Business address 營業地址: Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong
香港灣仔告士打道 151 號資本中心 1802 室
Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

Funderstone Securities Limited
Funderstone Futures Limited
Funderstone Asset Management (HK) Limited

ACCOUNT OPENING FORM – CORPORATE PROFESSIONAL INVESTOR
開戶表格 – 法團專業投資者

A. ACCOUNT TYPE 賬戶類別

A1. Account Type(s) 賬戶類別

☐ Securities Account (Cash Account) 現金證券賬戶　　☐ Securities Account (Margin Account) 保證金證券賬戶

☐ Futures Account 期貨賬戶

A2. Currency 貨幣

☐ Hong Kong Dollars 港元　　☐ United States Dollars 美元　　☐ Renminbi 人民幣

A3. Trading Platform 交易平台

Would you like to apply for the Internet Trading Service?
貴法團需要申請互聯網交易服務嗎?　　☐ Yes 是　　☐ No 否

B. CLIENT INFORMATION 客戶資料

B1. Corporate Name 公司名稱

Name (as stated in the corporate registration documents)名稱（須與公司註冊文件相同）:

English 英文:____

Chinese 中文:____

Business Name (if applicable) 商業名稱（如適用）:

English 英文:____

Chinese 中文:____

*(Funderstone Securities Limited, Funderstone Futures Limited and Funderstone Asset Management (HK) Limited are collectively referred to as "**Funderstone Group**".)*
*（Funderstone Securities Limited、Funderstone Futures Limited 及 Funderstone Asset Management (HK) Limited 統稱為「**Funderstone 集團**」。）*

*Funderstone Securities Limited (CE No. AAK018) is currently licensed to engage in the following regulated activities: Type 1 (dealing in securities), Type 4 (advising on securities), Type 6 (advising on corporate finance) and Type 9 (asset management) under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) ("**SFO**").*
*Funderstone Securities Limited（中央編號：AAK018）現時獲許可從事《證券及期貨條例》（香港法例第571章）(「**《證券及期貨條例》**」) 項下的以下受規管活動：第1類（證券交易）、第4類（就證券提供意見）、第6類（就機構融資提供意見）及第9類（提供資產管理）。*

Funderstone Futures Limited (CE No. AAD847) is currently licensed to engage in the following regulated activities: Type 2 (dealing in future contracts), Type 5 (advising on futures contracts) and Type 9 (asset management) under the SFO.
Funderstone Futures Limited（中央編號：AAD847）現時獲許可從事《證券及期貨條例》項下的以下受規管活動：第2類（期貨合約交易）、第5類（就期貨合約提供意見）及第9類（提供資產管理）。

Funderstone Asset Management (HK) Limited (CE No. ACD757) is currently licensed to engage in Type 9 regulated activity (asset management) under the SFO.
Funderstone Asset Management (HK) Limited（中央編號：ACD757）現時獲許可從事《證券及期貨條例》項下的第 9 類受規管活動（提供資產管理）。

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Fax No. 傳真號碼: (852) 2533-7363

B. CLIENT INFORMATION 客戶資料

B2. Corporate Information 公司資料

CCASS Investor Account Name 中央結算投資者戶口名稱:______________________________

CCASS Investor Account No.中央結算投資者戶口號碼:______________________________

Place of Incorporation: 註冊成立地:	______________________	Date of Incorporation 成立日期:	______ / ______ / ______ DD 日 MM 月 YYYY 年

Registration Number 註冊號碼:

☐ Certificate of Incorporation 公司註冊證書:
____

☐ Business Registration Certificate 商業登記證:
____

☐ Other Registration Certificate 其他登記證書:
____

Document Expiry Date (if applicable) 文件有效日期(如適用):
____

Type 類別*:

☐ Sole Proprietorship 獨資經營商號
☐ Partnership 合夥組織
☐ Limited Company 有限公司
☐ Listed Company 上市公司
Country of Listing (Stock code)上市國家 (上市號碼):
______________ ( )
☐ Trustee 受託人
☐ Regulated Trustee 受規管之受託人
☐ Unregulated Trustee 非受規管之受託人
☐ Others (Please specify)其他 (請註明):
____

*Tick more than one box, if appropriate 如有需要，可勾選多於一項

Nature of Business/Industry
業務性質/行業:
____

Years of Experience in Business/Industry 營業/行業經驗:
____

Category of Product(s) or Service(s)
商品或服務類別:

Principal Place of Business 主要業務地點

☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ Other location(s) 其他地點: ______________

Registered Office Address 註冊辦公室地址:	Country (Postal Code) 國家 (郵政編碼) ______________
Principal Place of Business 主要業務地址 ☐ Same as Registered Office Address 與註冊辦公室地址相同 ☐ Address as specified below 地址如下: ______________________________	Country (Postal Code) 國家 (郵政編碼) ______________

E-mail Address 電郵地址:

Correspondence Address (Please select one only) 通訊地址 (只選一項) ☐ Same as Registered Office Address 與註冊辦公室地址相同 ☐ Same as Principal Place of Business 與主要業務地址相同 ☐ Address as specified below 地址如下: ______________________________ ** PO Box is not acceptable 請勿填寫郵政信箱*	Country (Postal Code) 國家 (郵政編碼) ______________

Business address 營業地址:	Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong 香港灣仔告士打道 151 號資本中心 1802 室
Website 網址:	www.funderstonesec.com
Tel No. 電話號碼:	(852) 2845-7711
Fax No. 傳真號碼:	(852) 2533-7363

Correspondence, trading confirmations and statements to be sent to:
通訊、交易確認及結單請寄往:

☐ Registered Office Address 註冊辦公室地址 ☐ Principal Place of Business 主要業務地址
☐ Correspondence Address 通訊地址 ☐ Email Address 電郵地址

Contact Details 聯絡資料	Office No. 辦公室號碼	(Country Code 國家區碼) ( )	Fax No. 傳真號碼	(Country Code 國家區碼) ( )
	Mobile No. 手提電話	(Country Code 國家區碼) ( )		

B3. Financial Information 財政資料

Paid Up Capital (HKD) 繳足股本(港幣): ______________	Liquid Assets (HKD) 流動資產(港幣) : ______________
Net Asset Value (HKD) 資產淨值(港幣): ______________	Latest Annual Profit (HKD) 最近年度利潤(港幣) : ______________

Initial Source of Funds 初始資金來源	*Origin 來源* 口 Business Owner's Capital Contribution 東主資本注資 口 Business Income 營業收入 口 Investment Return 投資回報 口 Intra-group Financing 集團內部融資 口 Others (Please specify) 其他 (請註明): ____________ **Tick more than one box, if appropriate 如有需要，可勾選多於一項*
	Place of Source of Funds 資金來源地 口 Hong Kong 香港 口 China 中國 口 Other location(s) 其他地點: ____________ **Tick more than one box, if appropriate 如有需要，可勾選多於一項*
	The means by which you will deposit money into the Account(s) 貴法團打算匯款至戶口的方式 口 Telegraphic Transfer 電匯 口 Cheque 支票 口 Demand Draft 匯票 口 Others (please specify) 其他 (請註明): ________________________________ **Tick more than one box, if appropriate 如有需要，可勾選多於一項* **Third party cheques will not be accepted 第三方支票將不獲接納*
Recurring Source of Funds 持續資金來源	*Origin 來源* 口 Business Owner's Capital Contribution 東主資本注資 口 Business Income 營業收入 口 Investment Return 投資回報 口 Intra-group Financing 集團內部融資 口 Others (Please specify) 其他 (請註明): ____________ **Tick more than one box, if appropriate 如有需要，可勾選多於一項*
	Place of Source of Funds 資金來源地 口 Hong Kong 香港 口 China 中國 口 Other location(s) 其他地點: ____________ **Tick more than one box, if appropriate 如有需要，可勾選多於一項*

	The means by which you will deposit money into the Account(s) 貴法團打算匯款至戶口的方式 ☐ Telegraphic Transfer 電匯 ☐ Cheque 支票 ☐ Demand Draft 匯票 ☐ Others (please specify) 其他 (請註明): ______________________________ **Tick more than one box, if appropriate 如有需要，可勾選多於一項* **Third party cheques will not be accepted 第三方支票將不獲接納*

C. SETTLEMENT ACCOUNT INFORMATION 結算賬戶資料

The following bank account is the Settlement Account under and within the meaning of the "Terms and Conditions for Trading Account" and for the relevant settlement arrangements. We hereby instruct and authorise Funderstone Group to deposit all payments payable to us into the following bank account. Funderstone Group shall not be held liable for any loss, expenses or damages suffered by us as a result of any delay in depositing such payments caused by any reason whatsoever.

以下的銀行賬戶是《交易賬戶條款及條件》中定義的結算賬戶，並作有關之結算安排。本法團謹此指示及授權 Funderstone 集團將所有應付本法團之款項存入下列之銀行賬戶。Funderstone 集團不會就任何原因延遲存入款項令本法團蒙受任何虧損、開支或賠償承擔任何法律責任。

Currency 貨幣	Name of Bank 銀行名稱	Account No. 賬戶號碼	Name of Account Holder 賬戶持有人名稱
HKD 港幣	______________	______________	______________
USD 美元	______________	______________	______________
CNY 人民幣	______________	______________	______________
Others (please specify) 其他（請註明）: ______________	______________	______________	______________

D. DECLARATION AND ASSESSMENT TO BE A CORPORATE PROESSIONAL INVESTOR 申報及評估成為法團專業投資者

D1. Criteria for Qualifying as a Corporate Professional Investor - Portfolio Adequacy Test 合資格成為法團專業投資者的準則 - 資產充足度測試

*(For definition of Professional Investor, please refer to the definition of Professional Investor in paragraphs (a), (c) and (d) under section 3 of the Securities and Futures (Professional Investor) Rules (Cap. 571D of the Laws of Hong Kong) ("**PI Rules**"). A summary of the definition of Professional Investor is provided in **Annexure 1** of this Account Opening Form for reference only.)*
*（有關專業投資者的定義，請參考此證券及期貨（專業投資者）規則（香港法例第571D章）(「**《專業投資者規則》**」) 第3條（a）、(c）及（d）段。開戶表格**附件1**之專業投資者定義內容摘要只供參考。）*

(Please provide certified copies of the relevant supporting documents (as certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary).) （請提交經由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證核證的相關證明文件。）

(Please **tick** the box(es) as appropriate)（請在適當方格內劃上「✓」號）

Legal Form of Investor 投資者的組成方式	Criteria 準則 *(A reference to an amount expressed in HKD below includes its equivalent in any foreign currency.)* *(以下凡提述以港元表示的款額，包括其等值的任何外幣。)*	Supporting Document(s) 證明文件
☐ **Corporation (other than a Trust Corporation)** **法團（信託法團除外）**	**Category A Corporation** **A組別法團** ☐ Has a Portfolio of not less than HKD8 million 擁有的投資組合不少於港幣800萬元 ☐ Has total assets of not less than HKD40 million 擁有的總資產不少於港幣4,000萬元 **Category B Corporation** **B組別法團** ☐ a corporation which has as its principal business the holding of investments and is wholly owned by any one or more of the following persons—	**Documents ascertaining total assets or portfolio (applicable to Categories A, B and C Corporation)** **確定總資產或投資組合的文件（適用於A、B及C組別法團）** ☐ most recent audited financial statements prepared in respect of the corporation within 16 months 在16個月內就該法團擬備的最近期的經審計的財務報表 ☐ a statement of account or a certificate issued by a Custodian within 12 months 由保管人在12個月內發出的賬戶結單或證明書 ☐ a certificate issued by an auditor or a certified public

主要業務是持有投資項目並在有關日期由以下任何一名或多於一名人士全資擁有的法團—

☐ (i) a Trust Corporation having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million;
擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產不少於港幣4,000萬元的信託法團；

☐ (ii) an Individual Professional Investor;
個人專業投資者；

☐ (iii) any Category A Corporation;
任何A組別法團；

☐ (iv) a partnership having a Portfolio of not less than HKD8 million or total assets of not less than HKD40 million;
擁有的投資組合不少於港幣800萬元或擁有的總資產不少於港幣4,000萬元的合夥；

☐ (v) a professional investor within the meaning of paragraph (a), (d), (e), (f), (g) or (h) of the definition of professional investor in section 1 of Part 1 of Schedule 1 to the SFO (Detail is listed in **<u>Annexure 1</u>**) ("**Specified Professional Investor**"); or
屬《證券及期貨條例》附表1第1部第1條專業投資者的定義的(a)、(d)、(e)、(f)、(g)或(h)段所指的專業投資者（請參考**<u>附件1</u>**）（「**特定專業投資者**」）；或

☐ (vi) any Category B Corporation
任何B組別法團

<u>Category C Corporation</u>
<u>C組別法團</u>

☐ wholly owns a Category A Corporation
全資擁有一間A組別法團

accountant within 12 months
由核數師或會計師在12個月內發出的證明書

☐ a Public Filing submitted by or on behalf of the corporation within 12 months
由或代表該法團在12個月內呈交的公開檔案

☐ others (please specify):
其他（請註明）：
____

Documents ascertaining principal business of the corporation as the holding of investments (applicable to Category B Corporation)
確定法團主要業務為持有投資項目的文件（適用於B組別法團）

☐ business registration certificate of the corporation
該法團的商業登記證

☐ others (please specify):
其他（請註明）：
____

Documents ascertaining ownership of the corporation (applicable to Categories B and C Corporation)
確定法團擁有人身份的文件（適用於B及C組別法團）

☐ register of members of the relevant Category A Corporation
相關的A組別法團的成員登記冊

☐ others (please specify):
其他（請註明）：
____

Documents ascertaining relevant information of the relevant individual(s) or corporation(s) (applicable to Categories B and C Corporation)
確定法團相關人士或法團資料的文件（適用於B及C組別法團）

☐ document(s) showing that a relevant Trust Corporation having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million
證明相關擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產不少於港幣4,000萬元的信託法團的文件

☐ document(s) showing that a relevant individual is an Individual Professional Investor
證明獲授權人士為個人專業投資者的文件

☐ document(s) showing that a relevant corporation is a Category A Corporation
證明相關法團為一間A組別法團的文件

☐ document(s) showing that a relevant partnership having a Portfolio of not less than HKD8 million or total assets of not less than HKD40 million
證明相關合夥擁有的投資組合不少於港幣800萬元或擁有的總資產不少於港幣4,000萬元的文件

☐ documents showing that a relevant corporation is a Specified Professional Investor
證明相關法團為特定專業投資者的文件

☐ others (please specify):
其他（請註明）：
____

☐ **Partnership** **合夥**	☐ Has a Portfolio of not less than HKD8 million 擁有的投資組合不少於港幣800萬元 ☐ Has total assets of not less than HKD40 million 擁有的總資產不少於港幣4,000萬元	☐ most recent audited financial statements prepared in respect of the partnership within 16 months 在16個月內就該合夥擬備的最近期的經審計的財務報表 ☐ a statement of account or a certificate issued by a Custodian within 12 months 由保管人在12個月內發出的賬户結單或證明書 ☐ a certificate issued by an auditor or a certified public accountant within 12 months 由核數師或會計師在12個月內發出的證明書 ☐ a Public Filing submitted by or on behalf of the partnership within 12 months 由或代表該合夥在12個月內呈交的公開檔案 ☐ others (please specify): 其他（請註明）: ____________________
☐ **Trust Corporation** **信託法團** ☐ any trust company registered under Part 8 of the Trustee Ordinance (Cap. 29 of the Laws of Hong Kong) ("HK Trust Company") 根據《受託人條例》（香港法例第29章）第8部註冊的任何信託公司（「香港信托公司」） ☐ any other corporation which— 符合以下說明的其他法團 — (i) carries on a business which is of a nature similar to that of a HK Trust Company; and 所經營的業務的性質與香港信託公司所經營的業務的性質相似；並 (ii) is regulated under the law of any place outside Hong Kong. 根據香港以外地方的法律受規管。	☐ Has been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million 擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產不少於港幣四千萬元	☐ most recent audited financial statements prepared in respect of the trust corporation (or a trust of which it acts as a trustee within 16 months 在16個月內就該信託法團(或其擔任信託人的任何信託)擬備的最近期的經審計的財務報表 ☐ a statement of account or a certificate issued by a Custodian within 12 months 由保管人在12個月內發出的賬户結單或證明書 ☐ a certificate issued by an auditor or a certified public accountant within 12 months 由核數師或會計師在12個月內發出的證明書 ☐ a Public Filing submitted by or on behalf of the trust corporation (whether on its own behalf or in respect of a trust of which it acts as a trustee) within 12 months 由或代表該信託法團(不論是代表其本身或就其擔任信託人的任何信託)在12個月內呈交的公開檔案 ☐ others (please specify): 其他（請註明）: ____________________

Capitalized terms in the above table shall have the following meanings:
上表中採用的大寫詞彙具有以下涵義：

Portfolio means a portfolio comprising any of the following:
投資組合指由任何以下項目所組成的投資組合：

(a) securities;
證券；

(b) a certificate of deposit (e.g. bank monthly statement) issued by (i) an authorised financial institution; or (ii) a bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong; or
由(i)認可財務機構發出的存款憑證（例如：銀行月結單）；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憑證；或

(c) in relation to an individual, corporation or partnership, money held by a custodian for the individual, corporation or partnership.
就任何個人、法團或合夥而言，由保管人替該個人、法團或合夥持有的款項。

Custodian means:
保管人指

(a) 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
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

(b) 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—
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) an authorized financial institution;
認可財務機構；

(ii) a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
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；

(iii) a corporation licensed by Securities and Futures Commission of Hong Kong ("**SFC**") under the SFO; or
獲香港證券及期貨事務監察委員會（「**證監會**」）按照《證券及期貨條例》批給牌照的法團；或

(iv) a person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong.
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。

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, by or on behalf of (a) a trust corporation (whether on its own behalf or in respect of a trust of which it acts as a trustee), (b) an individual, (c) a corporation (other than a Trust Corporation) or (d) a partnership.
公開檔案指由或代表(a)信託法團(不論是代表其本身或就其擔任信託人的任何信託)、(b)個人、(c)法團(信託法團除外)、或(d)合夥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。

D2. Corporate Professional Investor Assessment ("CPI Assessment") 法團專業投資者評估

(Please provide certified copies of the relevant supporting documents (as certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary).) （請提交經由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證核證的相關證明文件。）

(Please **tick** the box(es) as appropriate)（請在適當方格內劃上「✓」號）

Assessment Criteria 評估準則	Supporting Document(s) 證明文件
☐ the Client has the <u>appropriate corporate structure</u> and <u>investment process</u> and <u>controls</u> (i.e. how investment decisions are made, including whether the Client has a specialised treasury or other function responsible for making investment decisions); and 客戶擁有<u>合適的企業架構</u>和<u>投資程序</u>及<u>監控措施</u>（即投資決定是如何作出的，包括客戶是否設有專門的庫務或負責作出投資決定的其他職能）；及	☐ Please complete <u>Part D3</u> below 請完成下面的<u>D3部分</u> ☐ Any supporting documents showing the <u>corporate structure</u> (e.g. financial group or listed company) 證明<u>企業架構</u>的任何證明文件（例如金融集團或上市公司）
☐ the person(s) responsible for making investment decisions on behalf of the Client has/have <u>sufficient investment background</u> (including the investment experience of such person(s)); and 負責代表客戶作出投資決定的人士具備<u>充分的投資背景</u>（包括該人士的投資經驗）；及	☐ Please complete <u>Part D4</u> and submit all relevant supporting documents 請完成下面的<u>第D4部分</u>並提交相關證明文件
☐ the Client is <u>aware of the risks involved</u> which is considered in terms of the person(s) responsible for making investment decisions. 客戶<u>對所涉及的風險有所認知</u>（以負責作出投資決定的人士對相關風險的認知爲準）。	☐ Please complete <u>Part D4</u> and submit all supporting documents showing the <u>awareness of terms and risks</u> (e.g. a signed Risk Disclosure Statement, Prospectus, or Offering Document) 請完成下面的<u>第D4部分</u>並提交證明<u>條款與風險認知</u>的任何證明文件（例如經簽名的風險披露聲明、招股說明書或發售文件）

D3. CPI Assessment - Corporate Structure and Investment Process and Control
法團專業投資者評估 - 企業架構和投資程序及監控措施

Objectives: To prove that the Client has the appropriate corporate structure and investment process and controls.
目的：證明客戶擁有合適的企業架構和投資程序及監控措施。

(Please **tick** the box(es) as appropriate)（請在適當方格內劃上「✓」號）

Please indicate if your corporation has the following corporate structure and investment process and controls:
請指出貴法團是否具備下述的企業架構和投資程序及監控措施：

☐ has an in-house treasury, investment or similar function comprising of competent and suitably qualified professionals responsible for the investment strategies and investment process;
內部設有由具備勝任能力及適當資格的專業人士組成的庫務、投資或類似職能，負責其投資策略及投資程序；

☐ has a designated investment committee comprising of competent and suitably qualified professionals responsible for the investment strategies and investment process; and (i) such a committee makes investment decisions on behalf of Client or (ii) Client makes informed investment decisions taking into account the advice or recommendation of such committee;
內部設有由具備勝任能力及適當資格的專業人士組成的專責投資委員會，負責其投資策略及程序；及(i)該委員會代表客戶作出投資決定或(ii)客戶在作出有根據的投資決定時會考慮該委員會的意見或建議；

☐ engages an external investment advisory team comprising of competent and suitably qualified professionals responsible for the investment strategies and investment process; and (i) such a team makes investment decisions on behalf of Client or (ii) Client makes informed investment decisions taking into account the advice or recommendation of such team, in each case this external team is:
委聘由具備勝任能力及適當資格的專業人士組成的外部投資顧問團隊，負責其投資策略及投資程序；及(i)該團隊代表客戶作出投資決定或(ii)客戶在作出有根據的投資決定時會考慮該團隊的意見或建議，而在每個情況下，該外部團隊乃：
- (i) independent of the intermediary that is conducting the CPI Assessment;
  獨立於進行法團專業投資者評估的中介人；
- (ii) subject to regulatory oversight (where required); and
  受制於規管監察(如有此規定)；及
- (iii) in an investment advisory capacity in advising Client on investment strategies, advice and recommendations; and/or
  以投資顧問身分就投資策略、意見及建議向客戶提供意見；及/或

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Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

☐ relies on and follow the investment strategies, advice and recommendations of its related corporation provided that the related corporation:
依據及遵循其有連繫法團的投資策略、意見及建議，前提是該有連繫法團：

(i) has an in-house treasury, investment or similar function;
設有內部庫務、投資或類似職能；

(ii) has a designated investment committee; or
設有專責投資委員會；或

(iii) engages an external investment advisory team that meets the following conditions:
委聘符合下列條件的外部投資顧問團隊：

(a) independent of the intermediary that is conducting the CPI Assessment;
獨立於進行法團專業投資者評估的中介人；

(b) subject to regulatory oversight (where required); and
受制於規管監察(如有此規定)；及

(c) in an investment advisory capacity in advising Client on investment strategies, advice and recommendations.
以投資顧問身分就投資策略、意見及建議向客戶提供意見。

that comprises of competent and suitably qualified professionals responsible for Client's investment strategies and investment process.
並由具備勝任能力及適當資格的專業人士組成，負責客戶的投資策略及投資程序。

☐ Others (please specify) 其他（請註明）: ______________________________

Supporting Information (Please list out, and use separate sheets if required):
補充資料（請列出，如有需要，請使用額外紙張填寫）：

____

____

____

D4. CPI Assessment — Sufficient Investment Background Confirmations
法團專業投資者評估 — 充分投資資歷確認

*Objectives: To prove that the person(s) responsible for making investment decisions on behalf of the Client ("**Designated Investment Decision Maker(s)**") has sufficient investment background in the relevant product(s) and market(s).*
*目的：證明負責代表客戶作出投資決定的人士（「**指定投資決策者**」）具備充分的相關產品和市場投資背景。*

<u>For each of the product(s) and market(s)</u>, please answer ALL of the following questions and provide supporting account statement(s), trade Confirmation(s), declaration(s) of academic background, professional qualification, proof of Professional Investor status and/or other proof(s) to substantiate answers below.
<u>就每個產品和市場</u>，請分別回答以下所有問題，並提供相關賬戶結單、交易確認書、學術背景、專業資格的聲明、專業投資者的身份證明及／或其他證明文件以證實下列的答案。

If there are more than one Designated Investment Decision Makers for a product and/or market indicated below, please fill in the questionnaire below in the Continuation Sheet A.
如就各別產品及/或市場多於一位指定投資決策者，請個別指定投資決策者在續頁A上填寫以下問卷。

Name of the relevant Designated Investment Decision Maker 相關指定投資决策者的名稱：

Chinese 中文：______________________________

English 英文：______________________________

**Siganture of the relevant Designated Investment Decision Maker 相關指定投資决策者簽署：* ______________________________

**applicable if the Designated Investment Decision Maker is not the Client's authorised signatory signing this Account Opening Form.*
如相關指定投資决策者並非在此本開戶表格簽署之客戶獲授權簽署人，請在以上横線簽署。

1. **Relevant Products, Markets, Investment Experience and History 相關產品、市場、投資經驗及歷史**
*(The product(s) and market(s) indicated in the table below are referred to in this Part D4 as the "**Relevant Products and Markets**".)*
*（下表中已選的產品及市場於此D4部分中稱為「**相關產品及市場**」。）*

Do you have relevant investment experience in the Relevant Products and Markets?
閣下是否擁有相關產品及市場的相關投資經驗?

☐ No 否

☐ Yes, details are as follows (please ***tick** the box(es) where applicable* and fill in the blanks accordingly)
是，詳情如下（請在下列適當方格內劃上「✓」號及填寫空格）

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	Investment Products 投資產品	Investment Experience 投資經驗 Relevant Market 相關市場	Rating of your investment knowledge and experience and risks involved in the Relevant Products and Markets* 閣下評估自己的投資知識及經驗以及相關產品及市場的投資風險* *Please use the scale provided below to indicate your answers. *請以表格下面的程度標示答案。	Personal Investments or Investments for Others 個人投資或為他人而投資	Trading Volume in the last 12 months (HKD) 過去 12 個月內的交易金額（港幣）	No. of Transaction(s) in the last 12 months 過去 12 個月內的交易次數 *A sale and purchase of the same product shall be counted as one transaction. *一買一賣計算爲一次交易。	Years of Experience 投資年期
☐	(a) Stocks 股票	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: __________ __________ __________	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________
				☐ Investments for Others 為他人而投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________
☐	(b) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品（例如債券、可換股債券等）/ 外幣存款	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）:	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________
				☐ Investments for Others 為他人而投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________

		______________ ______________ ______________					
☐	(c) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ______________ ______________ ______________	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________
				☐ Investments for Others 為他人而投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________
☐	(d) Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品（例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等）	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ______________ ______________ ______________	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________
				☐ Investments for Others 為他人而投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________
☐	(e) Structured Products (e.g. Equity-Linked Deposit / Notes,	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1	☐ Personal Investments 個人投資		口 less than 40 少於 40 宗 口 more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：

	Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鉤存款等)	☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: __________ __________ __________	☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Investments for Others 為他人而投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	________ ☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________
☐	(f) Others (please specify) 其他 (請註明): ________ ________ ________ ________	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: __________ __________ __________	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________
				☐ Investments for Others 為他人而投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________

Please indicate the rating of your investment knowledge and experience according to the following scale:
請以下數字範圍標示閣下評估自己的投資知識及經驗的程度

***1** – I have limited or no knowledge and experience about the Relevant Products and Markets, and I have limited understanding about the risks involved in the Relevant Products and Markets.*
本人就相關產品及市場具有限的或沒有知識及經驗，本人對相關產品及市場涉及的風險具有限的理解。

***2** – I have average knowledge or experience about the Relevant Products and Markets, and I have average understanding about the risks involved in the Relevant Products and Markets.*
本人就相關產品及市場具有普通的知識或經驗，本人對相關產品及市場涉及的風險具普通的理解。

***3** – I have advanced and sufficient knowledge or experience about the Relevant Products and Markets, and I have advanced and sufficient understanding about the risks involved in the Relevant Products and Markets.*
本人就相關產品及市場具有深度且充分知識或經驗，本人對相關產品及市場涉及的風險具深度且充分的理解。

2. **Relevant academic or professional qualifications 相關學歷或專業資格**

Do you have academic qualification(s) or training(s)) in the Relevant Products and Markets?
閣下是否擁有相關產品及市場的學歷或培訓經驗?

Please provide certified copies of relevant certificates or supporting documents
請提供相關證書或證明文件的核證本

☐ No 否

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Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

☐ Yes, details are as follows 是，詳情如下

☐ Degree in accounting, business administration, economics, finance, law or other degree or above
會計、工商管理、經濟、財務、法律學位或其他學位或以上

☐ Chartered Financial Analyst (CFA) 特許金融分析師

☐ Certified International Investment Analyst (CIIA) 註册國際投資分析師

☐ Certified Financial Planner (CFP) 認可財務策劃師

☐ Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會計或財務專業資格（請註明）: ____________________________

☐ Passes in English or Chinese, and Mathematics in HKCEE or equivalent
香港中學會考證書英文或中文，及數學合格或同等學歷

☐ Passes in Hong Kong Securities and Investment Institute Diploma Programme Examination (DPE)
香港證券及投資學會文憑課程考試合格
Paper 試卷：☐1☐2☐3

☐ Hong Kong Securities and Investment Institute Professional Diploma in Financial Markets (PDFM)
香港證券及投資學會金融市場專業文憑
Module 單元：☐1☐2☐3☐4☐5☐6☐7

☐ Passes in Hong Kong Securities and Investment Institute Licensing Examination (LE) for Securities and Futures Intermediaries
香港證券及投資學會證券及期貨從業員資格考試合格
Paper 試卷：☐1☐7☐8☐9☐10☐11☐12

☐ Others (please specify) 其他（請註明）: ____________________________

3. Do you possess any relevant license or professional qualification? (e.g. SFC license, HKMA registration, CFP, CFA, CPA, etc.)
閣下是否持有相關的牌照或專業資格？（例如證監會牌照、金管局註冊、特許財務策劃師、特許金融分析師、註冊會計師等資格）
Please provide certified copies of relevant certificates or supporting documents
請提供相關證書或證明文件的核證本

☐ No 否

☐ Yes, details are as follows 是，詳情如下

☐ Chartered Financial Analyst (CFA) 特許金融分析師

☐ Certified International Investment Analyst (CIIA) 註册國際投資分析師

☐ Certified Financial Planner (CFP) 認可財務策劃師

☐ Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會計或財務專業資格（請註明）: ____________________________

☐ Others (please specify) 其他（請註明）: ____________________________

4. **Relevant Work Experience 相關工作經驗**
Do you have any relevant working experience about the Relevant Products and Markets?
閣下是否擁有相關產品及市場的相關工作經驗？

☐ No 否

☐ Yes, details are as follows (please ***tick** the box(es) where applicable* and fill in the blanks accordingly)
是，詳情如下（請在下列適當方格內劃上「✓」號及填寫空格）

		Work Experience 工作經驗				
	Investment Products 投資產品	**Relevant Market 相關市場**	**Name of employer 僱主名稱**	**Job Title 職銜**	**Years of Service 服務年期**	**Are you working/Have you worked as a Designated Investment Decision Maker for such employer? 閣下是否正為／或曾為該僱主擔任指定投資決策者？**
☐	(a) Stocks 股票	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否

		馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________					
☐	(b)	Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品（例如債券､可換股債券等）/ 外幣存款	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否
☐	(c)	Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否
☐	(d)	Derivatives and Leverage Products (e.g. Futures,	☐ Hong Kong 香港 ☐ Mainland China 中國內			Senior management	☐ Yes 是 ☐ No 否

Business address Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong
營業地址: 香港灣仔告士打道 151 號資本中心 1802 室
Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

		Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品（例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等）	地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年		
☐	(e)	Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鉤存款等)	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否	
☐	(f)	Others (please specify) 其他 (請註明): ____________ ____________ ____________ ____________	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify)			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否	

		其他（請註明）: ____________ ____________ ____________				

5. Additional notes on other investment background about the Relevant Products and Markets (where applicable)
閣下就相關產品及市場的其他投資資歷的附加註釋（如適用）

____

____

____

(Note: Please use additional sheets and indicate the page number where necessary)
（註：如有需要，請使用額外紙張填寫（並標註頁碼））

IMPORTANT NOTES:
重要提示：
If Funderstone Group is not reasonably satisfied that the Client has met all requirements under paragraph 15.3A of the Code of Conduct for Persons Licensed by or Registered with the SFC based on the information provided by the Client in Parts D2 to D4 above, the Client may be required to complete a separate Client Risk Profiling Questionnaire.
如Funderstone 集團根據客戶於上述第D2至D4部分提供之資料，未能合理地信納客戶符合《證監會持牌人或註冊人操守準則》15.3A段內所有條件，Funderstone 集團可能要求客戶填寫另外之客戶風險評估問卷。

E. IDENTITY DECLARATION 身份聲明

1. Does any of your director, substantial shareholder, ultimate beneficial owner or Authorised Person(s) have any relationship with the director(s) or employee(s) of Funderstone Group or its associated companies?
貴法團之任何董事、主要股東、最終實益持有人或獲授權人士是否與 Funderstone 集團或其聯營公司之董事或僱員有任何關係?

☐ No 否
☐ Yes 是
Details are 詳情為:____

2. Is any of your director, substantial shareholder, ultimate beneficial owner or Authorised Person(s) a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?
貴法團之任何董事、主要股東、最終實益持有人或獲授權人士是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?

☐ No 否
☐ Yes 是
Details are 詳情為:____

3. Is any of your director, substantial shareholder, ultimate beneficial owner or Authorised Person(s) a current or former senior official or member in public office in the local or foreign government (e.g. appointed member of committee), involved in any political activities such as political party or government consultant or holding a current or former senior management position of a state-owned enterprise or listed company?
貴法團之任何董事、主要股東、最終實益持有人或獲授權人士是否現任職或曾任職於香港或海外政府部門之高級管理官員或擔任公職（如政府委任之委員會）、現正或曾經從事任何政治工作（如政黨人士或政府顧問等）或國營企業或上市公司高級管理層職位？

☐ No 否
☐ Yes 是
Details are 詳情為:____

4. Is the immediate family member or spouse of any of your director, substantial shareholder, ultimate beneficial owner or Authorised Person(s) involved in any of the above activities?
貴法團之任何董事、主要股東、最終實益持有人或獲授權人士的直系親屬或配偶是否現正或曾經從事以上其中一項活動?

☐ No 否
☐ Yes 是
Details are 詳情為:____

5. Are you the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)?
貴法團是否是賬戶的最終及唯一實益擁有人，並完全負責為該(等)賬戶運作所發出的一切指示？

☐ No 否
☐ Yes 是

If No, please provide the particulars of ALL the beneficial owner(s) / person(s) who is/are ultimately responsible for originating instructions ("Relevant Person(s)")
如不是，請提供所有實益擁有人 / 最終發出指示的人士("相關人士") 之資料

Chinese Name 中文姓名:______________________________

English Name 英文姓名:______________________________

Relationship with you 與貴法團的關係:
- ☐ Ultimate Beneficial Owner of Account(s) 該(等)賬戶之最終實益擁有人
- ☐ Person who is ultimately responsible for originating instructions of Account(s) 最終負責發出該(等)賬戶指示之人
- ☐ Your Authorised Person 貴法團之獲授權簽署人
- ☐ Your trustee 貴法團之受託人
- ☐ Others (please specify) 其他(請註明): ______________________________

1. Please provide the identity document and address proof (issued by independent third party within 3 months) of your Relevant Person(s).
請提供貴法團之相關人士之身份證明文件及由獨立第三方出具的最近三個月內的地址證明。
2. Please provide passport if your Relevant Persons(s) is/are non-permanent HK resident(s).
若貴法團相關人士並非香港永久居民，請提供其護照。
3. Please provide in a timely matter other KYC documents as required by Funderstone Group, from time to time, including Continuation Sheet B provided by your Relevant Person.
請按照 Funderstone 集團不時的要求及時提供其他「認識您的客戶」文件，包括由貴法團相關人士填寫的續頁 B。

F. RELATED MARGIN FINANCING ACCOUNT(S) 相關保證金融資賬戶 (For Margin Account only 只適用於保證金賬戶)

1. Does any member of the same group of companies which you belong to have a margin account with Funderstone Group?
貴法團的同一集團公司旗下之其他公司是否有在 Funderstone 集團開立保證金賬戶？
☐ No 否
☐ Yes 是

Name of the Relevant Company 相關公司名稱:______________________________

Account No. 賬戶號碼:______________________________

2. Are you in control of 35% or more of the voting rights of another margin client of Funderstone Group?
貴法團是否控制 Funderstone 集團其他保證金賬戶持有人 35%或以上之表決權？
☐ No 否
☐ Yes 是

Name of the Relevant Account 相關賬戶名稱:______________________________

Account No. 賬戶號碼: ______________________________

Business address 營業地址: Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong 香港灣仔告士打道 151 號資本中心 1802 室
Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

G. FATCA QUESTIONNAIRE AND DECLARATION 海外帳戶稅收合規法案問卷及聲明

This Part allows you to declare your identity under the Foreign Account Tax Compliance Act ("**FATCA**") classification.
請於本部分根據美國《海外帳戶稅收合規法案》(「**FATCA** 」) 申報貴法團的身份。

	FATCA Identity Declaration FATCA 身份聲明	**Additional Document**
☐	The entity is incorporated, created or organised in the United States of America or under the law of the United States of America or of any of the States of the United States of America, including the District of Columbia. 公司是在美利堅合眾國或根據美利堅合眾國或任何美國州份法律下所註冊、成立或創建。	W-9 Form 表格
☐	The entity is a financial Institution. 公司是金融機構。	W-8BEN-E Form 表格
☐	The entity has US citizen(s)/US tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding. 公司大股東(持有股權超過 10%)是美國公民/美國稅務居民。	W-8BEN-E Form 表格
☐	The entity is setup as an investment vehicle (e.g. hedge fund) having US citizen(s)/US tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding. 公司是設置作為投資公司(如對沖基金),公司大股東(持有股權超過 10%)是美國公民/美國稅務居民。	W-8BEN-E Form 表格
☐	The entity is setup as trust which has US citizen(s)/US tax resident(s) who is/are beneficiary(ies) of the trust. 公司是設置作為信託公司,而最終受益人是美國公民/美國稅務居民	W-8BEN-E Form 表格
☐	Other entity that is not conducting a financial institution related business (e.g. retail, catering, trading and importing/ exporting, manufacturing, property agent, IT solutions, marketing, education, telecommunications, etc.) and without any U.S. Person as its substantial shareholders or ultimate beneficial owners. 公司非從事金融相關業務 (如零售,餐飲,貿易,進口/出口,製造,物業代理,資訊科技解決方案,市場營銷,教育,電信等)和不帶任何美國人士作為其主要股東或最終實益人。	W-8BEN-E Form 表格

☐ We declare and confirm that the information provided in this Part is true, accurate and complete. We undertake to inform Funderstone Group within 30 calendar days if there is a change in any information which we have provided in this Part.
本法團在本部份所提供的資料為真實、準確及完整的。本法團同意倘若本法團在本部份所提供的資料有任何變更,本法團會於 30 個曆日內通知 Funderstone 集團。

H. AUTHORISED PERSON 獲授權人士

All instructions will follow your Board Resolution.
所有指示以貴法團的公司董事決議案為準。

Note: Please provide a certified copy of the Board Resolution with list of Authorised Person(s) (identity information and title), signing instructions and the signature specimen of the Authorised Person(s).
備註:請提交一份經核證的公司董事決議案,註明獲授權人士名單(身份信息及職銜),簽署安排及獲授權人士的簽字式樣。

I. CLIENT'S DECLARATION, CONFIRMATION AND AGREEMENT 客戶聲明、確認及協議

1. We agree to open the account(s) listed in Section A1 herein ("**Account(s)**") with Funderstone Group, and is bound by this Account Opening Form, "Acknowledgement by Client", the relevant sections/schedules of the "Terms and Conditions for Trading Account" and all the provisions of the rules and guidelines promulgated by Funderstone Group from time to time (collectively referred to as "**All Those Terms**"). All Those Terms have been published at www.funderstonesec.com. We have already been advised by Funderstone Group to seek independent legal advice for All Those Terms. We agree that Funderstone Group can request us to sign any documents as required under All Those Terms.
本法團同意遵守開戶表格、《客戶守則》、《交易賬戶條款及條件》之相關章節/附表的所有條款及條件及其他由Funderstone 集團不時發出之守則及指引內之所有條款及條件 (統稱"**該等條款**") 開立此開戶表格A1章節所列出的賬戶 ("**賬戶**")。該等條款亦已刊載於www.funderstonesec.com上。Funderstone 集團已經建議本法團對上述之該等條款尋求獨立法律意見。本法團同意Funderstone 集團有權要求本法團簽署該等條款所要求的任何文件。

2. Before opening the Account(s) with Funderstone Group, we have fully read and understood the contents of All Those Terms and we agree, accept and confirm all their provisions and agree and accept to be bound by All Those Terms.
本法團在與Funderstone 集團開立賬戶前已經細閱及完全明白所有該等條款之內容,本法團並同意、接受及確認該等條款內所有條款及條件,並同意及接納受該等條款的約束。

3. We hereby declare that unless specifically stated otherwise, we are the person(s) who is/are ultimately responsible for originating the instructions and unless specifically stated otherwise, we are the person(s) who stand(s) to gain the economic benefit of the transactions and bear the economic risk.
本法團特此聲明,除非另有明確述明,否則本法團是最終負責發出指示的人,而且除非另有明確述明,否則本法團是從交易取得經濟利益及承擔其經濟風險的人。

4. We hereby acknowledge and confirm that we have authorised Funderstone Group to deal with our moneys, securities, the Collateral (as defined in the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account") and the Margin (as defined in relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account") upon and in accordance with the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account" (the "**Relevant Standing Authority**"). We acknowledge and confirm that the contents and effects of the Relevant Standing Authority have been explained to us, and we fully understand:- (i) the contents and effects of the Relevant Standing Authority; and (ii) we hereby authorise Funderstone Group to renew the Relevant Standing Authority at its absolute discretion. The Standing Authority (Client Securities) is applicable to the Margin Account and Futures Account Clients while it is not applicable to Clients who only hold a Cash Account. The Standing Authority (Client Money) is applicable to Clients with multiple accounts while it is not applicable to Clients holding

one account only.
本法團謹此知悉及確認，已根據《交易賬戶條款及條件》內適用部分(“**適用常設授權**”)，授權Funderstone 集團處置本法團的金錢、證券、抵押品(其定義見《交易賬戶條款及條件》之相關章節/附表)及保證金(其定義見《交易賬戶條款及條件》之相關章節/附表)。本法團知悉及確認適用常設授權的內容及作用已獲清楚解釋，而本法團亦完全明白(i)適用常設授權的內容及作用；及(ii)本法團已授權Funderstone 集團有絕對的酌情權延續適用常設授權。常設授權(客戶證券)適用於保證金賬戶及期貨賬戶的客戶，並不適用於只持有現金賬戶的客戶。常設授權(客戶款項)適用於持有多於一個賬戶的客戶，並不適用於只持有單一賬戶的客戶。

5. We acknowledge and confirm the Relevant Standing Authority is required to be renewed annually. We authorise Funderstone Group to renew the Relevant Standing Authority annually and we have the choice to reject the renewal. If no written objection is received by mail from us, it means we agree and accept the extension and to be bound by the renewed Relevant Standing Authority.
本法團知悉及確認適用常設授權每年需延續一次。本法團授權Funderstone 集團每年延續適用常設授權，本法團可提出反對。如Funderstone 集團未收到本法團書面反對，則表示本法團同意及接受延續適用常設授權並繼續受其約束。

6. We will NOT create any charge, pledge or encumbrance over the whole or any part of the Account(s) when such Account(s) is/are held with Funderstone Group.
本法團在Funderstone 集團擁有賬戶期限內不會對該(等)帳戶的整體或任何部分設置任何押記、質押或產權負擔。

7. We declare and confirm that all the information provided in this Account Opening Form is true, complete and correct and authorise Funderstone Group to confirm this from any source. Funderstone Group is entitled to rely on such information and representations for all purposes, unless and until Funderstone Group receives notice in writing from us of any change of the aforesaid information.
本法團聲稱及確認，所有填寫於本開戶表格的資料均屬真實，完全及正確，並授權Funderstone 集團可向任何方面查證。除非及直至Funderstone 集團接到本法團的書面通知變更提供的資料，否則Funderstone 集團有權根據此等資料及聲明作一切用途。

8. We acknowledge and confirm that we have received, read and fully understood the Risk Disclosure Statements as set out in the relevant section(s)/schedule(s) of the “Terms and Conditions for Trading Account” in a language of our choice. We confirm that we have been invited to ask questions in writing and seek independent legal advice, and that we fully understood and accepted all the aforesaid Risk Disclosure Statements.
本法團知悉及確認已收到一份按本法團所選擇的語言的《交易賬戶條款及條件》之相關章節/附表內的風險披露聲明，且本法團已閱讀及完全明白該風險披露聲明。本法團亦確認已獲邀請透過書面途徑提出問題及尋求獨立法律意見，並確認本法團已完全明白及接受所有上述的風險披露聲明。

9. We have carefully considered the Risk Disclosure Statements as set out in the relevant section(s)/schedule(s) of the “Terms and Conditions for Trading Account” and recognize that trading in investment products involves a high degree of risk. We have considered our financial position and investment objective, we confirm that we are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in investment products is a suitable investment vehicle for us.
本法團已仔細考慮《交易賬戶條款及條件》之相關章節/附表的風險披露聲明，而且瞭解進行投資產品買賣所涉及之高風險。本法團已考慮到本法團的財務狀況和投資目標，並確認本法團之財務狀況能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認買賣投資產品是一項本法團合適的投資方式。

10. We acknowledge and confirm to trade derivative products with and through Funderstone Group unless otherwise ticked in the box below. We confirm and accept the explanation of risks in trading different derivative products provided by Funderstone Group. We clearly understand the risks that may be caused by trading these derivative products and agree to bear such risks, as well as to take responsibilities involved.
除非本法團在下面方格內加上剔號，否則本法團知悉及同意與Funderstone 集團進行衍生產品買賣交易。本法團現確認及接受Funderstone 集團就有關交易各類衍生產品作出之風險解釋，本法團清楚明白相關衍生產品所帶來的風險及同意承擔風險及責任。

☐ We will **NOT** trade derivative products with and through Funderstone Group. However, if we start trading derivative products with and through Funderstone Group, we acknowledge and accept the risks that may be caused by trading these derivative products and agree to bear such risks, as well as to take responsibilities involved.
本法團不會在Funderstone 集團進行衍生產品買賣交易。如本法團日後決定通過Funderstone 集團進行衍生產品買賣交易，即代表本法團知悉及接受相關衍生產品所帶來的風險及同意承擔風險及責任。

11. We acknowledge and confirm that we should pay attention to the announcement / notice promulgated on www.funderstonesec.com from time to time.
本法團知悉及確認本法團應不時留意於www.funderstonesec.com刊載的公告及通知。

12. We are hereby informed that Funderstone Group intends to use the Authorised Person(s)’s personal data for the direct marketing of: (i) financial services and investment products; (ii) related promotional schemes; (iii) financial and investment advices; or (iv) promotional and marketing events of Funderstone Group for the aforesaid services or products. Such personal data includes the Authorised Person(s)’s name, contact details, financial background and statistical data which are provided to Funderstone Group under this Account Opening Form or obtained by Funderstone Group from time to time. We understand that the Authorised Person(s) may, at any time, require Funderstone Group to cease to use his personal data for direct marketing through such channel prescribed by Funderstone Group. We acknowledge and accept the terms in the relevant section(s)/schedule(s) of the ”Terms and Conditions for Trading Account” relating to the Personal Information Collection Statements.
本法團現獲告知Funderstone 集團擬使用本法團獲授權人士之個人資料以直接促銷：(i) 金融服務和產品；(ii) 相關優惠計劃；(iii) 金融與投資建議；或(iv) Funderstone 集團就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括本法團獲授權人士在本開戶表格中不時向Funderstone 集團提供的或由Funderstone 集團不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。本法團明白本法團獲授權人士可以隨時通過Funderstone 集團指定的渠道要求Funderstone 集團停止在直接促銷中使用該獲授權人士的個人資料。本法團知悉及同意《交易賬戶條款及條件》相關章節/附表內個人資料收集聲明。

13. We acknowledge and accept the terms in the relevant section(s)/schedule(s) of the “Terms and Conditions for Trading Account” relating to trading under Shanghai-Hong Kong Stock Connect/Shenzhen-Hong Kong Stock Connect (collectively referred to as “**Stock Connect**”) through Funderstone Group. We understand and accept the risks relating to trading of A-Shares via the Northbound trading under Stock Connect through Funderstone Group and agree to bear such risks, as well as to take responsibilities involved.
本法團知悉及同意《交易賬戶條款及條件》內相關章節/附表內有關通過Funderstone 集團進行滬港通及/或深港通之交易的相關條款。本法團明白及同意通過Funderstone 集團在滬港通及/或深港通的北向交易之下進行A股交易之相關風險及責任。

14. We acknowledge and accept that if we conduct any trading of A-shares under Stock Connect through Funderstone Group, we acknowledge and

accept the risks relating to trading of A-Shares under Stock Connect, agree to bear such risks, as well as to take responsibilities involved and agree to Funderstone Group's use of the Authorised Person(s)'s personal data in such relation.
本法團知悉及同意，如本法團日後通過Funderstone 集團在滬港通及/或深港通下進行A股交易，即代表本法團知悉及接受滬港通及/或深港通下進行A股交易所帶來的風險及同意承擔風險及責任，並同意Funderstone 集團就此使用本法團獲授權人士之個人資料。

15. We hereby declare that our signing in the signature column herein indicates that we have already fully read, confirmed, agreed, accepted, understood and are willing to comply with All Those Terms (including all the relevant contents and provisions of this Account Opening Form, "Acknowledgement by Client", the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account") and the Risk Disclosure Statements as set out the "Terms and Conditions for Trading Account". In relation to all the above mentioned contents and provisions, we have been invited to seek independent legal advice and have also understood and accepted all the contents and provisions.
本法團茲聲明，當本法團於下列簽署欄內簽署後，即表示本法團已完全細閱、確認、同意、接受、明白及願意遵守該等條款(包括本開戶表格內各項之所有內容、《客戶守則》、《交易賬戶條款及條件》之相關章節/附表)及《交易賬戶條款及條件》內的風險披露聲明的所有內容和細則。關於上述各項所有內容和細則，本法團已獲邀請尋求獨立法律意見，並完全明白及接受所有其內容和細則。

16. Subject to applicable local laws, we hereby consent for Funderstone Group (or any of its local or oversea subsidiaries) to disclose, report, or share our information with local and overseas regulators or tax authorities where necessary to establish our tax liability in any jurisdiction.
在不抵觸當地適用的法律的情況下，本法團特此同意Funderstone 集團（或任何其本地及海外附屬公司）可向本地及海外監管機構或稅務機構披露、呈交或提供本法團資料以確立本法團於任何司法管轄區的稅務責任。

17. Where required by local or overseas regulators or tax authorities, we consent and agree that Funderstone Group (or any of its local or oversea subsidiaries) may withhold from our Account(s) such amounts as may be required according to applicable laws, regulations and directives.
因應本地及海外監管機構或稅務機構的要求，本法團同意並准許Funderstone 集團（或任何其本地及海外附屬公司）可按適用的法律、法規和指令在本法團賬戶中扣留所須的相關款項。

18. We undertake to fully cooperate with Funderstone Group to ensure it meets its obligations under applicable laws, regulations and directives in connection with our Account(s).
本法團承諾會與Funderstone集團充分合作，以確保Funderstone 集團就處理與本法團賬戶相關的事宜會符合適用的法律、法規和指令。

19. If there is any inconsistency between the Chinese and English versions of this Account Opening Form, the English version shall prevail.
本開戶申請表之中英文本如有歧義，概以英文本為準。

CONFIRMED, AGREED AND SIGNED BY CLIENT 茲由客戶確認、同意並簽署:

____
Client's Company Chop 客戶之公司印章

Name of Client
客戶名稱：____________________________________

Date 日期：____________________________________

Client's Signature 客戶簽署 ____________________ Name of Authorised Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:	Client's Signature 客戶簽署 ____________________ Name of Authorised Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:
Client's Signature 客戶簽署 ____________________ Name of Authorised Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:	Client's Signature 客戶簽署 ____________________ Name of Authorised Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:

Business address 營業地址: Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong
香港灣仔告士打道 151 號資本中心 1802 室
Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

Business address Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong
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Notice of Treatment as a Professional Investor ("this Notice")
關於被視爲專業投資者的通知 （「本通知」）

Under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (as amended from time to time) (the "**Code of Conduct**") issued by the Securities and Futures Commission of Hong Kong, Funderstone Group may, in dealing with a client, classify such client as a "Professional Investor" where Funderstone Group believes such client falls within the definition of "Professional Investor" under the Securities and Futures Ordinance (the "**SFO**").
根據香港證券及期貨事務監察委員會發出（經不時修訂）的《證券及期貨事務監察委員會持牌人或註册人操守準則》(「《**操守準則**》」)，在與客戶交易的過程中，若 Funderstone 集團相信該客戶符合《證券及期貨條例》對「專業投資者」的定義，Funderstone 集團可將該客戶歸類爲「專業投資者」。

In light of your knowledge, expertise, experience, resources and/or your regulatory registration status in the Hong Kong Special Administrative Region of the People's Republic of China ("**Hong Kong**") and/or your home jurisdiction, Funderstone Group has classified you as a Professional Investor of the following product(s) and market(s):
鑒於貴法團的知識、專業知識、經驗、資源及/或貴法團在中華人民共和國香港特別行政區（「**香港**」）及/或貴法團本籍司法管轄區的監管註册狀况，Funderstone 集團已將貴法團歸類爲以下產品及市場的專業投資者：

**Please delete as appropriate 請刪去不適用者*

Relevant Products 相關產品	**Relevant Markets 相關市場**
(a) *Stocks 股票 (b) *Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品（例如債券、可換股債券等）/ 外幣存款 (c) *Mutual Funds / Unit Trusts 共同基金 / 單位信託基金 (d) *Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品（例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等） (e) *Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鈎存款等) (f) *Others (please specify) 其他（請註明）: ____________________	(i). *Hong Kong 香港 (ii). *Mainland China 中國內地 (iii). *United States 美國 (iv). *Japan 日本 (v). *United Kingdom 英國 (vi). *Europe 歐洲 (vii). *Australia 澳洲 (viii). *Singapore 新加玻 (ix). *Malaysia 馬來西亞 (x). *Others (please specify) 其他（請註明）: ____________________ ____________________

Below are the details of the risks and consequences of being treated as a Professional Investor and the right to withdraw from being treated as Professional Investor at any time.
以下為當客戶被視爲專業投資者的風險及後果，以及客戶可隨時撤回被視爲專業投資者的權利。

1. <u>Risks and Consequences of being treated as a Corporate Professional Investor</u>
<u>被視為法團專業投資者的風險及後果</u>

As you are treated as Professional Investor described in the SFO and the PI Rules, please be reminded to take note of the details under paragraphs 15.4 and 15.5 of the Code of Conduct and ensure that you understand the risks and consequences of being treated as a Corporate Professional Investor. **<u>Annexure 2</u>** provides provisions that may be waived for Professional Investors, which is a brief summary of paragraphs 15.4 and 15.5 of the Code of Conduct for reference only.
由於貴法團被視為《證券及期貨條例》及《專業投資者規則》定義的專業投資者，貴法團務須閱讀《操守準則》第 15.4 及 15.5 段的詳細內容，並確保貴法團明白被視為法團專業投資者的風險及後果。<u>附件 2</u> 載列之專業投資者可豁免的規定為《操守準則》第 15.4 及 15.5 段的摘要，只用作參考之用。

Where you act as an intermediary to effect transactions, upon request from Funderstone Group and/or the regulatory body(ies) and within the applicable time frame, you shall provide the required information about the ultimate client and person giving order to the regulatory body(ies) even the request is made after termination of your account(s) with Funderstone Group.
如貴法團以中介人身分執行交易，貴法團需應 Funderstone 集團及/或監管部門的要求，在適用的時限內向監管部門提供最終客戶及發出指示人士的資料。即使是貴法團在 Funderstone 集團的戶口結束後才提出的要求，此規定亦適用。

Notwithstanding your Professional Investor status with Funderstone Group, Funderstone Group would remind you that you are obliged to observe all

rules, regulations and laws of Hong Kong or any of its regulatory authority which apply to you. Accordingly, Funderstone Group would advise that you consult your own legal advisers.
儘管貴法團在 Funderstone 集團具有專業投資者的資格，但 Funderstone 集團謹提醒貴法團，貴法團必須遵守香港或適用於貴法團的任何香港監管部門的所有規則、規例及法例。因此，Funderstone 集團建議貴法團自行徵詢法律顧問的意見。

If you agree to be treated as a Professional Investor, please sign and return to Funderstone Group the Declaration of Consenting to Being Treated as a Professional Investor (the "**Declaration**") as attached herewith.
假如貴法團同意被視爲專業投資者，請簽署隨函夾附的「同意被視爲專業投資者之聲明」(「**聲明**」) 並交給 Funderstone 集團。

If you find yourself no longer fall within the definition of Professional Investor as defined in the SFO and the PI Rules, please notify Funderstone Group in writing immediately.
假若貴法團發現其不再符合《證券及期貨條例》及《專業投資者規則》對專業投資者的定義，請立即以書面方式通知 Funderstone 集團。

If you agree to be treated as a Professional Investor, Funderstone Group is required to carry out a confirmation exercise annually to enable Funderstone Group to ensure that you continue to fulfil the requisite requirements under the PI Rules.
假如貴法團同意被視爲專業投資者，Funderstone 集團需要每年向貴法團進行一次確認，從而確保貴法團繼續符合《專業投資者規則》所界定的有關規定。

Should you have any questions regarding this Notice or require further clarification or information, please feel free to contact Funderstone Group or seek professional advice.
如若貴法團對本通知有任何疑問，或需要進一步的說明或資料，請與 Funderstone 集團聯絡或徵詢專業意見。

2. Right to withdraw from being treated as a Professional Investor 撤回被視爲專業投資者的權利

If you become a Professional Investor, you have the right to withdraw from being treated as a Professional Investor for all products or markets or any part thereof for the purpose of the Code of Conduct at any time by **giving written notice** to Funderstone Group. After receiving such written notice, Funderstone Group will **process your request within 14 business days** and inform you about the effective date of such withdrawal. Any request of withdrawal given by you shall be without prejudice to and shall not affect the provision of any services rendered and/or products offered to you on the basis that you are a Professional Investor prior to such withdrawal taking effect.
貴法團若成為專業投資者，貴法團有權利隨時向 Funderstone 集團**提交已簽署的書面通知，**要求撤回對於所有或任何一項產品類別及/或相關市場被視爲《操守準則》所指的專業投資者身份。當收到貴法團的書面通知，Funderstone 集團會在 **14 個工作天之內處理**貴法團的要求，並會通知貴法團該撤回的生效日期。在該撤回還未生效之前，Funderstone 集團仍會視貴法團爲專業投資者，並在此條件下向貴法團提供任何相關服務及/或產品並無任何影響，且無損各方權利。

Funderstone Group also has the right, at any time, to stop treating you as a Professional Investor by giving not less than 14 days written notice to you. Such will be effective upon the expiry of such notice period, unless you follow the procedures to apply as a Professional Investor as Funderstone Group requires from time to time.
Funderstone 集團也有權利隨時向貴法團發出通知期不少於14天的書面通知停止貴法團被視爲一名專業投資者，在通知期屆滿後生效。除非貴法團按 Funderstone 集團不時要求的手續重新辦理申請成爲專業投資者。

3. Accurate information 準確資料

You confirm that the information and supporting document(s) provided in this assessment form is valid, complete and accurate. If there is any change to the information and relevant supporting document(s) provided and such change will have impact on your continuity of Professional Investor status, you are obligated to immediately notify Funderstone Group of any changes to that information, provide relevant supporting document(s) and/or re-perform the assessment.
貴法團須確認在本評估表格中所提供的資料及相關證明文件均屬有效、真實並正確無誤。如貴法團所提供的資料及相關證明文件在之後有任何改變，而其改變足以影響貴法團繼續成爲專業投資者，貴法團有責任即時通知Funderstone 集團更新資料、重新提供相關的證明文件及/或重新進行評估。

FUNDERSTONE

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Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

Client Declaration
客戶聲明

☐ We hereby confirm that the information provided above is true and complete. We also understand and agree that Funderstone Group may rely on the above information provided to assess whether we have acquired general knowledge of the nature and risks of derivative instruments. Funderstone Group is entitled to rely fully on such information for all purposes, unless they receive notice in writing from us of any change.
本法團確認上述資料完全真實及完整，並明白及同意 Funderstone 集團可能根據以上提供之資料評估本法團是否對衍生工具的性質及風險有一般認識。除非 Funderstone 集團收到本法團的任何書面變更通知，否則他們有權完全倚賴該等資料作任何用途。

☐ We fully understand the above mentioned Notice of Treatment as a Professional Investor fully explained by Licensed Representative, including:
本法團完全明白由持牌人士解釋的以上的關於被視爲專業投資者的通知，包括：

(a) We fall within the definition of Professional Investor under the SFO and the PI Rules;
本法團符合《證券及期貨條例》及《專業投資者規則》對「專業投資者」的定義；

(b) Funderstone Group has explained to us the risks and consequences of being treated as a Professional Investor and the right to withdraw from being treated as such at any time as contained in the Notice provided to us by them;
Funderstone 集團已向本法團解釋被視爲專業投資者的風險及後果，以及隨時撤回被視爲專業投資者的權利，如 Funderstone 集團向本法團提供的通知中所述；

(c) We fully understand the provisions in the Notice and we are fully aware of the risks and consequences of being treated as a Professional Investor and our right to withdraw from being treated as such for all products or markets or any part thereof, and agree to be treated as such; and
本法團完全明白通知中的條文，本法團完全知悉被視爲專業投資者的風險及後果以及本法團撤回被視爲所有或任何一項產品類別及/或相關市場的專業投資者的權利，並同意被視爲專業投資者；及

(d) We agree that we shall, immediately upon request by Funderstone Group, inform regulatory body(ies) of the identity, address, occupation, and contact details of the ultimate beneficiary(ies) if we effect a transaction otherwise than for our own benefits.
本法團同意，若本法團並非爲本法團的利益而執行一項交易，本法團須在 Funderstone 集團要求時，立即通知監管機構關於最終受益人的身份、地址、職業及聯絡資料。

(e) We further agree to provide supporting documents for verification of our status as a Professional Investor upon request.
本法團進一步同意，爲核實本法團的專業投資者身份，本法團同意按需要提供相關證明文件。

☐ We hereby give consent to be treated as a Corporate Professioanl Investor for the relevant product(s) and market(s) indicated below:
本法團謹此同意成爲以下相關產品和市場的法團專業投資者:

**Please delete as appropriate 請刪去不適用者*

Relevant Products 相關產品	Relevant Markets 相關市場
(a) *Stocks 股票	(i). *Hong Kong 香港
(b) *Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品（例如債券、可換股債券等）/ 外幣存款	(ii). *Mainland China 中國內地 (iii). *United States 美國
(c) *Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	(iv). *Japan 日本 (v). *United Kingdom 英國 (vi). *Europe 歐洲
(d) *Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品（例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等）	(vii). *Australia 澳洲 (viii). *Singapore 新加玻 (ix). *Malaysia 馬來西亞 (x). *Others (please specify) 其他（請註明）: ________________________ ________________________
(e) *Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鉤存款等)	
(f) *Others (please specify) 其他（請註明）: ________________________	

Business address 營業地址: Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong 香港灣仔告士打道 151 號資本中心 1802 室
Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

CONFIRMED, AGREED AND SIGNED BY 茲由確認、同意並簽署:

____
Client's Company Chop 客戶之公司印章

Name of Client
客戶名稱: ____

Date 日期: ____

Note: This Declaration should be signed by the Sole Proprietor if the Client is a sole-proprietorship, all Partners if the Client is a partnership, or the Authorized Person(s) if the Client is a limited company.
備註：如客戶為獨資經營商號，由東主簽署；如客戶為合夥組織，由所有合夥人簽署；如客戶為有限公司，由獲授權簽署人士簽署本聲明。

Client's Signature 客戶簽署 ________________________ Name of Authorized Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:	Client's Signature 客戶簽署 ________________________ Name of Authorized Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:
Client's Signature 客戶簽署 ________________________ Name of Authorized Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:	Client's Signature 客戶簽署 ________________________ Name of Authorized Signatory(ies) 獲授權簽署人姓名: Title 職銜: Date 日期:

Signature of Witness 見證人簽署
(To be certified by a person licensed or registered with the SFC or his affiliate, an affiliate of Funderstone Group, professional person, such as a branch manager of a bank, certified public accountant, lawyer or notary public. 由香港證監會發牌或註冊之人士或其聯繫人士、Funderstone 集團聯繫人士、專業人士 (例如: 銀行分行經理、執業會計師、律師或公證人) 核證。)

I, named below, hereby certify that I have met and identified each of the person(s) who executed these Account Opening Form and Client Declaration before me, and reviewed his/her/their original identification document(s). 本人(姓名見下)核證已經與本開戶表格及客戶聲明簽署人會晤及核對其身份證明文件正本，而且該等簽署人已在本人面前簽署本開戶表格及客戶聲明。

Name 姓名:______________________________ Qualifications 資格：________________________

Signature of Witness

見證人簽署： ____

Date 日期： ____

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Declaration from Staff 職員聲明 *(to be completed by staff of Funderstonr Group 此欄由 Funderstone 集團職員填寫)*

Professional Investor 專業投資者

I have clearly explained the Notice of Treatment as a Professional Investor, Client Declaration, Definition of Professional Investor (**Annexure 1**) and Provisions that may be waived for Professional Investors (**Annexure 2**) in this Account Opening Form in a language of the Client's choice and have also invited and suggested the Client to ask questions and to seek independent legal advice.

本人已根據客戶所選擇的語言向其提供及解釋本開戶表格中關於被視爲專業投資者的通知、客戶聲明、專業投資者的定義（**附件 1**）及專業投資者可豁免的規定（**附件 2**），並已邀請及建議客戶就其內容和細則提出問題及尋求獨立法律意見。

I, the undersigned Licensed Representative ("**LR**"), confirm that I have assessed the above Client based on the information and supporting documents provided by it in this Account Opening Form above. I am satisfied that it meets the requirements for Corporate Professional Investor of product(s) and market(s) indicated in the above Client Declaration and can be treated as such.

本人作爲簽署此文件的持牌人士，確認已基於由上述客戶於此開戶表格所提供的資料及證明文件評估上述客戶。本人信納上述客戶符合對法團專業投資者的規定，並可視上述客戶爲客戶聲明內剔選的產品和市場的法團專業投資者。

Risk Disclosure Statements 風險披露聲明

I have clearly explained the Risk Disclosure Statements as set out in the "Terms and Conditions for Trading Account" in a language of the Client's choice and have also invited and suggested the Client to ask questions and to seek independent legal advice.

本人已根據客戶所選擇的語言向其提供及解釋《交易賬戶條款及條件》內的風險披露聲明，並已邀請及建議客戶就其內容和細則提出問題及尋求獨立法律意見。

Name of Staff 職員姓名:____________________ Position 職位：____________________

Staff's CE No.職員中央編號:____________________

Signature of Staff
職員簽署： ____________________ (signed by LR 由持牌人士簽署)

Date 日期： ____________

For Funderstone Group's Use Only
Funderstone 集團專用

Base on the information provided by Client in this Account Opening Form, we are **satisfied** that the Client meets Funderstone Group's requirements for account opening and has provided valid KYC documents.

基於客戶在此開戶表格中提供的資料，我們已**信納**客戶已符合 Funderstone 集團的開戶要求，而且客戶已提供有效的「認識您的客戶」文件。

Base on the following Assessment Criteria, we are **satisfied** that the Client meets the requirements for Corporate Professional Investor of product(s) and market(s) indicated in the above Client Declaration and **can** be treated as such.

基於以下評估準則，我們已**信納**客戶已符合對法團專業投資者的以下兩項規定，並**可**視客戶爲以上客户聲明中標示的產品及市場之法團專業投資者：

Client **can** pass the Portfolio Adequacy Test and **has** valid asset proof. 客戶 **能夠** 通過資産充足度測試 及 **能夠** 提供有效的資産證明。
Client **can** pass the CPI Assessment and **has** valid proof. 客戶 **能夠** 通過法團專業投資者評估 及 **能夠** 提供有效的證明。

LR's Signature 持牌人士簽署	LR's Name / CE No. 持牌人士姓名 / 中央編號	Team / Dept 組別 / 部門	Date 日期

Endorsed by Responsible Officer 由負責人員批核:

Business address	Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong
營業地址:	香港灣仔告士打道 151 號資本中心 1802 室
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Fax No. 傳真號碼:	(852) 2533-7363

☐ Approve 批准 ☐ Reject 否決

____________________	____________________	____________________	____________________
Responsible Officer's Signature 負責人員簽署	Responsible Officer's Name 負責人員姓名	Team / Dept 組別 / 部門	Date 日期

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Annexure 1
附件 1

Definition of Professional Investor
專業投資者的定義

The Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) ("**SFO**") provides the following definition of "Professional Investor":
《證券及期貨條例》(香港法例第 571 章)(「**《證券及期貨條例》**」)提供以下有關「專業投資者」的定義:

(a) any recognised exchange company, recognised clearing house, recognised exchange controller or recognised investor compensation company, or any person authorised to provide automated trading services under section 95(2) of SFO;
認可交易所、認可結算所、認可控制人或認可投資者賠償公司,或根據《證券及期貨條例》第 95 (2)條獲認可提供自動化交易服務的人;

(b) any intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong;
中介人,或經營提供投資服務的業務並受香港以外地方的法律規管的其他人;

(c) any authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong;
認可財務機構,或並非認可財務機構但受香港以外地方的法律規管的銀行;

(d) any insurer authorised under the Insurance Companies Ordinance (Cap. 41 of the Laws of Hong Kong), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;
根據《保險公司條例》(香港法例第 41 章) 獲授權的保險人,或經營保險業務並受香港以外地方的法律規管的其他人;

(e) any scheme which-
符合以下說明的計劃—

(i) is a collective investment scheme authorised under section 104 of SFO; or
屬根據《證券及期貨條例》第 104 條獲認可的集體投資計劃;或

(ii) is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place,
以相似的方式根據香港以外地方的法律成立,並(如受該地方的法律規管)根據該地方的法律獲准許營辦,

or any person by whom any such scheme is operated;
或營辦任何該等計劃的人;

(f) any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap. 485 of the Laws of Hong Kong), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485. sub. leg. A of the Laws of Hong Kong), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2(1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;
《強制性公積金計劃條例》(香港法例第 485 章)第 2(1)條界定的註冊計劃,或《強制性公積金計劃(一般)規例》(香港法例第 485 章,附屬法例 A)第 2 條界定的該等計劃的成分基金, 或就任何該等計劃而言屬該條例第 2(1)條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人;

(g) any scheme which-
符合以下說明的計劃—

(i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426 of the Laws of Hong Kong); or
屬《職業退休計劃條例》(香港法例第 426 章)第 2(1)條界定的註冊計劃;或

(ii) is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place,
屬該條例第 2(1)條界定的離岸計劃,並(如以某地方為本籍而受該地方的法律規管)根據該地方的法律獲准許營辦,

or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;
或就任何該等計劃而言屬該條例第 2(1)條界定的管理人的人;

(h) any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency;
任何政府(市政府當局除外)、執行中央銀行職能的任何機構,或任何多邊機構;

(i) except for the purposes of Schedule 5 to SFO, any corporation which is-
(除為施行《證券及期貨條例》附表 5 外)符合以下說明的法團—

(i) a wholly owned subsidiary of-
屬下述者的全資附屬公司—

(A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or

中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或

(B) an authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong;
認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；

(ii) a holding company which holds all the issued share capital of-
屬持有下述者的所有已發行股本的控權公司—

(A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place ,outside Hong Kong; or
中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或

(B) an authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong; or
認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或

(iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii); or
屬第(ii)節提述的控權公司的任何其他全資附屬公司；或

(j) any person of a class which is prescribed by rules made under section 397 of SFO for the purposes of this paragraph as within the meaning of this definition for the purposes of the provisions of SFO, or to the extent that it is prescribed by rules so made as within the meaning of this definition for the purposes of any provision of SFO.
屬於為施行本段而藉根據《證券及期貨條例》第 397 條訂立的規則訂明為就《證券及期貨條例》條文屬本定義所指的類別的人，或(如為施行本段而藉如此訂立的規則訂明某類別為就《證券及期貨條例》任何條文屬本定義所指的類別)在該範圍內屬於該類別的人。

Section 3 of the Securities and Futures (Professional Investor) Rules (CAP 571D of the Laws of Hong Kong) ("**PI Rules**") provides that for the purposes of paragraph (j) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to SFO, the following persons are prescribed as within the meaning of that definition for the purposes of any provision of SFO other than Schedule 5—
《證券及期貨(專業投資者)規則》(香港法例第 571D 章)(「**《專業投資者規則》**」)第 3 條指，爲施行《證券及期貨條例》附表 1 第 1 部第 1 條「專業投資者」的定義的 (j) 段，現就《證券及期貨條例》的任何條文（附表 5 除外）訂明以下人士屬該定義所指的人—

(a) any trust corporation *(note 1)* having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HKD40 million at the relevant date *(note 2)* or as ascertained in accordance with section 8 of PI Rules;
符合以下說明的任何信託法團*（註 1）*：擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產在有關日期*（註 2）*或按照《專業投資者規則》第 8 條獲確定，不少於港幣 40,000,000 元；

(b) any individual having a portfolio *(note 3)* of not less than HKD8 million at the relevant date *(note 2)* or as ascertained in accordance with section 8 of PI Rules, when any one or more of the following are taken into account—
符合以下說明的任何個人：在考慮以下任何一項或多於一項時，擁有的投資組合*（註 3）*在有關日期*（註 2）*或按照《專業投資者規則》第 8 條而獲確定，不少於港幣 8,000,000 元——

(i) a portfolio on the individual's own account;
該個人本人的賬户內的投資組合；

(ii) a portfolio on a joint account with the individual's associate *(note 4)*;
該個人聯同其有聯繫者*（註 4）*於某聯權共有賬户內的投資組合；

(iii) the individual's share of a portfolio *(note 3)* on a joint account with one or more persons other than the individual's associate *(note 4*;
該個人在聯同一名或多於一名其有聯繫者*（註 4）*以外的人士於某聯權共有賬户內的投資組合*（註 3）*中所佔部分；

(iv) a portfolio *(note 3)* of a corporation which, at the relevant date *(note 2)*, has as its principal business the holding of investments and is wholly owned by the individual;
在有關日期的主要業務是持有投資項目並在有關日期*（註 2）*由該個人全資擁有的法團的投資組合*（註 3）*；

(c) any corporation having—
符合以下說明的任何法團 ——

(i) a portfolio *(note 3)* of not less than HKD8 million; or
擁有的投資組合*（註 3）*在有關日期*（註 2）*或按照《專業投資者規則》第 8 條而獲 確定不少於港幣 8,000,000 元；或

(ii) total assets of not less than HKD40 million,
擁有的總資產在有關日期*（註 2）*或按照《專業投資者規則》第 8 條而獲確 定不少於港幣 40,000,000 元；

at the relevant date *(note 2)* or as ascertained in accordance with section 8 of PI Rules;

(d) any corporation which, at the relevant date *(note 2)*, has as its principal business the holding of investments and is wholly owned by any one or more of the following persons—
在有關日期的主要業務是持有投資項目並在有關日期*（註 2）*由以下任何一名或多於一名人士全資擁有的任何法團 ——

(i) a trust corporation *(note 1)* specified in paragraph (a);
(a) 段指明的信託法團*（註 1）*；

(ii) an individual specified in paragraph (b);

(b) 段指明的個人;

(iii) a corporation specified in this paragraph or paragraph (c);
本段或 (c) 段指明的法團;

(iv) a partnership specified in paragraph (g);
(g) 段指明的合夥;

(v) a professional investor within the meaning of paragraph (a), (d), (e), (f), (g) or (h) of the definition of professional investor in section 1 of Part 1 of Schedule 1 to SFO; or
屬《證券及期貨條例》附表 1 第 1 部第 1 條專業投資者的定義的 (a)、(d)、(e)、(f)、(g) 或 (h) 段所指的專業投資者;或

(e) any corporation which, at the relevant date *(note 2)*, wholly owns a corporation referred to in paragraph (c);
在有關日期(*註 2*)全資擁有 (c) 段提述的法團的法團;

(f) any partnership specified for the purposes of section 3(d) of PI Rules is a partnership having—
為施行《專業投資者規則》第 3(d) 條而指明的合夥,是符合以下說明的合夥 ——

(i) a portfolio *(note 3)* of not less than HKD8 million; or
擁有的投資組合(*註 3*)在有關日期(*註 2*)或按照第 8 條而獲確定不少於港幣 8,000,000 元;或

(ii) total assets of not less than HKD40 million,
擁有的總資產在有關日期(*註 2*)或按照《專業投資者規則》第 8 條而獲確定不少於港幣 40,000,000 元。

at the relevant date *(note 2)* or as ascertained in accordance with section 8 of PI Rules.

Note 1: "trust corporation" means:-
註 1:「信託法團」指:

(a) any trust company registered under Part 8 of the Trustee Ordinance (Cap. 29 of the Laws of Hong Kong); or
根據《受託人條例》(香港法例第 29 章)第 8 部註冊的任何信託公司;或

(b) any other corporation which—
符合以下說明的其他法團 —

(i) carries on a business which is of a nature similar to that of a trust company referred to in paragraph (a); and
所經營的業務的性質與(a)段提述的信託公司所經營的業務的性質相似;並

(ii) is regulated under the law of any place outside Hong Kong.
根據香港以外地方的法律受規管。

Note 2: "relevant date" means:-
註 2:「有關日期」指:

(a) in the case of an advertisement, invitation or document described in section 103(3)(k) of SFO, means the date on which the advertisement, invitation or document is issued, or possessed for the purposes of issue;
就《證券及期貨條例》第 103(3)(k) 條所描述的廣告、邀請或文件而言,指發出或為發出而管有該廣告、邀請或文件的日期;

(b) in the case of a call described in section 174(2)(a) of SFO, means the date on which the call is made;
就《證券及期貨條例》第 174(2)(a) 條所描述的造訪而言,指進行該造訪的日期;

(c) in the case of an offer described in section 175(5)(d) of SFO, means the date on which the offer is made; or
就《證券及期貨條例》第 175(5)(d) 條所描述的要約而言,指提出該要約的日期;或

(d) in any other case which, by virtue of any rules made under SFO, requires compliance with an obligation, means the date by or on which the obligation is required to be complied with。
就憑藉根據《證券及期貨條例》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。

Note 3: "portfolio" means a portfolio comprising any of the following:
註 3:「投資組合」指由任何下述項目組成的投資組合:

(a) securities;
證券;

(b) a certificate of deposit issued by—
由 ——

(i) an authorized financial institution; or
認可財務機構發行的存款證;或

(ii) a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
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;

(c) in relation to an individual, corporation or partnership, money held by a custodian (note 5) for the individual, corporation or partnership.

就任何個人、法團或合夥而言，由保管人替該人、法團或合夥持有的款項。

Note 4: "associate", in relation to an individual, means the spouse or any child of the individual.
註 4：「有聯繫者」指就任何個人而言，指該人的配偶或任何子女。

Note 5: "custodian" means:-
註 5：「保管人」指：

(a) *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*
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

(b) *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—*
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) *an authorized financial institution;*
  認可財務機構；

  (ii) *a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;*
  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；

  (iii) *a licensed corporation;*
  持牌法團；

  (iv) *a person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong.*
  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。

Please take note that in this Annexure 1, a reference to an amount expressed in Hong Kong dollars includes its equivalent in any foreign currency.
請注意，在此附件 1 中，凡提述以港元表示的款額，包括其等值的任何外幣。

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Annexure 2
附件 2

Provisions that may be waived for Professional Investors
專業投資者可豁免的規定

Paragraph 15 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the "**Code**") provides that where a client of a licensed corporation is a Professional Investor (as defined under Part 1 of Schedule 1 to the Securities and Futures Ordinance) and **all relevant provisions** under the paragraph 15.3A and 15.B of the Code have been duly complied with and observed by the licensed corporation, such licensed corporation can be exempted from the following requirements of the Code.
證券及期貨事務監察委員會持牌人或註冊人的行為守則（「《**操守準則**》」）第 15 條規定，如持牌法團的客戶屬專業投資者（按《證券及期貨條例》附表 1 第 1 部定義）而且該持牌法團已妥為遵守及遵從《操守準則》第 15.3A 及 15.3B 段下的**所有相關規定**，則該持牌法團在可獲豁免守則中的以下規定：

Applicable exempt provisions for Institutional Professional investors and Corporate Professional Investors (where the licensed corporation has complied with paragraphs 15.3A and 15.3B of the Code)
機構專業投資者和法團專業投資者（前提是持牌法團已遵從《操守準則》第 15.3A 及 15.3B 段的規定）的適用豁免條款

(a) Information about clients
有關客戶的資料
- (i) the need to establish a client's financial situation, investment experience and investment objectives (paragraph 5.1 and paragraphs 2(d) and 2(e) of Schedule 6 to the Code), except where the licensed corporation is providing advice on corporate finance work;
須確立客戶的財務狀況、投資經驗及投資目標（《操守準則》第 5.1 段及附表 6 第 2(d)及 2(e)段），但上述豁免不適用於提供企業融資意見的持牌法團；
- (ii) the need to ensure the suitability of a recommendation or solicitation (paragraph 5.2 and paragraph 49 of Schedule 6 to the Code); and
須確保所作出的建議或招攬行為是合適的（《操守準則》第 5.2 段及附表 6 第 49 段）；及
- (iii) the need to assess the client's knowledge of derivatives and characterize the client based on his knowledge of derivatives (paragraph 5.1A of the Code);
須評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類（《操守準則》第 5.1A 段）；

(b) Client agreement
客戶協議
- (i) the need to enter into a written agreement and the provision of relevant risk disclosure statements (paragraph 6.1, paragraph 20.2(c), paragraph 2 of Schedule 3, paragraph 2 of Schedule 4 and paragraph 1 of Schedule 6 to the Code);
須訂立協議書及提供相關的風險披露聲明(《操守準則》第 6.1 段、第 20.2(c)段、附表 3 第 2 段、附表 4 第 2 段及附表 6 第 1 段)；

(c) Information for clients
為客戶提供資料
- (i) the need to disclose transaction related information (paragraph 8.3A of the Code);
須披露與交易相關的資料（《操守準則》第8.3A 段）；

(d) Discretionary accounts
委託賬戶
- (i) the need for a licensed corporation to obtain from the client an authority in a written form prior to effecting transactions for the client without his specific authority (paragraph 7.1(a)(ii) of the Code);
持牌法團在為該客戶進行未經該客戶特定授權的交易之前，須先向該客戶取得書面授權（《操守準則》第 7.1(a)(ii)段）；及
- (ii) the need to explain the authority described under paragraph 7.1(a)(ii) of the Code and the need to confirm it on an annual basis (paragraph 7.1(b) of the Code);
須解釋《操守準則》第 7.1(a)(ii)段所述的授權，並須每年確認該項授權一次（《操守準則》第 7.1(b)段）；
- (iii) the need for a licensed corporation to disclose benefits receivable for effecting transactions for a client under a discretionary account (paragraph 7.2 of the Code); and
持牌法團須披露因應在委託賬戶下為客戶進行交易而可取得的收益（《操守準則》第 7.2 段）；及

(e) the need to ensure the suitability of a transaction in a complex product, to provide sufficient information about a complex product and to provide warning statements (paragraph 5.5(a) of the Code).
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（《操守準則》第 5.5(a)段）

Applicable exempt provisions for Institutional Professional investors, Corporate Professional Investors (where the licensed corporation has complied with paragraph 15.3B of the Code) and Individual Professional Investors (where the licensed corporation has complied with paragraph 15.3B of the Code)
機構專業投資者、法團專業投資者（前提是持牌法團已遵從《操守準則》第 15.3B 段的規定）和個人專業投資者者（前提是持牌法團已遵從《操守準則》第 15.3B 段的規定）的適用豁免條款

(a) Information for clients
為客戶提供資料
- (i) the need to inform the client about the licensed corporation and the identity and status of its employees and others acting on its

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behalf (paragraph 8.1 of the Code);
須向客戶提供有關持牌法團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（《操守準則》第 8.1 段）;

(ii) the need to confirm promptly with the client the essential features of a transaction after effecting a transaction for a client (paragraph 8.2, paragraph 4 of Schedule 3 and paragraph 18 of Schedule 6 to the Code); and
為客戶完成交易後，須儘快向該客戶確認有關該宗交易的重點（《操守準則》第 8.2 段、附表 3 第 4 段及附表 6 第 18 段）；及

(iii) the need to provide the client with documentation on the Nasdaq-Amex Pilot Program (paragraph 1 of Schedule 3 to the Code).
須向客戶提供關於納斯達克－美國證券交易所試驗計劃的數據文件（《操守準則》附表 3 第 1 段）。

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Account No 賬戶號碼: ______
Date 日期: ______
Staff No. 負責職員編號: ______
Ref. No. 參考編號: ______
(For Funderstone Group's Use Only 只限 Funderstone 集團專用)

Continuation Sheet A 繼頁 A

Name of the relevant Designated Investment Decision Maker 相關指定投資决策者的名稱：

Chinese 中文：______

English 英文：______

Siganture of the Designated Investment Decision Maker 指定投資决策者簽署：______

1. **Relevant Products, Markets, Investment Experience and History 相關產品、市場、投資經驗及歷史**
*(The product(s) and market(s) indicated in the table below are referred to in this Part D4 as the "**Relevant Products and Markets**".)*
*（下表中已選的產品及市場於此D4部分中稱為「**相關產品及市場**」。）*

Do you have relevant investment experience in the Relevant Products and Markets?
閣下是否擁有相關產品及市場的相關投資經驗?

☐ No 否

☐ Yes, details are as follows (please ***tick** the box(es) where applicable* and fill in the blanks accordingly)
是，詳情如下（請在下列適當方格內劃上「✓」號及填寫空格）

<table>
<tr><th rowspan="2"></th><th rowspan="2">Investment Products
投資產品</th><th colspan="6">Investment Experience 投資經驗</th></tr>
<tr><th>Relevant Market
相關市場</th><th>Rating of your investment knowledge and experience and risks involved in the Relevant Products and Markets*
閣下評估自己的投資知識及經驗以及相關產品及市場的投資風險*
*Please use the scale provided below to indicate your answers.
*請以表格下面的程度標示答案。</th><th>Personal Investments or Investments for Others
個人投資或為他人而投資</th><th>Trading Volume in the last 12 months (HKD)
過去 12 個月內的交易金額（港幣）</th><th>No. of Transaction(s) in the last 12 months
過去 12 個月內的交易次數
*A sale and purchase of the same product shall be counted as one transaction.
*一買一賣計算爲一次交易。</th><th>Years of Experience
投資年期</th></tr>
<tr><td rowspan="2">☐</td><td rowspan="2">(a) Stocks
股票</td><td rowspan="2">☐ Hong Kong 香港
☐ Mainland China 中國內地
☐ U.S. 美國
☐ Japan 日本
☐ U.K. 英國
☐ Europe 歐洲
☐ Australia 澳洲
☐ Singapore 新加玻
☐ Malaysia 馬來西亞
☐ Others (please specify) 其他（請註明）：
______
______
______</td><td rowspan="2">Level of investment knowledge and experience: 投資知識及經驗程度:
☐ 1
☐ 2
☐ 3
Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度:
☐ Very high 非常高
☐ High 高
☐ Moderate 中等
☐ Low 低
☐ Very low 非常低</td><td>☐ Personal Investments
個人投資</td><td></td><td>口 less than 40 少於 40 宗
口 more than 40 多於 40 宗</td><td>☐ less than 2 years 少於 2 年
☐ more than 2 years, the no. of years is: 多於 2 年，年期為：______</td></tr>
<tr><td>☐ Investments for Others
為他人而投資</td><td></td><td>口 less than 40 少於 40 宗
口 more than 40 多於 40 宗</td><td>☐ less than 2 years 少於 2 年
☐ more than 2 years, the no. of years is: 多於 2 年，年期為：______</td></tr>
</table>

☐ (b) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品（例如債券、可換股債券等）/ 外幣存款	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________
			☐ Investments for Others 為他人而投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________
☐ (c) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________
			☐ Investments for Others 為他人而投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________
☐ (d) Derivatives and Leverage Products (e.g. Futures, Options, Warrants,	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2	☐ Personal Investments 個人投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為: ________

		Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品（例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等）	☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: __________ __________ __________	☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Investments for Others 為他人而投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________	
☐	(e)	Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品(例如股票掛鉤存款/票據、貨幣掛鉤存款等)	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: __________ __________ __________	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資 ☐ Investments for Others 為他人而投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗 ☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________ ☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________	
☐	(f)	Others (please specify) 其他 (請註明): ________ ________ ________ ________	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加玻 ☐ Malaysia 馬來西亞 ☐ Others (please specify)	Level of investment knowledge and experience: 投資知識及經驗程度: ☐ 1 ☐ 2 ☐ 3 Level of risk involved in the Relevant Products and Markets 相關產品及市場的投資風險程度: ☐ Very high 非常高 ☐ High 高 ☐ Moderate 中等 ☐ Low 低 ☐ Very low 非常低	☐ Personal Investments 個人投資 ☐ Investments for Others 為他人而投資		☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗 ☐ less than 40 少於 40 宗 ☐ more than 40 多於 40 宗	☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________ ☐ less than 2 years 少於 2 年 ☐ more than 2 years, the no. of years is: 多於 2 年，年期為：________	

		其他（請註明）: __________ __________ __________					

Please indicate the rating of your investment knowledge and experience according to the following scale:
請以下數字範圍標示閣下評估自己的投資知識及經驗的程度
***1** – I have limited or no knowledge and experience about the Relevant Products and Markets, and I have limited understanding about the risks involved in the Relevant Products and Markets.*
本人就相關產品及市場具有限的或沒有知識及經驗，本人對相關產品及市場涉及的風險具有限的理解。
***2** – I have average knowledge or experience about the Relevant Products and Markets, and I have average understanding about the risks involved in the Relevant Products and Markets.*
本人就相關產品及市場具有普通的知識或經驗，本人對相關產品及市場涉及的風險具普通的理解。
***3** – I have advanced and sufficient knowledge or experience about the Relevant Products and Markets, and I have advanced and sufficient understanding about the risks involved in the Relevant Products and Markets.*
本人就相關產品及市場具有深度且充分知識或經驗，本人對相關產品及市場涉及的風險具深度且充分的理解。

2. **Relevant academic or professional qualifications 相關學歷或專業資格**

Do you have academic qualification(s) or training(s)) in the Relevant Products and Markets?
閣下是否擁有相關產品及市場的學歷或培訓經驗?
Please provide certified copies of relevant certificates or supporting documents
請提供相關證書或證明文件的核證本

☐ No 否
☐ Yes, details are as follows 是，詳情如下
  ☐ Degree in accounting, business administration, economics, finance, law or other degree or above
  會計、工商管理、經濟、財務、法律學位或其他學位或以上
  ☐ Chartered Financial Analyst (CFA) 特許金融分析師
  ☐ Certified International Investment Analyst (CIIA) 註册國際投資分析師
  ☐ Certified Financial Planner (CFP) 認可財務策劃師
  ☐ Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會計或財務專業資格（請註明）: ______________________
  ☐ Passes in English or Chinese, and Mathematics in HKCEE or equivalent
  香港中學會考證書英文或中文，及數學合格或同等學歷
  ☐ Passes in Hong Kong Securities and Investment Institute Diploma Programme Examination (DPE)
  香港證券及投資學會文憑課程考試合格
  Paper 試卷: ☐1☐2☐3
  ☐ Hong Kong Securities and Investment Institute Professional Diploma in Financial Markets (PDFM)
  香港證券及投資學會金融市場專業文憑
  Module 單元: ☐1☐2☐3☐4☐5☐6☐7
  ☐ Passes in Hong Kong Securities and Investment Institute Licensing Examination (LE) for Securities and Futures Intermediaries
  香港證券及投資學會證券及期貨從業員資格考試合格
  Paper 試卷: ☐1☐7☐8☐9☐10☐11☐12
  ☐ Others (please specify) 其他（請註明）: ______________________

3. Do you possess any relevant license or professional qualification? (e.g. SFC license, HKMA registration, CFP, CFA, CPA, etc.)
閣下是否持有相關的牌照或專業資格？（例如證監會牌照、金管局註冊、特許財務策劃師、特許金融分析師、註册會計師等資格）
Please provide certified copies of relevant certificates or supporting documents
請提供相關證書或證明文件的核證本

☐ No 否
☐ Yes, details are as follows 是，詳情如下
  ☐ Chartered Financial Analyst (CFA) 特許金融分析師
  ☐ Certified International Investment Analyst (CIIA) 註册國際投資分析師
  ☐ Certified Financial Planner (CFP) 認可財務策劃師
  ☐ Other international recognized professional qualifications in law, accounting or finance (please specify) 其他國際認可的法律、會計或財務專業資格（請註明）: ______________________
  ☐ Others (please specify) 其他（請註明）: ______________________

4. **Relevant Work Experience 相關工作經驗**
Do you have any relevant working experience about the Relevant Products and Markets?
閣下是否擁有相關產品及市場的相關工作經驗?
☐ No 否
☐ Yes, details are as follows (please ***tick*** *the box(es) where applicable* and fill in the blanks accordingly)

Business address 營業地址: Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong 香港灣仔告士打道 151 號資本中心 1802 室
Website 網址: www.funderstonesec.com
Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

是，詳情如下（請在下列適當方格內劃上「✓」號及填寫空格）

	Investment Products 投資產品	Work Experience 工作經驗				
		Relevant Market 相關市場	**Name of employer 僱主名稱**	**Job Title 職銜**	**Years of Service 服務年期**	**Are you working/Have you worked as a Designated Investment Decision Maker for such employer? 閣下是否正為／或曾為該僱主擔任指定投資決策者?**
☐	(a) Stocks 股票	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否
☐	(b) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc) / Foreign Currency Deposit 定息投資產品（例如債券 可換股債券等）/ 外幣存款	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否
☐	(c) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國			Senior management role(s) 資深管理職位:____ years 年	☐ Yes 是 ☐ No 否

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Fax No. 傳真號碼: (852) 2533-7363

		☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			Junior role(s) 初級職位:____years 年	
☐	(d) Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc) 衍生工具/槓桿產品（例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等）	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ____________ ____________ ____________			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否
☐	(e) Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc) 結構化產品 (例如股票掛鈎存款/票據、貨幣掛鈎存款等)	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）:			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否

		___________ ___________ ___________				
☐	(f) Others (please specify) 其他 (請註明): _____________ _____________ _____________ _____________	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ U.S. 美國 ☐ Japan 日本 ☐ U.K. 英國 ☐ Europe 歐洲 ☐ Australia 澳洲 ☐ Singapore 新加坡 ☐ Malaysia 馬來西亞 ☐ Others (please specify) 其他（請註明）: ___________ ___________ ___________			Senior management role(s) 資深管理職位:____ years 年 Junior role(s) 初級職位:____years 年	☐ Yes 是 ☐ No 否

5. Additional notes on other investment background about the Relevant Products and Markets (where applicable)
閣下就相關產品及市場的其他投資資歷的附加註釋（如適用）

____

____

____

(Note: Please use additional sheets and indicate the page number where necessary)
（註：如有需要，請使用額外紙張填寫（並標註頁碼））

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Tel No. 電話號碼: (852) 2845-7711
Fax No. 傳真號碼: (852) 2533-7363

Account No 賬戶號碼: ______________________
Date 日期: ______________________
Staff No. 負責職員編號: ______________________
Ref. No. 參考編號: ______________________
(For Funderstone Group's Use Only 只限 Funderstone 集團專用)

Continuation Sheet B 繼頁 B

A. PERSONAL INFORMATION 個人信息

Salutation 稱謂	☐ Mr. 先生 ☐ Miss 小姐 ☐ Ms.女士 ☐ Mrs.太太			
Gender 性別	☐ Male 男 ☐ Female 女			
Chinese Name 中文姓名	Surname 姓氏		First Name 名字	
English Name 英文姓名	Surname 姓氏		First Name 名字	
Former Name (If applicable) 曾用名 (如適用)	Surname 姓氏		First Name 名字	
Identification Document 身份證明 *∗For non-permanent HK resident, please provide passport.* *非香港永久居民之申請人應提交護照。*	Type of Identification Document and Identification Document No. 證件種類 及 證件號碼		Expiry Date (if applicable): 有效期至(如適用)	Country/Place of Issue: 簽發國家/地區
	☐ Identity Card 身份證*			
	☐ Passport 護照			
	☐ Others (please specify: 其他 (請註明:______________)			
Nationality 國籍 **Please state all of the nationalities if the applicant has more than one nationality.* *擁有多重國籍之申請人應註明其所有國籍*		Date of Birth 出生日期	______ / ______ / ______ DD 日 MM 月 YYYY 年	
Country/Place of Birth 出生國家/地區		Country/Place of Residence 居住國家/地區		

Residential Address 居住地址 ______________________________ ** PO Box is not acceptable 請勿填寫郵政信箱*	Country (Postal Code) 國家 (郵政編碼)
Correspondence Address (Please select one only) 通訊地址 (只選一項) ☐ Same as Residential Address 與居住地址相同 ☐ Address as specified below 如下指定地址: ______________________________ ** PO Box is not acceptable 請勿填寫郵政信箱*	Country (Postal Code) 國家 (郵政編碼)
E-mail Address 電郵地址:	
Correspondence, trading confirmations and statements to be sent to my: 通訊、交易確認及結單請寄往本人的 ☐ Residential Address 居住地址 ☐ Correspondence Address 通訊地址 ☐ Email Address 電郵地址	

Contact Details 聯絡資料	Mobile No. 手提電話	(Country Code 國家區碼) ( )	Office No. 辦公室電話	(Country Code 國家區碼) ( )
	Home No. 住宅電話	(Country Code 國家區碼) ( )	Fax No. 傳真號碼	(Country Code 國家區碼) ( )
Marital Status 婚姻狀況	☐ Single 單身 ☐ Married 已婚 ☐ Divorced/Separated 離婚/分居 ☐ Widowed 喪偶			
Education Level	☐ Primary School or below 小學或以下			

教育程度	☐ Secondary/High School 中學/高中 ☐ Matriculation or Post-secondary 大專或預科 ☐ University or above 大學或以上 ☐ Others (please specify) 其他 (請註明): ____________		
Employment Information 工作狀況			
Employment Status 工作現況	☐ Self-employed 自僱 ☐ Merchant 商號東主 ☐ Full-time employee 全職僱員 ☐ Part-time/Temporary/Contract employee 兼職/臨時/合約僱員 ☐ Not Currently Employed/Unemployed 非在職/失業 ☐ Student 學生 ☐ Housewife 家庭主婦 ☐ Retired 退休人士 ☐ Others (please specify) 其他 (請註明): ____________	Name of Current Employer (If applicable) 現任僱主名稱(如適用)	Chinese 中文 English 英文
		Current Job Title (If applicable) 現任職位(如適用)	
		Years of Employment with Current Employer (If applicable) 現職公司工作年數(如適用)	
Nature of Business 業務性質		Occupation 職業	
Office Address 公司地址			Country (Postal Code) 國家 (郵政編碼)

B. IDENTITY DECLARATION 身份聲明

1. Do you have any relationship with the director(s) or employee(s) of Funderstone Group or their respective associated companies?
閣下是否與 Funderstone 集團或其各自之聯營公司之董事或僱員有任何關係?

☐ No 否
☐ Yes 是

Details are 詳情為:____

2. Are you a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?
閣下是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?

☐ No 否
☐ Yes 是

Details are 詳情為:____

3. Are you a current or former senior official or member in public office in the local or foreign government (e.g. appointed member of committee), involved in any political activities such as political party or government consultant or holding a current or former senior management position of a state-owned enterprise or listed company?
閣下是否現任職或曾任職於香港或海外政府部門之高級管理官員或擔任公職（如政府委任之委員會)、現正或曾經從事任何政治工作（如政黨人士或政府顧問等）或國營企業或上市公司高級管理層職位?

☐ No 否
☐ Yes 是

Details are 詳情為:____

4. Is your immediate family member or spouse involved in any of the above activities?
閣下之直系親屬或配偶是否現正或曾經從事以上其中一項活動?

☐ No 否
☐ Yes 是

Details are 詳情為:____

5. Are you the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)?
閣下是否賬戶的最終及唯一實益擁有人，並完全負責為該(等)賬戶運作所發出的一切指示？

☐ No 否
☐ Yes 是

Signature 簽署

____

Name 姓名:

Date 日期: