



APPLICATION FOR TREATMENT AS “PROFESSIONAL INVESTOR” - INDIVIDUAL 專業投資者（個人）申請書

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

1 Treatment as a “professional investor” 「專業投資者」之待遇

I hereby declare that I am an individual having a portfolio of not less than \$8 million at the relevant date when any one or more of the following are taken into account 本人/吾等謹此聲明本人為個人客戶在考慮以下任何一項或多於一項時，擁有的投資組合在有關日期不少於\$8,000,000 -

- a. a portfolio on my own account 本人帳戶內的投資組合；
- b. a portfolio on a joint account with my associate 本人聯同有聯繫者於某聯權共有帳戶內的投資組合；
- c. my share of a portfolio on a joint account with one or more persons other than my associate 本人聯同一名或多於一名有聯繫者以外的人士於某聯權共有帳戶內的投資組合中所佔部份；
- d. a portfolio of a corporation which, at the relevant date, has as its principal business the holding of investments and is wholly owned by myself 在有關日期的主要業務是持有投資項目並在有關日期由本人全資擁有的法團的投資組合。

I further declare that I will provide/ have provided CMB International Securities Limited (“CMBIS”) with the relevant supporting documents issued within the required period as evidence to prove my fulfillment of the requirements as to be classified as a “professional investor” pursuant to the Securities and Futures Ordinance (Cap.571) (“SFO”). 本人/ 吾等進一步確認本人/ 吾等將會/ 已經向招銀國際證券提供所有於指定期內發出的相關證明文件，以證明本人/ 吾等符合《證券及期貨條例》(第 571 章) (下稱「證券及期貨條例」) 中有關「專業投資者」的定義所描述的人士。

Meanwhile, I would also like to apply to CMBIS to classify me as an “Individual Professional Investor” pursuant to 15.2 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (“Code”) in connection with our trading account maintained with CMBIS. 同時，本人/吾等現亦就本人/吾等於招銀國際證券持有的交易帳戶，向招銀國際證券申請成為《證券及期貨事務監察委員會持牌人或註冊人操守準則》(下稱「操守準則」) 定義之「專業投資者」。

2 Right to withdraw from being treated as a “professional investor” 撤回被視為「專業投資者」之資格:

I understand that I have the right, at any time, to object to being treated as a “professional investor” as described above and request to withdraw from being so treated by giving CMBIS written notice of not less than 5 business days. 本人/吾等明白本人/吾等於任何時候均擁有權利反對及撤回被視為「專業投資者」之資格，唯該等要求需要最少五個工作天前向招銀國際證券以書面提出。

I agree that unless and until CMBIS receives from me written notification of our objection and withdrawal, CMBIS will be entitled to treat me as a “professional investor” as described above with its attendant risks and consequences. Any request by me to withdraw from being treated as a “professional investor” shall be without prejudice to and shall not affect the provision of any services rendered to me on the basis that we are a “professional investor” prior to such withdrawal taking effect. 本人/吾等同意除非及直至招銀國際證券收到本人/吾等有關的反對及撤回資格之書面通知，招銀國際證券有權將本人/吾等視為「專業投資者」及本人/吾等將承擔相關的風險及後果。有關任何本人/吾等撤回「專業投資者」資格的要求，在該撤回要求生效前，均不會妨礙及影響招銀國際證券向本人/吾等提供的服務。

Signature 客戶簽名 	Signature (Joint Account Holder) 客戶簽名 (聯名帳戶持有人)
Name 客戶姓名	Name 客戶姓名
Date 日期 :	Date 日期 :