Realord Asia Pacific Securities Limited
偉祿亞太證券有限公司

Questionnaire for Corporate Professional Investor

公司專業投資者問卷

(For assessment of Corporate Professional Investor)

(用於評估公司專業投資者)

This Questionnaire for Corporate Clients should be read together with Section 11 of the Corporate Account Application Form. The undersigned represents that the information provided in this Questionnaire for Corporate Clients is true, complete and accurate. **公司客戶問卷應連同公司開戶申請表第11節一併閱讀。簽署人聲明公司客戶問卷內提供的資料均為真實、完整及準確。**

Part 1. Financial Information 第一部分 財務資料		
Net Profit (After Tax) and Net Asset Value of the three preceding Years 過往三年的溢利淨額(除稅後)及資產淨值:		
Year 年份:	Net profit (after tax) 溢利淨額(除稅後) (HKD):	Net Asset Value 資產淨值 (HKD):

Please select the nature of your entity 請選擇實體性質

☐ Corporation of Partnership, please go to Part 1A 公司或合夥企業，請見 1A 部分

☐ Trust Corporation, please go to Part 1B 信託公司，請見 1B 部分

☐ Investment Holding Corporation, please go to Part 1C，請見 1C 部分

Part 1A. Corporation of Partnership 第 1A 部分 公司或合夥企業

Does the entity have

-A portfolio of not less than HKD $8 Million or its equivalent in any foreign currency; or

投資組合是否不少於 8,000,000 港元或任何等值外幣；或

-Total Assets or not less than HKD $40 million or its equivalent in any foreign currency?

資產總值是否不少於 40,000,000 港元或任何等值外幣?

☐ YES 是 If yes, please provide the as following 如 "是"，請提供下列文件	☐ NO 否

Please provide one of the following documents 請提供下列其中一份文件:

- The most recent audited financial statement prepared 最近期經審核財務報表
  - In respect of the corporation or partnership (as the case maybe); and 內容有關該公司或合夥企業(視情況而定)；及
  - Within 16 months before the relevant date; or 於相關日期前 16 個月內編制；或
- One or more custodian statements issued to the corporation or partnership (as the case maybe) within 12 months before the relevant date. 於相關日期前 12 個月內提供予公司或合夥企業(視情況而定)的一份或多份保管人結單。

Part 1B. Trust Corporation 第 1B 部分 信託公司

Does the trust have a total asset of not less than HKD $40 million or its equivalent in any foreign currency?

該信託所擁有的資產總值是否不少於 40,000,000 港元或任何等值外幣?

☐ YES 是 If yes, please provide the as following 如 "是"，請提供下列文件	☐ NO 否

Please provide one of the following documents 請提供下列其中一份文件:

- The most recent audited financial statement prepared 所編制的最近期經審核財務報表
  - In respect of the trust corporation; and 內容有關該信託公司；及
  - Within 16 months before the relevant date; or 於相關日期前 16 個月內編制；或

- One or more audited financial statements, each being the most recent audited financial statement, prepared 所編制的一份或多份經審核財務報表(各自為最近期經審核財務報表)
  - In respect of the trust or any of the trusts; and 內容有關該項信託或該等信託中任何一項信託; 及
  - Within 16 months before the relevant date; or 於相關日期前 16 個月內編制; 或
- One or more custodian statements issued to the trust corporation 提供予信託公司的一份或多份保管人結單
  - In respect of the trust or any of the trusts; and 內容有關該項信託或該等信託中任何一項信託; 及
  - Within 12 months before the relevant date; or 於相關日期前 12 個月內編制; 或

Part 1C. Investment Holding Corporation 第 1C 部分 投資控股公司

Whether the sole business of the corporation is to hold investments and the corporation is wholly owned by any of the following entities:
該公司的唯一業務是否為持有投資及該公司是否由以下任何實體全資擁有:

- A corporation described in Part 1A; 第 1A 部分所述的公司;
- A partnership described in Part 1A; 第 1A 部分所述的合夥企業;
- A trust corporation described in part 1B; 第 1B 部分所述的信託公司

-An individual who, either or with his/her joint account holder (in the case of joint account), has a portfolio of not less than HKD $8 million or its equivalent in any foreign currency. 單獨或連同其聯名帳戶持有人(倘為聯名帳戶)擁有的投資組合不少於 8,000,000 港元或任何等值外幣的個人。

☐ YES 是 If yes, please provide the as following 如 "是", 請提供下列文件	☐ NO 否

Please provide one of the following documents 請提供下列其中一份文件:

- Corporate documents evidencing the ownership by the investment holding corporation.
  證明投資控股公司所有權的公司文件。
- For an owner which is a corporation, provide supporting documents set out in Part A1.
  就身為公司的擁有人而言, 提供 1A 部分所載的證明文件。
- For an owner which is a partnership, provide supporting documents set out in Part A1.
  就身為合夥企業的擁有人而言, 提供 1A 部分所載的證明文件。
- For an owner which is a trust corporation, provide supporting documents set out in Part A2.
  就身為信託公司的擁有人而言, 提供 1B 部分所載的證明文件。
- For an owner which is an individual, provide 就身為個人的擁有人而言, 提供
  - A certificate issued by an auditor or a certified public accountant of the individual within 12 months before the date of this form; or 該名個人的核數師或註冊會計師於本表格日期前 12 個月內開具的證明; 或
  - Custodian statements issued to the individual (either alone or with his/her joint account holder) within 12 months before the date of this form. 於本表格日期前 12 個月內向該名個人 (無論單獨或連同該名個人的聯名帳戶持有人)提供的保管人結單。

Part 2. Investment Processes and Controls 第 2 部分 投資流程及監控

Investment decisions are made by: 投資決定由下列部門作出:

☐ The company's or its affiliate's in-house treasury, investment or similar function.
公司或其聯屬公司的內部庫務、投資或類似職能部門。

☐ The company's or its affiliate's designated investment committee, where (a) the committee makes investment decisions on behalf of the company, or (b) investment decisions are made taking into account the advice or recommendation of the committee.
公司或其聯屬公司的指定投資委員會，前提是(a)委員會代表公司作出投資決定，或(b)考慮委員會的意見或推薦建議後作出投資決定。

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☐ An external independent investment advisory team engaged by the company or its affiliate, where (a) the committee makes investment decisions on behalf of the company, or (b) investment decisions are made taking into account the advice or recommendation of the committee. Please specify the name of this external investment advisory team:
公司或其聯屬公司委聘的外部獨立顧問團隊，前提是(a)委員會代表公司作出投資決定，或(b)考慮委員會的意見或推薦建議後作出投資決定。請註明該外部投資顧問團隊的名稱:

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☐ Others (please specify) 其他 (請註明):

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Part 3. Knowledge on Derivative Products 第三部分 對衍生產品的認識

This section should be completed by person(s) responsible for making investment decisions on behalf of the company, whether as part of the in-house treasury, investment or similar function, or otherwise. 本節須由負責代表公司作出投資決定的人士填寫，不論為內部庫務、投資或類似職能部門或其他機構。

Please complete questions 1 and 2 below (please "✓" appropriate answer in question 1)
請填寫下列問題 1 及問題 2 (請在問題 1 的適當答案加上 "✓")

	1. You have previous trading experience on (executed 40 or more transactions within the last year) 閣下擁有過往交易經驗 (於過去 1 年內曾有 40 次或以上交易記錄)。***	2. Please specify the jurisdiction(s) of the relevant market(s) in which you have traded in the last 12 months in these products.請註明 閣下於過去 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。
Stocks 股票		
Futures and options 期貨及期權		
CBBCs 牛熊證		
Unit Trust 單位信託		
Fixed Income 固定收入		
ELIs 股票掛鉤產品		
Others (please specify) 其他 (請註明)		

***Please provide supporting document(s) 請提供證明文件

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Authorized Signature(s) with Company chop
公司印章及授權簽署

Name of Client 客戶名稱:____________________ Date 日期:____________________