets. Therefore, please complete the following questions to enable WLSL to make a reasonable assessment:

根據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」)第 15.3 段所列的要求，在接納客戶成為專業投資者，並對其放寬某些特定條件前，立橋證券有限公司（下稱「立橋證券」）應評估及合理地信納該客戶對有關產品及市場有豐富的認識及具備足夠的專業知識。故此，請填寫以下資料問題，以便立橋證券能夠作出合理的評估：

LEVEL OF INVESTMENT EXPERIENCE AND KNOWLEDGE 投資經驗及知識的水平				
Investment Type 投資類別	Less than 1 year 少於一年	1 - 5 years 一至五年	6 - 10 years 六至十年	More than 10 years 多於十年
■ Stocks 股票	☐	☐	☐	☐
■ Listed Derivatives 上市衍生商品	☐	☐	☐	☐
■ Margin Trading 保證金交易	☐	☐	☐	☐
■ Futures 期貨	☐	☐	☐	☐
■ Options 期權	☐	☐	☐	☐
■ Foreign Exchange 外匯	☐	☐	☐	☐
■ Precious Metals 貴金屬	☐	☐	☐	☐
■ Bonds and Funds 債券及基金	☐	☐	☐	☐
■ Virtual Currency 虛擬貨幣	☐	☐	☐	☐
■ Others, please specify 其他，請說明：	☐	☐	☐	☐

Level of Investment Experience and Knowledge - The levels of investment experience described in the above table should be interpreted as follows:
投資經驗及知識的水平 - 就上列表格所述，該等投資經驗的水平應作以下解釋：

Less than 1 year 少於一年 LIMITED / NONE 甚少 / 全無	The client has limited or no investment experience and knowledge in that asset class or product type. 客戶對該等資產類別或產品類型只有甚少或完全沒有無任何投資經驗或認識。
1 - 5 years 一至五年 MODERATE / REASONABLE 中等 / 合理	The client has certain degree of investment experience and reasonable knowledge of that asset class or product type. 客戶對該等資產類別或產品類型具有一定程度投資經驗或合理認識。
6 - 10 years 六至十年 EXTENSIVE / PROFOUND 豐富 / 資深	The client has extensive investment experience and profound knowledge of that asset class or product type. 客戶對該等資產類別或產品類型具有豐富的投資經驗或資深認識。
More than 10 years 多於十年 ADVANCED / COMPREHENSIVE 進階 / 全面	The client has advanced investment experience and comprehensive knowledge of that asset class or product type. 客戶對該等資產類別或產品類型具有進階的投資經驗與全面的認識。

SOPHISTICATED PROFESSIONAL INVESTOR (SPI) ELIGIBILITY 高淨值專業投資者 (SPI) 資格評估	
Degree of Sophistication 專業知識與投資經驗：	
Please check at least one box below to demonstrate market sophistication / 請勾選以下至少一項以證明您的專業市場認知：	
☐ Academic/Professional Qualification: I hold a higher education degree or professional qualification in finance, economics, accounting, or a related discipline (e.g., CFA, CPA, FRM). 學術/專業資格：我持有金融、經濟、會計或相關學科的高等教育學位或專業資格（例如：CFA、CPA、FRM）。	
☐ Financial Sector Employment: I have at least one year of relevant work experience in a professional position within the financial services sector. 金融業從業經驗：我於金融服務業內擔任專業職位，並具備至少一年的相關工作經驗。	
☐ Recent Trading Track Record: I have executed at least 5 transactions within the relevant complex/derivative asset class in the past 3 years. 近期交易紀錄：我在過去 3 年內，曾就相關的複雜或衍生資產類別執行過至少 5 筆交易。	
Investment Objective Declaration 投資目標聲明：	
☐ I/We confirm that my primary investment objective for this account is NOT capital preservation or conservative income generation. 本人/吾等確認，本帳戶的首要投資目標並非資本保值或保守型收益。	

☐ The undersigned declares that the information provided in the above questionnaire is true, complete, and accurate.
簽署人聲明以上問卷內提供的資料均為真實、完整及準確。

Client Signature 客戶簽署: _____ Date 日期: _____ Year 年 _____ Month 月 _____ Day 日
(For corporate clients, signed by the authorized person and affixing the company chop) (公司客戶由授權人簽署及公司蓋章)

Client / Company and Authorized Person Name 客戶/公司及授權人名稱: _____ Account Number 帳戶號碼: _____