

Realord Asia Pacific Securities Limited

偉祿亞太證券有限公司

INDIVIDUAL PROFESSIONAL INVESTOR DECLARATION FORM

個人專業投資者聲明書

Section 1: Classification as an Individual Professional Investor

第一部分：被視為個人專業投資者

I/We are qualified to be treated as a Professional Investor under the category of persons described in paragraph (j) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO and section 3(b) of the Securities and Futures (Professional Investor) Rules (“Professional Investor Rules”) as described below and agree to be treated as such (“Individual Professional Investor”).

本人/吾等合資格被視為於證券及期貨條例附表 1 第 1 部分 “專業投資者” 定義第(j)段及下文證券及期貨(專業投資者)規則(“專業投資者規則”)第 3(b)條所述類別人士之專業投資者(“個人專業投資者”)，並同意被視為個人專業投資者。

A high net worth individual investor, either alone or with his/her spouse or any child on a joint account, having a portfolio of cash held for such person or persons by a custodian and/or securities of not less than HKD8 million (or its foreign currency equivalent) at the relevant date (“Individual”) qualifies as a “professional investor” under section 3(b) of the Professional Investor Rules.

託管人於相關日期代其(無論單獨或連同其配偶或子女的聯名帳戶)持有的現金及/或證券組合不少於 8,000,000 港元(或其等值外幣)的高淨值個人投資者(“個人”)，合資格作為專業投資者規則第 3(b)條項下的 “專業投資者”。

I/We agree to provide documentary evidence sufficient to verify my/our financial status as above upon request.

本人/吾等同意應要求提供充分的書面證明，以核證吾等的上述財務狀況。

Section 2: Treatment as an Individual Professional Investor

第二部分：個人專業投資者的待遇

Contract Notes, Statements of Account and Receipts

成交單據、帳戶結單及收據

As a consequence of Realord Asia Pacific Securities Limited treating me/us as a Professional Investor, I/we agree that Realord Asia Pacific Securities Limited is not required to provide me/us with contract notes, statements of account or receipts under the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules. Notwithstanding this requirement, I/we understand that Realord Asia Pacific Securities Limited may continue to provide me/us with certain information, including statements setting out the particulars of any transaction, even though Realord Asia Pacific Securities Limited is not obliged to do so.

由於偉祿亞太證券有限公司將本人/吾等視為專業投資者，本人/吾等同意偉祿亞太證券有限公司毋須根據證券及期貨(成交單據、帳戶結單及收據)規則向本人/吾等提供成交單據、帳戶結單或收據。儘管有此規定，本人/吾等認為偉祿亞太證券有限公司或會繼續向本人/吾等提供若干資料(儘管偉祿亞太證券有限公司並無此義務)，包括載有任何交易詳情的結單。

Information for Clients

為客戶提供資料

Upon your consent to treatment as an Individual Professional Investor under the Code of Conduct for Persons Licensed by or Registered with the SFC (“Code”), Realord Asia Pacific Securities Limited will not be required to fulfil certain regulatory requirements under the Code. While Realord Asia Pacific Securities Limited may perform some or all of the following in providing services to Professional Investors, Realord Asia Pacific Securities Limited is not required under the Code to do the following:

Realord Asia Pacific Securities Limited

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於閣下同意被視為證券及期貨條例持牌人或註冊人操守準則（“準則”）項下的個人專業投資者後，偉祿亞太證券有限公司毋須遵守準則下若干監管規定。儘管偉祿亞太證券有限公司在為專業投資者提供服務時或會履行下列部分或全部職責，但根據準則，偉祿亞太證券有限公司並無義務履行下列職責：

(a) inform the Individual Professional Investor about Realord Asia Pacific Securities Limited's business and the identity and status of its employees and others acting on Realord Asia Pacific Securities Limited's behalf with whom the Individual Professional Investor will have contact;

向個人專業投資者告知偉祿亞太證券有限公司的業務以及其僱員及個人專業投資者將會聯繫的其他代表偉祿亞太證券有限公司行事人士的身份及地位;

(b) confirm promptly with the Individual Professional Investor the essential features of a transaction after effecting a transaction for the Individual Professional Investor; and

每次個人專業投資者進行交易後，即時向個人專業投資者核實交易的基本情況; 及

(c) provide the Individual Professional Investor with the documentation on the Nasdaq-Amex Pilot Program.

向個人專業投資者提供納斯達克-美國證券交易所試驗計劃資料文件。

Treatment as an Individual Professional Investor

個人專業投資者的待遇

Under the Code, the Individual Professional Investor has the right to withdraw from being treated as an Individual Professional Investor at any time in respect of all investment products or markets or any part thereof by giving written notice to Realord Asia Pacific Securities Limited

根據準則，個人專業投資者有權隨時向偉祿亞太證券有限公司及出書面通知，就所有投資產品或市場或其任何部分停止被視為個人專業投資者。

Changes in Status

身份變更

The Individual Professional Investor must inform Realord Asia Pacific Securities Limited in writing immediately if the Individual Professional Investor no longer falls into the categories of persons described in paragraph (j) of the definition of "professional investor" in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.

倘個人專業投資者不再屬於證券及期貨條例附表 1 第 1 部分 “專業投資者” 定義第(j)段及專業投資者規則所述類別的人士，則必須即時以書面形式通知偉祿亞太證券有限公司。

Realord Asia Pacific Securities Limited

偉祿亞太證券有限公司

Section 3: Declaration

第三部分：聲明

According to account opening mandate, you have agreed and given consent of below declaration and conditions.

根據個人開戶申請表，您已同意以下聲明及條款。

I/We agree to provide confirmation on a regular basis as required by Realord Asia Pacific Securities Limited to enable it to determine that I/we fall within paragraph (j) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.

本人/吾等應偉祿亞太證券有限公司要求，同意定期提供證明，以確保本人/吾等屬於證券及期貨條例附表 1 第 1 部分 “專業投資者” 定義第(j)段及專業投資者規則所述類別的人士。

I/We understand and agree to the provisions contained in this Individual Professional Investor Declaration Form. I/We acknowledge and declare that I/we have read and understood, and accept the contents herein, including the risks and consequences of being treated as a Individual Professional Investor; of our right to withdraw from being treated as an Individual Professional Investor; and of taking independent advice if I/we wish, and/or that the same has been explained to me/us in a language which I/we understand.

本人/吾等瞭解並同意個人專業投資者聲明書內所載條文。本人/吾等確認並聲明本人/吾等已閱讀及瞭解，並同意聲明書的內容，包括被視為個人專業投資者的風險及影響；有權停止被視為個人專業投資者；以及可依願徵求獨立意見，及/或偉祿亞太證券有限公司已經以本人/吾等瞭解的語言向本人/吾等解釋相關內容。

I/We agree to inform Realord Asia Pacific Securities Limited in writing immediately if I/we no longer fall within the categories of persons described in paragraph (j) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.

本人/吾等同意倘個人專業投資者不再屬於證券及期貨條例附表 1 第 1 部分 “專業投資者” 定義第(j)段及專業投資者規則所述類別的人士，將立即以書面形式通知偉祿亞太證券有限公司。

I/We acknowledge and accept the contents of this declaration and declare and represent that the declaration I/we make is true, complete and correct.

本人/吾等確認及同意本聲明書的內容，並聲明及指出本人/吾等作出的此項聲明屬真實、完備、準確無誤。