信有道證券有限公司
Signal D Securities Limited

Room 102, 1/F Kai Wong Commercial Building, 222 Queen's Road Central, Sheung Wan,Hong Kong
香港上環皇后大道中222號啟煌商業中心1樓102室
電話Tel: (852) 35895899 傳真Fax: (852) 36189916
(Collectively called "Signal D") (以上簡稱"信有道證券")(CE No.證監會中央編號: BXP722) 客服電郵:cs@signald.com.hk

Professional Investor Application Form 專業投資者申請表格

Account Name帳戶名稱: _____ Account Name帳戶名稱: _____

Part I 第一部份: Assessment for Individual Professional Investor 個人專業投資者評估

Pursuant to the definition of professional investor in section 1 of part 1 of Schedule 1 to the Securities and Futures Ordinance and the Securities and Futures (Professional Investor) Rules, I / We 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 —
根據《證券及期貨條例》附表1第1部專業投資者的定義及《證券及期貨(專業投資者)規則》第571D章，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港元$8,000,000或等值外幣—

☐ 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 / We further declare that I will provide/ have provided Signal D with a certification issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date or one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date.
本人/吾等將附上由核數師或會計師在有關日期前12個月內發出的證明書或在有關日期前12個月內發給本人/吾等（單獨或聯同有關有聯繫者）的一份或多於一份保管人結單

Products 產品類別	Investment Experience 投資經驗	投資經驗（年）	Number of transactions 過去12個月交易次數	Investment Knowledge 產品知識
☐ Equity 證券	☐ HK 香港 ☐ CN 中國內地 ☐ SG 新加坡 ☐ JP 日本 ☐ US 美國 ☐ EU 歐洲 ☐ CA 加拿大 ☐ 其他:	☐ Nil 無 ☐ 0-1 years 年 ☐ 6-10 years 年 ☐ > 10 years 年	☐ Nil 無 ☐ 0-20 Times 次 ☐ 20-40 Times 次 ☐ >40 Times 次	☐ Nil 無 ☐ Little 少許 ☐ Basic 基本 ☐ Sufficient 充足
☐ Structured securities /derivatives 證券結構性及/或衍生產品	☐ HK 香港 ☐ CN 中國內地 ☐ SG 新加坡 ☐ JP 日本 ☐ US 美國 ☐ EU 歐洲 ☐ CA 加拿大 ☐ 其他:	☐ Nil 無 ☐ 0-1 years 年 ☐ 6-10 years 年 ☐ > 10 years 年	☐ Nil 無 ☐ 0-20 Times 次 ☐ 20-40 Times 次 ☐ >40 Times 次	☐ Nil 無 ☐ Little 少許 ☐ Basic 基本 ☐ Sufficient 充足
☐ Bonds 債券	☐ HK 香港 ☐ CN 中國內地 ☐ SG 新加坡 ☐ JP 日本 ☐ US 美國 ☐ EU 歐洲 ☐ CA 加拿大 ☐ 其他:	☐ Nil 無 ☐ 0-1 years 年 ☐ 6-10 years 年 ☐ > 10 years 年	☐ Nil 無 ☐ 0-20 Times 次 ☐ 20-40 Times 次 ☐ >40 Times 次	☐ Nil 無 ☐ Little 少許 ☐ Basic 基本 ☐ Sufficient 充足
☐ Fund 基金	☐ HK 香港 ☐ CN 中國內地 ☐ SG 新加坡 ☐ JP 日本 ☐ US 美國 ☐ EU 歐洲 ☐ CA 加拿大 ☐ 其他:	☐ Nil 無 ☐ 0-1 years 年 ☐ 6-10 years 年 ☐ > 10 years 年	☐ Nil 無 ☐ 0-20 Times 次 ☐ 20-40 Times 次 ☐ >40 Times 次	☐ Nil 無 ☐ Little 少許 ☐ Basic 基本 ☐ Sufficient 充足
☐ Others 其他: _____	☐ HK 香港 ☐ CN 中國內地 ☐ SG 新加坡 ☐ JP 日本 ☐ US 美國 ☐ EU 歐洲 ☐ CA 加拿大 ☐ 其他:	☐ Nil 無 ☐ 0-1 years 年 ☐ 6-10 years 年 ☐ > 10 years 年	☐ Nil 無 ☐ 0-20 Times 次 ☐ 20-40 Times 次 ☐ >40 Times 次	☐ Nil 無 ☐ Little 少許 ☐ Basic 基本 ☐ Sufficient 充足

Part II 第二部份: Institutional Professional Investor Assessment 機構專業投資者評估

According to the definition set out in Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong), as amended, modified or re-enacted from time to time, the table below may be used to assess whether you fall within any of the following categories of professional investor ("Institutional Professional Investor"):

根據經不時修訂、修改或重新制定的《證券及期貨條例》（香港法例第 571 章）附表 1 第 1 部分所載之定義，下表可用以評估您是否屬於以下任何一個組別的專業投資者（「機構專業投資者」）：

Categories of Professional Investor 專業投資者類別

☐ Any recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, or any person authorized to provide automated trading services under section 95(2) of the Ordinance;

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，或根據本條例第 95(2)條獲認可提供自動化交易服務的人;

☐ 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;

☐ Any authorized financial institution, or any bank which is not an authorized 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;

☐ Any insurer authorized under the Insurance Ordinance (Cap. 41), 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》(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;

☐ Any scheme which is - 符合以下說明的計劃—

(i) A collective investment scheme authorized under section 104 of the Ordinance; or

屬根據本條例第 104 條獲認可的集體投資計劃;或

(ii) Similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, permitted to be operated under the law of such place, or any person operating any such scheme;

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，或營辦任何該等計劃的人;

☐ Any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap. 485), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap. 485, sub. leg. A), or any person who, in relation to any such 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 scheme or fund;

《強制性公積金計劃條例》(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》(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;

☐ Any scheme which is - 符合以下說明的計劃—

(i) A registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426); or

屬《職業退休計劃條例》(第 426 章)第 2(1)條界定的註冊計劃;或

(ii) 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 should be registered, 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;

☐ Any government (other than a municipal government authority), any institution performing 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;

☐ (Except for the purposes of Schedule 5 to the Ordinance) any corporation which is—

(除為施行本條例附表 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 authorized financial institution, or any bank which is not an authorized 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 authorized financial institution, or any bank which is not an authorized 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;

(iii) Any other wholly owned subsidiary of a holding company referred to in sub-paragraph (ii).

屬第(ii)節提述的控權公司的任何其他全資附屬公司

Part III 第三部份: Corporate Professional Investor Assessment 法團專業投資者評估

Categories of Corporate Professional Investor 法團專業投資者類別

According to the definition of Professional Investor under Part 1 of Schedule 1 to the Securities and Futures Ordinance and the Securities and Futures (Professional Investor) Rules (Cap. 571D), we hereby declare that we fall within one of the following categories of corporate professional investor—
根據《證券及期貨條例》附表1第1部專業投資者的定義及《證券及期貨(專業投資者)規則》第571D章，本公司謹此聲明本公司為以下一個組別的法團專業投資者 —

Categories of Professional Investor 專業投資者類別	Criteria 條件	Supporting Documents 證明文件
☐ Trust Corporation 信託法團	A trust corporation acting as trustee of one or more trusts and having total assets of not less than $40,000,000 or its equivalent in any foreign currency under its trust at the relevant date 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不少於$40,000,000 或等值外幣	• For the trust corporation; AND 就該信託法團;並 • Most recent audited financial statement prepared within 16 months prior to the relevant date 在有關日期前 16 個月內，擬備的最近期的經審計的財務報表 OR 或 • For the trust or any of the trusts; AND 就該項信託或該等信託中任何一項信託;並 • One or more custodian statements issued to the trust corporation within 12 months prior to the relevant date 在有關日期前 12 個月內，發給該信託法團 的一份或多於一份保管人結單
☐ Corporation or Partnership 法團或合夥	• Having a portfolio of not less than $8,000,000 or its equivalent in any foreign currency at the relevant date 擁有投資組合在有關日期不少於$8,000,000 或等值 OR 或 • Having total assets of not less than $40,000,000 or its equivalent in any foreign 擁有總資產在有關日期不少於 $40,000,000或等值外幣	• For the corporation or partnership (as the case may be); AND 就該法團或合夥(視屬何情況而定);並 • Most recent audited financial statement prepared within 16 months prior to the relevant date 在有關日期前 16 個月內， 擬備的最近期的經審計的財務報表 OR 或 • One or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months prior to the relevant date 在有關日期前 12 個月內，發給該法團或合夥(視屬何情況而定)的一份或多於一份保管人結單
☐ Other Corporation 其他法團 (Any corporation whose sole business is to hold investments and which is wholly owned by one or more of the above trust corporations, individuals, or corporations/partnerships at the relevant date) （在有關日期的唯一業務是持有投資項目並在有關日期由任何一個或多於一個上述的信託法團、個人或法團/合夥全資擁有的任何法團）	Please see above 請參見上文	• Evidence showing that the corporation is wholly owned by one or more of the above trust corporations, corporations/partnerships, or individuals as specified in Part II 用以證明法團由任何一個或多於一個上述的信託法團或法團／合夥全資擁有的信息或第二部分所指定的個人

Additional Criteria for Corporate Professional Investors 法團專業投資者類別附加條件

According to paragraph 15.3A of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the "Code of Conduct"), Signal D is required to assess whether you satisfy the following three criteria ("Additional Criteria") in respect of each product and market in which
根據《證券及期貨事務監察委員會持牌人或註冊人操守準則》（ “操守規則” ）第15.3A段，信有道證券須評估您就擬投資於的每類產品和市場而言，是否符合以下三個條件（ “附加條件” ）:

(1) Do you have an appropriate corporate structure, investment process, and control procedures? 您是否擁有合適的企業架構，投資程序及監控措施?

i. Please describe in detail how investment decisions are made by you. 請詳述您如何做出投資決定:

ii. Do you have an internal treasury, investment, or similar function staffed by competent and qualified professionals who are responsible for your investment strategy and investment process?
您在內部是否設有由勝任的能力和適當資格的專業人士組成的庫務，投資或類似類似，負責您的投資策略及投資程序?

iii. Do you have a dedicated investment committee staffed by competent and qualified professionals responsible for your investment strategy and investment process; and does that committee (a) make investment decisions on your behalf or (b) provide views or advice that are considered by you when making informed investment decisions?
您是否具備由勝任能力和適當資格的專業人士組成的專業責任投資委員會，負責您的投資策略及投資程序;以及（a）該委員會是否代表您做出投資決定或（b）您在從事有根據的投資決定時是否會考慮該委員會的意見或建議?

iv. Do you engage an external investment advisory team staffed by competent and qualified professionals responsible for your investment strategy and investment process; and does that team (a) make investment decisions on your behalf or (b) provide views or advice that are considered by you when making informed investment decisions, where in each case the external team is: (A) independent of Signal D; (B) subject to regulatory oversight (if so required); and (C) acting as an investment adviser to provide advice on investment strategy, views, and recommendations to you?
您是否委聘由具備勝任能力和適當資格的專業人士組成的外部投資顧問團隊，負責您的投資策略及投資程序;以及（a）該團隊是否代表您做出投資決定或（b）您在從事有根據的投資決定時是否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:（A）獨立於信有道證券;（B）受制於規管監視（如有此規定）;及（C）以投資顧問身分就投資策略，意見及建議向您提供意見?

v. Do you rely on and follow the investment strategy, views, and advice of an associated entity that (a) provides an internal treasury, investment, or similar function; (b) provides a dedicated investment committee; or (c) engages an external investment advisory team satisfying the conditions set out in paragraph (iv) above, and is staffed by competent and qualified professionals responsible for your investment strategy and investment
您是否依據且遵循您的有連繫法團的投資策略，意見及建議，就是該有連繫法團:（a）提供內部庫務，投資或類似替代;（b）提供專責投資委員會;或（c）委聘符合上文第（iv）段所述的條件的外部投資顧問團隊，並由擁有勝任能力和適當資格的專業人士組成，負責您的投資策略及投資程序?

Product Categories 產品類別	Questions ii. to v. 對問題ii. 至v.的答案			
Securities 證券	Q ii.	☐ Yes 是	☐ No 否	
	Q iii.	☐ Yes 是	☐ No 否	
	Q iv.(a)	☐ Yes 是	☐ No 否	
	Q iv.(b)	☐ A	☐ B	☐ C
	Q v	☐ Yes 是	☐ No 否	
Structured Securities and/or Derivative Products 證券結構性 及/或衍生產品	Q ii.	☐ Yes 是	☐ No 否	
	Q iii.	☐ Yes 是	☐ No 否	
	Q iv.(a)	☐ Yes 是	☐ No 否	
	Q iv.(b)	☐ A	☐ B	☐ C
	Q v	☐ Yes 是	☐ No 否	
Bonds 債券	Q ii.	☐ Yes 是	☐ No 否	
	Q iii.	☐ Yes 是	☐ No 否	
	Q iv.(a)	☐ Yes 是	☐ No 否	
	Q iv.(b)	☐ A	☐ B	☐ C
	Q v	☐ Yes 是	☐ No 否	
Funds 基金	Q ii.	☐ Yes 是	☐ No 否	
	Q iii.	☐ Yes 是	☐ No 否	
	Q iv.(a)	☐ Yes 是	☐ No 否	
	Q iv.(b)	☐ A	☐ B	☐ C
	Q v	☐ Yes 是	☐ No 否	
Others (Please specify) 其他(請列明) Remark:	Q ii.	☐ Yes 是	☐ No 否	
	Q iii.	☐ Yes 是	☐ No 否	
	Q iv.(a)	☐ Yes 是	☐ No 否	
	Q iv.(b)	☐ A	☐ B	☐ C
	Q v	☐ Yes 是	☐ No 否	

(2) Does the person responsible for making investment decisions on your behalf have sufficient investment background (including investment
負責代表您做出投資決定的人士是否具備充分的投資背景（包括該人士的投資經驗）?
Please provide the following information 請提供以下信息:

☐ Investment experience and history directly relevant to the products and markets concerned (including personal investments and investments made for third-party accounts), taking into account the degree of responsibility, investment tenure, and how recent the experience is;
與有關產品及市場直接相關及有關連的投資經驗及歷史（包括個人投資及為他人帳戶做出的投資），並顧及責任程度，投資年限及時間有多久遠;

☐ Work experience in the financial industry directly relevant to the products and markets concerned (including investment management, investment research, advising on or selling investment products), taking into account the degree of responsibility, investment tenure, and how recent the
與有關產品及市場直接相關及有關連的金融業工作經驗（包括投資管理，投資研究，建議或出售投資產品），並顧及責任程度，投資年限及時間有多久遠;

☐ Academic qualifications or professional qualifications relevant to the products and markets concerned; and
與有關產品及市場相關的學歷或專業資格;及

☐ Other relevant experience and qualifications (if any).
其他相關經驗及資格（如有）

(Note: Please provide the information and supporting documents listed above to demonstrate the competence and qualifications of the professionals responsible for your investment strategy and investment process.) (注: 請提供上題所列出之信息及證明文件，以證明負責您投資策略及投資程序的專業人士具備勝任能力及資格。)

(3) Are you knowledgeable about the risks involved (as determined by the risk awareness of the person responsible for making investment decisions)?
您是否對所涉及的風險有所認知（以負責作出投資決定的人士對相關風險的認知為準）?

☐ Yes 是 ☐ NO 否

Part iv 第四部份: Client Agreement to be Treated as Professional Investor 客戶同意被視作專業投資者

Risks and Consequences of Being Treated as a Professional Investor
被視為專業投資者的風險及後果

Although Signal D may provide you with some of the following services, under the Code of Conduct and/or the Securities and Futures Ordinance (and its subsidiary legislation), Signal D has no regulatory obligation to provide the following services in respect of products or markets for which you are treated as a professional investor (as defined in the Securities and Futures Ordinance):
儘管信有道證券可能為您提供以下部分服務，根據操守準則及/或《證券及期貨條例》（及其附屬法例），信有道證券並無監管責任，就您被視為專業投資者（定義見《證券及期貨條例》）的產品或市場提供以下服務:

(A) Applicable to (i) Corporate Professional Investors satisfying the Additional Criteria and (ii) Institutional Professional Investors
適用於(i)能符合附加條件的法團專業投資者及(ii)機構專業投資者

(i) Information about Clients 有關客戶的資料

(a) The requirement to establish 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 of Conduct), save that this exemption does not apply to licensed or registered persons providing corporate
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人或註冊人;

(b) The requirement to ensure the suitability of a recommendation or solicitation (paragraph 5.2 and paragraph 49 of Schedule 6 to the Code of
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

(c) The requirement to assess client's knowledge of derivatives and characterize client based on client's knowledge of derivatives (paragraph 5.1A of the Code of Conduct).
須評估您對衍生工具的認識，並根據您對衍生工具的認識將您分類（《操守準則》第 5.1A 段）。

(ii) Client Agreement 客戶協議
The requirement to enter into a written agreement in respect of services provided to you by Signal D;
就信有道證券向您提供的服務訂立書面協議;

(iii) Risk Disclosure Statement 風險披露聲明
The requirement to provide any relevant risk disclosure statements to you and bring them to your attention;
向您提供任何相關的風險披露聲明，並提請您注意此等聲明;

(iv) Provision of Information to Clients 為客戶提供資料
Disclosure of transaction-related information (paragraph 8.3A of the Code of Conduct)
披露交易相關資料（《操守準則》第 8.3A 段）

(a) Capacity (Signal D as principal or agent) in which Signal D is acting;
信有道證券以何種身分（主事人或代理人）行事;

(b) Affiliation between Signal D and product issuer;
信有道證券與產品發行人的聯繫;

(c) Disclosure of information on monetary and non-monetary benefits; and
披露有關金錢收益及非金錢收益的資料;及

(d) Generic terms and conditions under which discounts of fees and charges may be provided by Signal D to you.
概括地說明信有道證券向您提供費用

In addition, the following do not apply to you: 此外，以下不適用於您:

(a) Disclosure must be made in writing, whether electronically or otherwise. Signal D should have adequate measures in place to ensure such information is provided to you prior to or at the time of entering into transactions.

披露必須以書面作出，不論是以電子或其他形式。信有道證券應設有足夠措施，確保您在訂立交易前或在訂立交易時獲提供上述資料。

(b) If information cannot be provided in writing before transaction completion, licensed or registered persons should make oral disclosure and provide written disclosure as soon as reasonably practicable after completion.

如無法在交易完成前以書面形式提供資料，持牌人或註冊人應作出口頭披露，並在交易完成後，在切實可行範圍內盡快向您以書面形式提供該資料。

(c) Information disclosed in writing should be provided in Chinese or English according to your language preference.

以書面形式披露的資料，應按您所選擇的語文，以中文或英文版本呈示。

(v) Discretionary Accounts 委託帳戶

(a) The requirement to obtain written authority from you before effecting transactions for you without specific authority from you;

在為您進行交易之前，已向您取得書面授權，即使在未有您特定授權的情況下，仍可為您進行交易;

(b) Explanation of authority and annual confirmation of authority;

解釋授權及每年確認授權

(B) Applicable to (i) Institutional Professional Investors;(ii) Corporate Professional Investors; and (iii) Individual Professional Investors;
適用於(i) 機構專業投資者;(ii)法團專業投資者;及(iii)個人專業投資者;

(i) Provision of Information to Clients 為客戶提供資料

(a) The requirement to provide you with information about Signal D and the identity and employment status of its employees and other persons acting on its behalf (paragraph 8.1 of the Code of Conduct);

須向您提供有關信有道證券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）;

(b) The requirement to confirm the essential features of a transaction to you as soon as practicable after effecting the transaction (paragraph 8.2, paragraph 4 of Schedule 3, and paragraph 18 of Schedule 6 to the Code of Conduct); and

為您完成交易後，須盡快向您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

(c) The requirement to provide you with documentation on the Nasdaq-Amex Pilot Program (paragraph 1 of Schedule 3 to the Code of Conduct).

須向您提供關於納斯達克－美國證券交易所試驗計劃的資料文件（《操守準則》附表 3 第 1 段）。

(ii) Contract Notes, Statements of Account and Receipts 成交單據、戶口結單及收據

Unless you otherwise notify Signal D in writing, Signal D will provide contract notes, statements of account or receipts to you in accordance with the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (Cap. 571 of the Laws of Hong Kong).
除非您以書面另有通知信有道證券，否則信有道證券將根據《證券及期貨(成交單據、戶口結單及收據)規則》（香港法例第571章）向您提供成交單據、戶口結單或收據。

Right to Withdraw 撤回權利

Under the Code of Conduct, you have the right to withdraw from being treated as a professional investor (whether in respect of all or any part of products or markets) at any time by giving written notice to Signal D. Should you cease to fall within any category of professional investor as defined and assessed in Parts II, III, and IV above, you should notify Signal D in writing immediately.

根據《操守準則》，您享有隨時透過給予信有道證券書面通知，撤回被視為專業投資者（不論就所有或任何部分產品或市 場而言）的權利。假如您不再屬於上文第二、第三及第四部分所定義及評估之專業投資者的類別，您應立即以書面通知信有道證券。

Until Signal D has actually received and approved your written notice of withdrawal, Signal D remains entitled to treat you as a professional investor as mentioned above, and you shall continue to bear the risks and consequences of being treated as a professional investor, without prejudice to or affecting any
於信有道證券確實收到並審批通過您的撤回書面通知前，信有道證券仍有權把您視為上述專業投資者，您需繼續承擔被視為專業投資者的風險和後果，不得損害及影響信有道證券向您提供的任何服務。

Client Declaration 客戶聲明

I/We confirm that I/we have been provided with and had explained to me/us in my/our chosen language the risks and consequences of being treated as a professional investor and the right to withdraw from being treated as a professional investor, and I/we have been invited to read the relevant information, ask questions, and take independent advice if I/we so wish.

本人/吾等確認本人/吾等已獲以所選的語言提供及解釋被視為專業投資者的風險和後果，以及撤回被視為專業投資者的權利，而本人/吾等已被邀請閱讀相關信息，並按本人/吾等的意願發問問題以及諮詢獨立意見。

I/We agree to be treated by Signal D as a Individual Professional Investor / Corporate Professional Investor (satisfying / not satisfying Additional Criteria) / Institutional Professional Investor (in respect of products and markets), and I/we agree that Signal D is not required to provide the relevant services described in Part V above. I/We confirm that the information and documents provided by me/us are true, complete, and accurate. Should I/we become aware of any change in my/our circumstances that may affect my/our eligibility to be treated as a professional investor, I/we undertake to notify Signal D in writing immediately.

本人/吾等同意讓信有道證券（就產品和市場）把本人/吾等歸類為*個人專業投資者／法團專業投資者（已符合／未符合附加條件）／機構專業投資者，而本人/吾等同意信有道證券毋須提供上述第五部分所述的相關服務。本人/吾等確認本人/吾等所提供的信息及文件均為真實、完整和準確。假如本人/吾等發覺自己的條件有任何變化，可能影響本人/吾等是否合資格被歸類為專業投資者，本人/吾等承諾將立即以書面形式通知信有道證券。

I/We confirm that Signal D will attempt to annually confirm that I/we continue to satisfy the requisite criteria to be treated as an Individual Professional Investor / Corporate Professional Investor / Institutional Professional Investor (as the case may be). I/We hereby confirm and represent that if I/we fail to respond to the annual confirmation request within the prescribed timeframe, I/we shall be deemed to have reaffirmed the information and declarations provided herein.

本人/吾等確認，信有道證券將嘗試每年確認本人/吾等已符合被視為個人專業投資者／法團專業投資者／機構專業投資者（視屬何情況而定）的先決條件。本人/吾等在此確認並陳述，假如本人/吾等沒有在規定的時間內對年度確認要求作出回覆，本人/吾等將被視為已重申在此

I/We undertake to inform Signal D of any change in my/our financial position that may affect my/our eligibility to be treated as a professional investor.

本人/吾等承諾會通知信有道證券有關本人/吾等之可能構成影響符合被視為專業投資者資格的財政狀況變化。

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

☐ I/We agree to be treated in accordance with the terms specified in the above-mentioned "Professional Investor Application Form".
本人/吾等同意被視為上文所述的《專業投資者申請書》所述的內容。

☐ I/We declare that the information provided in the "Professional Investor Application Form" is true, complete, and accurate.
本人/吾等聲明《專業投資者申請書》內提供的資料均為真實、完整及準確。

Client Consent & Signature 客戶同意及簽署:	Name 客戶姓名:	Date 日期:

Licensed Representative Declaration and Approval (For Office Use Only) 持牌代表聲明及審批 (此欄由職員填寫)

本人已審查由客戶提交之《專業投資者申請表格》及證明文件（如適用）。透過“認識你的客戶”程序中對客戶的認知，本人確認，就產品和市場而言， 客戶符合《專業投資者規則》和《操守準則》中成為***個人專業投資者／法團專業投資者（已符合／未符合附加條件）／機構專業投資者**的條件。

本人現聲明已用客戶所完全理解的語言，向客戶解釋本文件內容及同意被視為專業投資者一事的風險及後果，並邀請客戶提出問題及徵求獨立意見。本人亦已告知客戶有權撤回被視為專業投資者的權利。

**請刪去不適用者*

持牌代表簽署:	**持牌代表姓名:**	**日期:**
合規部代表簽署:	**合規部代表姓名:**	**日期:**

信有道證券核准及接納

_____ 日期: _____

授權人姓名