



**Application for Treatment as a Professional Investor (Individual)**  
**專業投資者申請書 (個人)**

Client Name 客戶姓名:
Account No 帳戶號碼:
Application Date 申請日期:

**1. Classification of Individual Professional Investor**  
**個人專業投資者的歸類**

Pursuant to the requirements under Section 3 of the Securities and Futures (Professional Investor) Rules (Cap. 571D) ("Professional Investor Rules"), I/we declare and confirm that I/we are a Professional Investor within one of the following types: (please select ONE type and submit valid and original or certified true copy of supporting documents).

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，本人/吾等聲明及確認本人/吾等是以下其中一種專業投資者的類別（請只選擇一種類別，並提交有效及正本/已確認為真確副本的證明文件）。

Type 類別	Criteria 準則	Supporting Documents 證明文件
<b>Individual</b> – An individual has any one or more of the followings: <b>個人</b> – 個人符合以下或多於一項： <ul style="list-style-type: none"> <li><input type="checkbox"/> (a) A portfolio in his own name; 以其個人名義持有的投資組合；</li> <li><input type="checkbox"/> (b) A portfolio on a joint account with his/her associate; 他聯同其有聯繫者於某聯權共帳戶的投資組合；</li> <li><input type="checkbox"/> (c) His share of a portfolio on a joint account with one or more persons other than his associate; or 他聯同一名或多於一名其有聯繫者以外的人仕於某聯權共有帳戶內的投資組合所佔部份；或</li> <li><input type="checkbox"/> (d) A portfolio of a corporation which, at the relevant date, has as its principle business the holding of investments and is wholly owned by him. 在有關日期的主要業務是持有投資項目並在有關日期由他全資擁有的法團的投資組合。</li> </ul>	Has a portfolio of not less than HK\$8 million (or equivalent in any foreign currency) at the relevant date. 在有關日期擁有不少於港幣 8 佰萬 (或等值外幣) 的投資組合。	<input type="checkbox"/> A statement of account or a certificate issued by a custodian issued within 12 months before the relevant date. 在有關日期前 12 個月內由保管人發出的帳戶結單或證明書。
		<input type="checkbox"/> A certificate issued by an auditor or a certified public accountant within 12 months before the relevant date. 在有關日期前 12 個月內由核數師或會計師發出的證明書。
		<input type="checkbox"/> A public filing submitted by or on behalf of the individual within 12 months before the relevant date. 在有關日期前 12 個月內由或代表個人呈交的公開檔案。

**2. Compliance with the Code 遵守「操守準則」**

I/We understand that HTF Securities Limited ("HTFSL"), as a licensed corporation registered with the Securities and Futures Commission to carry on Type 1 (Dealing in Securities), 4 (Advising on Securities) and 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. HTFSL 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 / 吾等明白 瑞豐國際證券有限公司（「瑞豐國際證券」）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一類（證券交易）第四類（就證券提供意見）及第九類（提供資產管理）之受規管活動，在向本人 / 吾等提供服務的時，一般情況下填遵守「操守準則」中所訂與業務操守有關的規則。然而，瑞豐國際證券在某些情況下，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。

**3. Risks and Consequences of being treated as a Professional Investor**  
**被視為專業投資者的風險及後果**

I/We hereby confirm that I/we fully understand the following waived rules that arise from being treated as a "professional investor". 本人 / 吾等 確認本人 / 吾等清楚明白下列被視為「專業投資者」後所獲放寬的條文。

I/We understand that HTFSL is not required to comply with certain requirements of the Code and other relevant Hong Kong regulations, I/we hereby agree that HTFSL has no regulatory obligations to: 本人 / 吾等 明白瑞豐國際證券不需要履行「操守準則」及香港其他相關法規中的某些要求，本人 / 吾等 同意瑞豐國際證券並無法規義務：

- (i) inform me about HTFSL or the identity or status of HTFSL's employees or others acting on behalf of HTFSL;  
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 to me promptly the essential features of a transaction after effecting a transaction for me;  
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；
- (ii) 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。

#### 4. Right to withdraw from being treated as a "professional investor" 撤回被視為「專業投資者」之權利

I/We understand that I/we have the right, at any time, to object to being treated as a "Professional Investor" (whether in respect of all Products or Markets or any part thereof) by giving HTFSL a written notice of not less than 5 working days.

本人/吾等明白有權隨時通過向瑞豐國際證券發出不少於 5 個工作日的書面通知，反對被視為「專業投資者」（無論是關於所有產品或市場或其任何部分）。

I/We agree that unless and until HTFSL receives from me/us written notification of our objection and withdrawal, HTFSL will be entitled to treat me/us as a "professional investor" as described above with its attendant risks and consequences. Any request by me/us to withdraw from being treated as a "professional investor" shall be without prejudice to and shall not affect the provision of any services rendered to me/us on the basis that I/we am/are a "professional investor" prior to such withdrawal taking effect.

本人/吾等同意除非及直至瑞豐國際證券收到本人/吾等有關反對及撤回資格之書面通知，瑞豐國際證券有權將本人/吾等視為「專業投資者」及本人/吾等將承擔相關的風險及後果。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，均不會妨礙及影響瑞豐國際證券向本人/吾等提供的服務。

I/We understand that HTFSL also have the right at any time to stop treating me/us as a Professional Investor by giving me/us a written notice of not less than FIVE working days. Upon expiry of such period, HTFSL will not be under any obligation to provide me/us with any service unless I/We execute such agreements and/or documents as HTFSL may require.

本人/吾等明白瑞豐國際證券亦有權透過最少提前 5 個工作日向本人/吾等發出的書面通知，隨時停止將本人/吾等視為專業投資者。除非本人/吾等另行簽署瑞豐國際證券要求的該等協議及/或檔，在該通知期完結後，瑞豐國際證券將無須為本人/吾等提供任何服務。

#### 5. Client declare and confirm 客戶聲明及確認

All the information provided in this "Professional Investor Application Form" (including the supporting documents) is true, complete, correct and accurate; 所有填寫於本『專業投資者申請書』之資料 (包括證明文件) 均屬真實、完整及準確無訛；

I/We confirm and agree with the terms set out in this form and the risks and consequences of being treated as a PI. The risk disclosure statements are provided in a language of my / our choice and we have been invited to take independent advice as we wish. 本人/吾等確認及明白被視為專業投資者的風險及結果，風險披露聲明已按本人/吾等選擇的語言獲得並同意本聲明書上所列的條款，本人/吾等亦已被邀請就本人/吾等所願，徵求獨立意見。

I/We give me/us consent to being classified by HTFSL 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/吾等同意被瑞豐國際證券界定為一位專業投資者；

I/We undertake to notify HTFSL immediately in writing if I/we change me/us financial situations that may affect me/us eligibility for being classified as a Professional Investor. 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，響本人/吾等承諾會立刻以書面方式通知瑞豐國際證券。

Client Name 客戶姓名 \_\_\_\_\_

A/C No 戶口號碼：\_\_\_\_\_

Date 日期：\_\_\_\_\_

Client Signature 客戶簽署



## 6. Declaration by Licensed Staff 持牌職員聲明

I confirm that 本人確認： 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，並已邀請客戶閱讀本申請書、提出問題及徵求獨立的意見 (如客戶有此意願)；  The Client has provided me a valid original/certified true copy of the supporting documents as an assessment of portfolio. 客戶已提交有效的正本/已確認為真確副本的證明檔，作為投資組合的評估。		
Signature 簽署 x	Name of Licensed Person 持牌人士姓名:	CE No. 中央編號： Date 日期:

## 7. Review

Application for Treatment as a Professional Investor (Individual)	A/C Name :	
	A/C No. :	Application Date : Effective Date :

<b>Supporting documents for portfolio?</b> (e.g. statements of past 12 months from banks / custodians / fund houses/ other financial institutions / latest audited accounts)	<input type="checkbox"/> No <input type="checkbox"/> Yes, _____ Supporting Doc(s) Portfolio : HKD _____
---	---

## 8. Assessment Result

Financial assets threshold met? <input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> <b>Approve</b>	<input type="checkbox"/> <b>Reject</b> : Comment (if necessary)

Signature	Handled by AE/CS x	Reviewed by Compliance Officer x	Approved by RO x	BOS inputted by x
Name				
Date				

## Glossary

### 詞彙

**Associate** means a client's spouse or child.

**有聯繫者**指客戶的配偶或子女。

**Custodian** means: –

- (1) 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
  - (2) 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:
    - (i) An authorized financial institution;
    - (ii) A bank which is not an authorized financial institution, but is regulated under the law of any place outside Hong Kong;
    - (iii) A licensed corporation;
    - (iv) A person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong.
- Whose business includes acting as a custodian of securities or other property for another person, whether on trust or by contract.

**保管人**指–

- (1) 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
- (2) 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) 的下述人士—
  - (i) 認可財務機構；
  - (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人；
  - (iii) 持牌法團；
  - (iv) 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。

**Custodian Statement** means a statement of account issued by a custodian.

**保管人結單**指由保管人發出的帳戶結單。

**Portfolio** means a portfolio comprising any of the following: –

- (1) Securities;
- (2) A certificate of deposit issued by–
  - (i) An authorized financial institution; or
  - (ii) A bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
- (3) In relation to any individual, corporation or partnership, money held by a custodian for the individual, corporation or partnership.

**投資組合**指由任何下述項目組成的投資組合–

- (1) 證券；
- (2) 由–
  - (i) 認可財務機構發行的存款證；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證；
- (3) 就任何人、法團或合夥而言，由保管人替該人、法團或合夥持有的款項。

**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.

**公開檔案**指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。

**Relevant Date** –

- (1) In the case of an advertisement, invitation or document described in Section 103(3)(k) of the Ordinance, means the date on which the advertisement, invitation or document is issued, or possessed for the purposes of issue;
- (2) In the case of a call described in Section 174(2) (a) of the Ordinance, means the date on which the call is made;
- (3) 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
- (4) 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**–

- (1) 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；
- (2) 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；
- (3) 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
- (4) 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，指該日期。