

Professional Investor Assessment Form 专业投资者评估表格

Part I: Client Information 第 I 部分: 客户资料	
Account name 账户名称	Account number 账户号码

Part II: Classification of Professional Investor (please select one) 第 II 部分: 专业投资者类别 (请选择一项)			
	Type 类别	Criteria 准则	Supporting documents 证明文件
<input type="checkbox"/>	A: Institutional Professional Investor (please proceed to part IV) 甲: 机构专业投资者 (请跳至第 IV 部分)	Person falling under paragraphs (a) to (i) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance, e.g. recognised exchange company, regulated intermediary, authorised financial institution, regulated insurer, authorised collective investment scheme, registered Mandatory Provident Fund scheme, government (the list above is not exhaustive) 属于《证券及期货条例》附表 1 第 1 部第 1 条「专业投资者」的定义第(a)至(i)段所指的人士, 例如: 认可交易所、受规管中介人、认可财务机构、受规管保险人、认可集体投资计划、注册强制性公积金计划、政府 (以上列表并非详尽无遗)	<div style="text-align: center;">/</div>
<input type="checkbox"/>	B: Corporate Professional Investor – Trust Corporation – (please proceed to part IIIA) 乙: 法团专业投资者—信托法团 (请跳至第 IIIA 部分)	Trust corporation with total asset of not less than HK\$40 million or its equivalent in any foreign currency 拥有不少于四千万港元或等值外币的总资产的信托法团	
<input type="checkbox"/>	C: Corporate Professional Investor – Corporation (please proceed to part IIIA) 丙: 法团专业投资者—法团 (请跳至第 IIIA 部分)	Corporation (i) having a portfolio of not less than HK\$8 million of its equivalent in any foreign currency; or (ii) with total assets of not less than HK\$40 million or its equivalent in any foreign currency 拥有(i)不少于八百万港元或等值外币的投资组合; 或(ii)不少于四千万港元或等值外币的总资产的法团	
<input type="checkbox"/>	D: Corporate Professional Investor – Partnership (please proceed to part IIIA) 丁: 法团专业投资者—合伙 (请跳至第 IIIA 部分)	Partnership (i) having a portfolio of not less than HK\$8 million of its equivalent in any foreign currency; or (ii) with total assets of not less than HK\$40 million or its equivalent in any foreign currency 拥有(i)不少于八百万港元或等值外币的投资组合; 或(ii)不少于四千万港元或等值外币的总资产的合伙	
<input type="checkbox"/>	E: Individual Professional Investor (please proceed to part IIIB) 戊: 个人专业投资者 (请跳至第 IIIB 部分)	Individual having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency 拥有不少于八百万港元或等值外币的投资组合的个人	
<input type="checkbox"/>	F: Corporate Professional Investor – Other Corporation (please proceed to part IIIA) 己: 法团专业投资者—其他法团 (请跳至第 IIIA 部分)	Corporation (i) which as its principal business the holding of investments and is wholly owned by any of the professional investor mentioned above; or (ii) which wholly owns a corporation referred to in Type C (Corporate Professional Investor – Corporation) above (i)主要业务是持有投资项目并由上述专业投资者全资拥有的法团; 或(ii)全资拥有上述类别丙 (法团专业投资者—法团) 提述的法团的法团	(i) Most recent audited financial statement prepared within 16 months; (ii) a statement of account or a certificate issued by a custodian within 12 months; (iii) a certificate issued by an auditor or a certified public accountant within 12 months; or (iv) a public filing submitted by or on behalf of the trust corporation/corporation/partnership within 12 months (i)于前 16 个月内拟备的最近期的经审计的财务报表; (ii)由保管人于前 12 个月内发出的账户结单或证明书; (iii)由核数师或会计师于前 12 个月内发出的证明书; 或(iv)由或代表该信托法团于前 12 个月内呈交的公开档案 (i) A statement of account or a certificate issued by a custodian within 12 months; (ii) a certificate issued by an auditor or a certified public accountant within 12 months; or (iii) a public filing submitted by or on behalf of the individual within 12 months (i)由保管人于前 12 个月内发出的账户结单或证明书; (ii)由核数师或会计师于前 12 个月内发出的证明书; 或(iii)由或代表该个人于前 12 个月内呈交的公开档案 Documents evidencing the shareholding structure (e.g. company search files issued by relevant company registry) 股权结构的证明文件 (例如: 由相关公司注册署发出的公司查册纪录)

Part III: Investment Knowledge and Expertise 第 III 部分: 投资知识及专业知识			
Part IIIA: Corporate Professional Investor 第 IIIA 部分: 公司专业投资者			
1	Do you (i) have in-house treasury or investment function; (ii) have a designated investment committee; and/or (iii) engage an independent investment advisor, responsible for the investment strategies and decisions? 请问阁下是否(i)于内部设有司库 / 投资团队; (ii)设有专责投资委员会; 及 / 或(iii)聘请独立投资顾问, 以负责阁下的投资战略和决策? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
2	Is the person making investment decisions have sufficient investment background? 请问负责代表阁下做出投资决定的人士是否具备充分的投资背景? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
3	Are you aware of the risks involved in trading in relevant products and markets? 请问阁下对所涉及产品和市场的风险有所认知? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
Part IIIB: Corporate/Individual Professional Investor 第 IIIB 部分: 公司 / 个人专业投资者			
For Corporate Professional Investor please complete this part for the person making investment decision 公司专业投资者请以作出投资决定的人士的身份完成此部分			
1	Have you invested in the following products (choose all that apply)? 请问阁下曾否投资以下产品 (选择所有适用选项)?		
	Investment product 投资产品	Have knowledge and with 2 years of experience or more in relevant product 對相关投资产品拥有知识及 2 年或以上经验	Number of transactions in the past year 过往 1 年的交易次数
	<input type="checkbox"/> Equity 股票	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> ≤20 times 次 <input type="checkbox"/> 20 – 40 times 次 <input type="checkbox"/> 41 – 60 times 次 <input type="checkbox"/> >60 times 次
	<input type="checkbox"/> Fixed income 固定收益	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> ≤20 times 次 <input type="checkbox"/> 20 – 40 times 次 <input type="checkbox"/> 41 – 60 times 次 <input type="checkbox"/> >60 times 次
	<input type="checkbox"/> Futures/Options 期货 / 期权	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> ≤20 times 次 <input type="checkbox"/> 20 – 40 times 次 <input type="checkbox"/> 41 – 60 times 次 <input type="checkbox"/> >60 times 次
	<input type="checkbox"/> Warrants/Callable bull/bear contracts 认股证 / 牛熊证	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> ≤20 times 次 <input type="checkbox"/> 20 – 40 times 次 <input type="checkbox"/> 41 – 60 times 次 <input type="checkbox"/> >60 times 次
	<input type="checkbox"/> Funds 基金	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> ≤20 times 次 <input type="checkbox"/> 20 – 40 times 次 <input type="checkbox"/> 41 – 60 times 次 <input type="checkbox"/> >60 times 次
	<input type="checkbox"/> Others derivatives 其他衍生產品	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> ≤20 times 次 <input type="checkbox"/> 20 – 40 times 次 <input type="checkbox"/> 41 – 60 times 次 <input type="checkbox"/> >60 times 次
2	Are you currently working or have previously worked in the relevant financial sector for at least 1 year in a professional position that involves the relevant products? 阁下是否现时或过去曾从事相关金融行业, 並就有关产品任职至少 1 年? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
3	Have you obtained any of the academic/professional qualification below? 请问阁下是否拥有以下任何学术 / 专业资格? <input type="checkbox"/> Bachelor Degree of above in Accounting/Economics/Finance or related subject 会计 / 经济 / 金融或相关科目的学士或以上学历 <input type="checkbox"/> Chartered Financial Analyst (CFA) 特许金融分析师 <input type="checkbox"/> Financial Risk Manager (FRM) 金融风险管理师 <input type="checkbox"/> Certified Financial Planner (CFP) 认可财务策划师 <input type="checkbox"/> Certified Public Accountant (CPA) 注册会计师 <input type="checkbox"/> Passed relevant licensing examinations of Hong Kong Securities Institute (HKSI) 已通过相关香港证券及投资学会的发牌考试		

Part IV: Risk and Consequence of Being Treated as a Professional Investor 第 IV 部分: 被视为专业投资者的风险及后果	
<input type="checkbox"/>	<p>I/We acknowledge and agree that C.Xin Asset Management Limited will waive the provisions set out in paragraph 15.5 of the Code of Conduct for Person Licensed by or Registered with the Securities and Futures Commission ("Code of Conduct") which include: 本人 / 吾等了解并同意橙信财富有限公司将豁免履行就《证券及期货事业监察委员会持牌人或注册人操守准则》(「《操守准则》」) 第 15.5 段所述的条文包括:</p> <ul style="list-style-type: none"> C.Xin Asset Management Limited is not required to inform me/us about the licensed or registered person and the identity and status of its employees and others acting on its behalf; and 橙信财富有限公司毋须向本人 / 吾等提供任何有关于与公司和有关公司雇员及其他代表公司行事的人士的身份和受雇状况的资料; 及 C.Xin Asset Management Limited is not required to confirm promptly with me/us the essential features of a transaction after effecting a transaction for me/us. 橙信财富有限公司在为本人 / 吾等完成交易后, 毋须尽快向本人 / 吾等确认有关该宗交易的重点。
<input type="checkbox"/>	<p>I/We acknowledge and agree that it is not necessary for me/us to receive any contract note, statements of account and receipt in accordance with Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules, unless I/we specifically request. 本人 / 吾等了解并同意除非本人 / 吾等向橙信财富有限公司做出特别要求, 橙信财富有限公司可不需按《证券及期货 (成交单据、户口结单及收据) 规则》内指定之方式向本人 / 吾等提供成交单据、户口结单及收据。</p>
For Institutional/Corporate Professional Investor only 只适用于机构 / 法团专业投资者	
<input type="checkbox"/>	<p>We acknowledge and agree that C.Xin Asset Management Limited will waive the provisions set out in paragraph 15.4 of the Code of Conduct which include: 吾等了解并同意橙信财富有限公司将豁免履行就《操守准则》第 15.4 段所述的条文包括:</p> <ul style="list-style-type: none"> C.Xin Asset Management Limited is not required to establish our financial situation, investment experience and investment objectives; 橙信财富有限公司毋须确认吾等的财务状况、投资经验及投资目标; C.Xin Asset Management Limited is not required to ensure that a recommendation or solicitation is suitable for us; 橙信财富有限公司毋须确保对吾等的建议或招揽行为是合适的; C.Xin Asset Management Limited is not required to assess our knowledge of derivatives and characterise us based on our knowledge of derivatives; 橙信财富有限公司毋须评估吾等对衍生工具的认识, 并根据吾等对衍生工具的认识将吾等分类; C.Xin Asset Management Limited is not required to enter into a written agreement with us in the form contemplated by the Code of Conduct; 橙信财富有限公司毋须按《操守准则》所规定与吾等订立协议书; C.Xin Asset Management Limited is not required to provide us with the risk disclosure statements required by the Code of Conduct in respect of the risks involved in any transactions [*] enter into with us or to bring those risks to our attention; 橙信财富有限公司毋须按《操守准则》所规定向吾等提供任何有关于与公司进行交易所涉及的风险之风险披露声明, 或向吾等提示该等风险; C.Xin Asset Management Limited is not required to disclose transaction related information to us; 橙信财富有限公司毋须向吾等披露与交易相关的数据; C.Xin Asset Management Limited is not required, in connection with any discretionary account, to: (i) obtain from us an authority in a written form prior to effecting transaction for us without our specific authority; (ii) explain to us such authority and to re-confirm it on an annual basis; and (iii) disclose benefits receivable for effecting transactions for us; and 橙信财富有限公司就任何委托账户毋须: (i) 在进行未经吾等特定授权的交易之前, 向吾等取得书面授权; (ii) 就有关授权作出解释, 或作年度重新确认; 及 (iii) 披露为吾等进行交易而可取得的收益; 及 C.Xin Asset Management Limited is not required to ensure the suitability of a transaction in a complex product, to provide information about a complex product and to provide warning statements. 橙信财富有限公司毋须确保复杂产品交易的合适性, 提供有关复杂产品的充分数据及提供警告声明。

Part V: Declaration by Client 第 V 部分: 客户声明	
<ul style="list-style-type: none"> I/We declare that I/we have examined the information as provided by me/us on this Form are true, correct and complete. 本人 / 吾等声明本人 / 吾等在此申请表上所提供的一切数据均属真实、正确及完整。 I/We agree to provide a confirmation and/or any supporting document to C.Xin Asset Management Limited to ensure I/we continue to fulfill the requisite requirement under the Securities and Futures (Professional Investors) Rules (Chapter 571D of the Laws of Hong Kong). 本人 / 吾等同意向橙信财富有限公司提供确认书及 / 或任何相关文件, 以确保本人 / 吾等持续符合香港法例第 571D 章《证券及期货 (专业投资者) 规则》之必要条件。 I/We confirm and agree with the risks and consequences of being treated as a professional investor. I/We have been invited to take independent advice as I/we wish. 本人 / 吾等确认及同意被视为专业投资者的风险及结果。本人 / 吾等亦已被邀请就本人 / 吾等所愿征求独立意见。 I/We agree to be treated as a professional investor. I/We acknowledge that I/we have the right to withdraw from being treated as a professional investor upon my/our written notice to C.Xin Asset Management Limited at any time. 本人 / 吾等同意被视为专业投资者。本人 / 吾等确认本人 / 吾等有权随时透过书面通知橙信财富有限公司以取消被视为专业投资者的资格。 I/We agree that all personal data provided may be used by the C.Xin Asset Management Limited in connection with verification/administration procedures or disclosed for any other purposes as defined in the Personal Data (Privacy) Ordinance (Chapter 486 of the Laws of Hong Kong). C.Xin Asset Management Limited is authorised at any time to contact anyone, including banks, brokers or any credit agency, for the purpose of verifying the information provided on this Form. 本人 / 吾等同意橙信财富有限公司可以使用上述所提供的全部个人资料, 作为身份核证 / 行政程序, 或其他按香港法例第 486 章《个人资料 (私隐) 条例》所定的任何用途。橙信财富有限公司获授权在任何时间向任何人, 包括银行、经纪或任何信贷机构, 查核此声明书上的资料。 	
Agreed and signed by primary account holder/authorised person 主要账户持有人 / 授权人士同意并签署	Name 姓名 Date 日期 (dd/mm/yyyy)
Agreed and signed by joint account holder 联名账户持有人同意并签署	Name 姓名 Date 日期 (dd/mm/yyyy)

For Internal Use Only 内部专用	
Supporting document checklist 支持文件清单	
<input type="checkbox"/> Professional investor proof 专业投资者证明	
Assessment results 评估结果	
1	Does the client qualify as a professional investor? 客户是否合格专业投资者? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
2	Can the client be exempted from the provisions set out in paragraph 15.5 of the Code of Conduct? 客户是否可豁免履行就《操守准则》第 15.5 段所述的条文? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
3	Can the client be exempted from the provisions set out in paragraph 15.4 of the Code of Conduct? 客户是否可豁免履行就《操守准则》第 15.4 段所述的条文? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> N/A (Individual Professional Investor) 不适用 (个人专业投资者)
Prepared by Licensed Person 由持牌人填写	
Name 姓名	
Date 日期 (dd/mm/yyyy)	
Approved by Responsible Officer 由负责人员审批	
Name 姓名	
Date 日期 (dd/mm/yyyy)	