

A/C No: _____
Client (A/C) Name: _____
A/C Opening Date: _____
AE Code: _____

FTFT INTERNATIONAL SECURITIES And FUTURES LIMITED
富冊國際證券期貨有限公司

Professional Investors
Client Information Sheet
專業投資者
客戶資料表

Client Information Sheet 客戶資料表			
Basic Particulars 基本資料			
Account Name 帳戶名稱	(English)		
	(中文)		
Nationality/Place of Incorporation 國籍 / 註冊地點	Date of Birth/Date of Incorporation 出生日期 / 註冊成立日期	DD 日/ MM 月/ YY 年	
ID No./Passport No./ Registration No. of Incorporation 身份證號碼 / 護照號碼 / 公司註冊編號	Business Registration No. (if any) 商業登記號碼 (如有)		
Residential Address/ Registered Address 住宅地址 / 註冊地址 (P.O. Box will not be accepted) (郵箱地址恕不被接受)			
Postal Address (If different from the Registered Address) 郵寄地址 (如與註冊地址不同)			
Contact No. 聯絡號碼		Fax No. 傳真號碼	
Email Address 電郵地址			
Name of contact (Corporate Client only) 聯絡人姓名 (只限公司帳戶)			
Type of Professional Investor 專業投資者類別 (choose one only) (只選一項)			
<input type="checkbox"/> Institutional Professional Investor 機構專業投資者 (Please go to Section 1) (請前往第一部份)			
<input type="checkbox"/> Corporate Professional Investor 法團投資者 (Please go to Section 2) (請前往第二部份)			
<input type="checkbox"/> Individual Professional Investor 個人投資者 (Please go to Section 3) (請前往第三部份)			
Part 1: Institutional Professional Investor 第一部份: 機構專業投資者			
(choose one only) (只選一項)			
<input type="checkbox"/> 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 Securities and Futures Ordinance ("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。			
<input type="checkbox"/> 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。			
<input type="checkbox"/> 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。			
<input type="checkbox"/> 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《保險業條例》(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。			
<input type="checkbox"/> Any scheme which (i) is a collective investment scheme authorized under section 104 of SFO; or (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, or any person by whom any such scheme is operated. 符合以下說明的計劃(i) 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) 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。			
<input type="checkbox"/> 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 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》(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。			
<input type="checkbox"/> Any scheme which (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426); or (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, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance. 符合以下說明的計劃(i) 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) 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，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。			
<input type="checkbox"/> 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。			
<input type="checkbox"/> A wholly owned subsidiary of (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 (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; 屬下述者的全資附屬公司 (A) 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) 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			

<input type="checkbox"/>	<p>A holding company which holds all the issued share capital of (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 (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.</p> <p>屬持有下述者的所有已發行股本的控股公司 (A) 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) 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。</p>
<input type="checkbox"/>	<p>Any other wholly owned subsidiary of a holding company referred to a holding company which holds all the issued share capital of (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 (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.</p> <p>控股公司的任何其他全資附屬公司屬持有下述者的所有已發行股本的控股公司 (A) 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) 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。</p>
Part 2: Corporate Professional Investor 第二部份：法團專業投資者	
<input type="checkbox"/>	<p>A trust corporation is having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than \$40 million at the relevant date.*</p> <p>信託法團指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獲確定不少於\$40,000,000。*</p>
<input type="checkbox"/>	<p>A corporation has (i) a portfolio of not less than \$8 million; or (ii) total assets of not less than \$40 million at the relevant date.*</p> <p>法團 (i) 擁有的投資組合在有關日期獲確定不少於\$8,000,000；或 (ii) 擁有的總資產在有關日期獲確定不少於\$40,000,000。*</p>
<input type="checkbox"/>	<p>A partnership has (a) a portfolio of not less than \$8 million; or (b) total assets of not less than \$40 million at the relevant date.*</p> <p>合夥(a)擁有的投資組合在有關日期獲確定不少於\$8,000,000；或(b)擁有的總資產在有關日期獲確定不少於\$40,000,000。*</p>
<p>A corporation which at the relevant date has as its principal business the holding of investments and is wholly owned by any one or more of the following persons will be treated as professional investor described in section 6(b) of the Securities and Futures (Professional Investor) Rules (Cap 571D).</p> <p>在有關日期的主要業務是持有投資項目並由以下任何一名或多於一名人士全資擁有的法團，根據《證券及期貨（專業投資者）規則》（第 571D 章）內 6(b)，將會被視為專業投資者</p>	
<input type="checkbox"/>	<p>A trust corporation that is having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than \$40 million.*</p> <p>法團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\$40,000,000。*</p>
<input type="checkbox"/>	<p>An individual has a portfolio of not less than \$8 million at the relevant date*, when any one or more of the following are taken into account (a) a portfolio on the individual's own account; (b) a portfolio on a joint account with the individual's associate; (c) the individual's share of a portfolio on a joint account with one or more persons other than the individual's associate^; (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 the individual.</p> <p>個人全資擁有投資組合在有關日期獲確定不少於\$8,000,000*，個人指在考慮以下任何一項或多於一項 (a) 該個人本人的帳戶內的投資組合；(b) 該個人聯同其有聯繫者於某聯權共有帳戶內的投資組合；(c) 該個人在聯同一名或多於一名其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分^；(d) 在有關日期的主要業務是持有投資項目並由該個人全資擁有的法團的投資組合。</p> <p><i>^An individual's share of a portfolio on a joint account with one or more persons other than the individual's associate is (a) the individual's share of the portfolio as specified in a written agreement among the account holders; or (b) in the absence of an agreement referred to in paragraph (a), an equal share of the portfolio.</i></p> <p><i>^某名個人在聯同一名或多於一名其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分(a) 為帳戶持有人之間訂立的書面協議中指明，該個人於該投資組合中所佔部分；或(b)(如沒有訂立(a)段所述的協議)為該投資組合中平均所佔部分。</i></p>
<input type="checkbox"/>	<p>A corporation has (i) a portfolio of not less than \$8 million; or (ii) total assets of not less than \$40 million, at the relevant date.*</p> <p>法團擁有(i) 擁有的投資組合在有關日期獲確定不少於\$8,000,000；或 (ii) 擁有的總資產在有關日期獲確定不少於\$40,000,000。*</p>
<input type="checkbox"/>	<p>A partnership has (a) a portfolio of not less than \$8 million; or (b) total assets of not less than \$40 million, at the relevant date.*</p> <p>合夥擁有(a) 擁有的投資組合在有關日期獲確定不少於\$8,000,000；或(b)擁有的總資產在有關日期獲確定不少於\$40,000,000。*</p>
<input type="checkbox"/>	<p>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 SFO.</p> <p>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。</p>
<input type="checkbox"/>	<p>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.</p> <p>根據《保險業條例》(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。</p>
<input type="checkbox"/>	<p>Any scheme which (i) is a collective investment scheme authorized under section 104 of this Ordinance; or (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, or any person by whom any such scheme is operated.</p> <p>符合以下說明的計劃(i)屬根據本條例第 104 條獲認可的集體投資計劃；或(ii)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。</p>
<input type="checkbox"/>	<p>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 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.</p> <p>《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。</p>
<input type="checkbox"/>	<p>Any scheme which (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426); or (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, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance.</p> <p>符合以下說明的計劃(i)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)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，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。</p>
<input type="checkbox"/>	<p>Any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency.</p> <p>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。</p>

A corporation which, at the relevant date, wholly owns a corporation referred to the following will be treated as professional investor described in section 6(c) of the Securities and Futures (Professional Investor) Rules (Cap 571D). As part of the know-your-client procedures, a confirmation from shareholders of the holdings companies is required in order to acknowledge the shareholders about the corporation's status as a professional investor.

在有關日期全資擁有以下提述的法團的法團，根據《證券及期貨（專業投資者）規則》（第 571D 章）內 6(c)，將會被視為專業投資者。遵循“認識你的客戶”程序 6，中介人需要得到持有公司股東的確認已獲知會該公司的專業投資者身分。

☐ A corporation which, at the relevant date, wholly owns a corporation has (i) a portfolio of not less than \$8 million; or (ii) total assets of not less than \$40 million at the relevant date.*

法團在有關日期全資擁有一個法團，彼(i)擁有的投資組合獲確定不少於\$8,000,000；或(ii)擁有的總資產獲確定不少於\$40,000,000。*

#Please complete Confirmation from Shareholders of the Holdings Companies. 請完成公司股東確認書。

For Corporate Professional Investor, Please complete the following Assessment
法團專業投資者，請完成下列評估

Assessment of Corporate Professional Investor
法團專業投資者評估

Pursuant to the requirements under Paragraph 15.3A of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("Code"), Alpha International Securities (HONG KONG) Limited ("FISF") is required to assess client's knowledge, expertise and investment experience before waiving certain requirements under the Code. Please answer the following questions for our assessment:

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》（「操守準則」）第 15.3A 段所列的要求，在接納客戶成為專業投資者，並對其豁免某些特定條件前，富冊國際證券期貨有限公司（下稱「富冊」）應評估及合理地信納該客戶對有關產品及市場有豐富的認識及具備足夠的專業知識。故此，請回答下列問題，以便富冊能夠作出合理的評估：

A separate assessment for different product types or markets should be obtained. A Corporate Professional Investor should undertake a new assessment where the Corporate Professional Investor has ceased to trade in the relevant product or market for more than 2 years.

就不同類別的產品或市場應進行獨立評估。如法團專業投資者停止買賣有關產品或不在有關市場進行交易超過兩年，該人士須重新進行評估。

1. The Corporate Professional Investor has the appropriate corporate structure and investment process and controls (i.e., how investment decisions are made, including whether the corporation has a specialized treasury or other function responsible for making investment decisions)

法團專業投資者擁有合適的企業架構及投資程序及監控措施（即投資決定是如何作出的，包括法團是否設有專門的庫務或負責作出投資決定的其他職能）

The Corporate Professional Investor has the appropriate corporate structure and substantive investment process and control if it:

法團專業投資者如符合下列情況，較有可能會被視為擁有合適的企業架構、實質的投資程序及監控措施：

(a) has an in-house treasury, investment or similar function comprising of competent and suitably qualified professionals responsible for its investment strategies and investment process

內部設有由具備勝任能力及適當資格之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

(b) has a designated investment committee comprising of competent and suitably qualified professionals responsible for its investment strategies and investment process; and (i) such a committee makes investment decisions on behalf of the Corporate Professional Investor or (ii) the Corporate Professional Investor makes informed investment decisions taking into account the advice or recommendation of such committee

設有由具備勝任能力及適當資格之專業人士組成的專責投資委員會，負責其投資策略及投資程序；及(i)該委員會代表法團專業投資者作出投資決定或(ii)法團專業投資者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

(c) engages an external investment advisory team comprising of competent and suitably qualified professionals responsible for its investment strategies and investment process; and (i) such a team makes investment decisions on behalf of the Corporate Professional Investor or (ii) the Corporate Professional Investor makes informed investment decisions taking into account the advice or recommendation of such team, and in each case this external team is:

委聘由具備勝任能力及適當資格之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)該團隊代表法團專業投資者作出投資決定或(ii)法團專業投資者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：

- independent of the intermediary that is conducting the PI Assessment;

獨立於進行法團專業投資者評估的中介人；

- subject to regulatory oversight (where required); and

受制於規管監察（如有此規定）；及

- in an investment advisory capacity in advising the Corporate Professional Investor on investment strategies, advice and recommendation; and/or

以投資顧問身分就投資策略、意見及建議向法團專業投資者提供意見；及 / 或

(d) relies on and follows the investment strategies, advice and recommendations of its related corporation provided that such related corporation: (i) has an in-house treasury, investment or similar function; (ii) has a designated investment committee; or (iii) engages an external investment advisory team that meets the conditions set out in paragraph (c) above, that comprises of competent and suitably qualified professionals responsible for the investment strategies and investment process of the Corporate Professional Investor. 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) 設有內部庫務、投資或類似職能；(ii) 設有專責投資委員會；或 (iii) 委聘符合上文(c)段所述的條件的外部投資顧問團隊，並由具備勝任能力及適當資格之專業人士組成，負責法團專業投資者的投資策略及投資程序。

Yes有 No沒有

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<p>2. The person(s) responsible for making investment decisions on behalf of the Corporate Professional Investor should be competent and suitably qualified for investment strategies and investment process of the Corporate Professional Investor. Such person should be competent and suitably qualified in relation to relevant products and/or markets. 代表法團專業投資者作出投資決定的人士應該具備勝任能力及適當資格以制定投資策略及投資程序，該有關人士應就有關產品及 / 或市場而言具備勝任能力及適當資格</p>		
<p>a. Has/have investment experience in relevant products (including personal investment and investments for the account of others) 以往曾買賣相關投資產品 (包括個人投資及為他人帳戶作出的投資):</p> <p>(i) Equity Securities 股本證券</p> <p>(ii) Futures and Options 期貨、期貨期權</p> <p>(iii) Warrants, CBBC and Stock Options 認股權證、牛熊證及股票期權</p> <p>(iv) Fixed income securities (e.g. Bonds, convertible bonds) 固定收益證券 (如債券、轉換債)</p> <p>(v) Mutual funds/Unit Trusts 互惠基金/單位信託</p> <p>(vi) Structured products (Equity Linked Deposit/Note, Currency Linked Deposit etc.) 結構性投資產品 (股票掛鈎存款/票據, 貨幣掛鈎存款等)</p> <p>(vii) Others (please specify) 其他 (請列明):</p>	Yes 有	No 沒有
<p>b. Has/have experience dealing for at least 2 years in the relevant markets (or market with similar characteristics) 於相關市場中(或在擁有類似特色的市場中)進行交易的經驗達最少 2 年</p> <p>(i) Equity Securities 股本證券</p> <p>(ii) Futures and Options 期貨、期貨期權</p> <p>(iii) Warrants, CBBC and Stock Options 認股權證、牛熊證及股票期權</p> <p>(iv) Fixed income securities (e.g. Bonds, convertible bonds) 固定收益證券 (如債券、轉換債)</p> <p>(v) Mutual funds/Unit Trusts 互惠基金/單位信託</p> <p>(vi) Structured products (Equity Linked Deposit/Note, Currency Linked Deposit etc.) 結構性投資產品 (股票掛鈎存款/票據, 貨幣掛鈎存款等)</p> <p>(vii) Others (please specify) 其他 (請列明):</p>	Yes 有	No 沒有
<p>c. Has/Have the knowledge and expertise in the relevant products 對有關產品的認識和專業知識</p> <p>(i) Equity Securities 股本證券</p> <p>(ii) Futures and Options 期貨、期貨期權</p> <p>(iii) Warrants, CBBC and Stock Options 認股權證、牛熊證及股票期權</p> <p>(iv) Fixed income securities (e.g. Bonds, convertible bonds) 固定收益證券 (如債券、轉換債)</p> <p>(v) Mutual funds/Unit Trusts 互惠基金/單位信託</p> <p>(vi) Structured products (Equity Linked Deposit/Note, Currency Linked Deposit etc.) 結構性投資產品 (股票掛鈎存款/票據, 貨幣掛鈎存款等)</p> <p>(vii) Others (please specify) 其他 (請列明):</p> <p>If your answer of Q4 is yes, how you acquire the knowledge and expertise in the relevant product? 如第四條答案為「有」, 請問閣下如何獲得有關產品的認識和專業知識?</p> <p>I am currently working or have previously worked in the relevant financial sector (including but not limited to investment management, investment research, recommending or selling investment product) for at least one year in a professional position that involves the relevant product. 閣下現時或過去曾從事相關金融行業 (包括但不僅限於投資管理、投資研究、建議或出售投資產品), 並就有關產品任職至少1年。</p> <p>I have undergone training or studied courses which are related to the relevant product. 曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程。</p> <p>Others (please specify) 其他 (請列明):</p>		
<p>d. Academic or Professional qualifications 學歷或專業資格</p> <p>(i) Degree in Accounting, Business administration, Economics, Finance or Law or other degree with at least two courses in the above discipline 會計、工商管理、經濟、金融財務或法律學位; 或其他學位 (但須有以上學科的至少兩個課程)</p> <p>(ii) International recognized professional qualifications in Law, Accounting or Finance 法律、會計或金融財務方面的國際認可專業資格</p>		
<p>3. The Corporate Professional Investor aware of the risks involved which is considered in terms of the person(s) responsible for making investment decisions. 法團專業投資者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)</p> <p>(i) Equity Securities 股本證券</p> <p>(ii) Futures and Options 期貨、期貨期權</p> <p>(iii) Warrants, CBBC and Stock Options 認股權證、牛熊證及股票期權</p> <p>(iv) Fixed income securities (e.g. Bonds, convertible bonds) 固定收益證券 (如債券、轉換債)</p> <p>(v) Mutual funds/Unit Trusts 互惠基金/單位信託</p> <p>(vi) Structured products (Equity Linked Deposit/Note, Currency Linked Deposit etc.) 結構性投資產品(股票掛鈎存款/票據, 貨幣掛鈎存款等)</p> <p>(vii) Others (please specify) 其他 (請列明):</p>		

FISF may require the Corporate Professional Investor to provide the supporting documents to evidence its Corporate Professional Investor Assessment. If no supporting documents are provided upon request from FISF, the Corporate Professional Investor would not be able to get exemption provisions for Corporate Professional Investors described in Paragraph 15.4 of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission. Client may not be treated as Professional Investor.

富冊或會要求法團專業投資者提供證明文件，以便為其法團專業投資者評估提供證據。如法團專業投資者未能提供證明文件，《持牌人或註冊人操守準則》（「操守準則」）第 15.4段的豁免條文將不適用於法團專業投資者。該法團專業投資者或不會視作專業投資者。

Part 3: Individual Professional Investor

第三部份：個人專業投資者

- ☐ An individual has a portfolio of not less than \$8 million at the relevant date*, when any one or more of the following are taken into account (a) a portfolio on the individual's own account; (b) a portfolio on a joint account with the individual's associate; (c) the individual's share of a portfolio on a joint account with one or more persons other than the individual's associate^; (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 the individual.

在有關日期的主要業務是持有投資項目並在由以下任何一名或多於一名個人全資擁有投資組合在有關日期獲確定不少於\$8,000,000*，個人指在考慮以下任何一項或多於一項 (a) 該個人本人的帳戶內的投資組合；(b) 該個人聯同其有聯繫者於某聯權共有帳戶內的投資組合；(c) 該個人在聯同一名或多於一名其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分^；(d) 在有關日期的主要業務是持有投資項目並在有關日期由該個人全資擁有的法團的投資組合。

^An individual's share of a portfolio on a joint account with one or more persons other than the individual's associate is (a) the individual's share of the portfolio as specified in a written agreement among the account holders; or (b) in the absence of an agreement referred to in paragraph (a), an equal share of the portfolio.

^ 某名個人在聯同一名或多於一名其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分(a) 為帳戶持有人之間訂立的書面協議中指明，該個人於該投資組合中所佔部分；或(b) (如沒有訂立(a)段所述的協議) 為該投資組合中平均所佔部分。

*Ascertaining total assets or portfolio

The total assets entrusted to a trust corporation, the portfolio of an individual, or the portfolio or total assets of a corporation or partnership, are to be ascertained by referring to any one or more of the following:

(a) for a trust corporation, corporation or partnership, the most recent audited financial statement prepared within 16 months before the relevant date in respect of the trust corporation (or a trust of which it acts as a trustee), corporation or partnership;

(b) for a trust corporation, individual, corporation or partnership, any one or more of the following documents issued or submitted within 12 months before the relevant date (i) a statement of account or a certificate issued by a custodian; (ii) a certificate issued by an auditor or a certified public accountant; (iii) 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), individual, corporation or partnership.

確定總資產或投資組合

託付予某信託法團的總資產、某名個人的投資組合、或某法團或合夥的投資組合或總資產，將通過參閱以下任何一份或多於一份文件而獲確定：

(a) 就信託法團、法團或合夥而言，該信託法團(或其擔任信託人的任何信託)、法團或合夥在有關日期前16個月內擬備的最近期的經審計的財務報表；

(b) 就信託法團、個人、法團或合夥而言，在有關日期前12個月內發出或呈交的任何一份或多於一份以下文件(i) 由保管人發出的帳戶結單或證明書；(ii) 由核數師或會計師發出的證明書；(iii) 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)、個人、法團或合夥呈交的公開檔案。

Declaration of Consent to be treated as Professional Investor 同意被視為專業投資者聲明書	
<p>I/We warrant that the information contained in this Professional Investor Client Information Sheet and the supporting documents provided by me/us are true, complete and correct in all aspects and authorize FTFT International Securities And Futures Limited and/or its associated or related companies (collectively known as "FISF") to verify it with any source that it may deem necessary. Any changes thereto will be notified to FISF promptly and the Client has not willfully withheld any material facts.</p> <p>本人 / 吾等保證本客戶資料表和我們提供的附加文件所載的資料在各方面均是真實、完整和正確的，並授權富冊國際證券期貨有限公司及/或其聯繫公司或關聯公司（統稱「富冊」）通過其認為必要的任何途徑加以核實。如有任何改變，本人 / 吾等會即時通知富冊及不作任何隱瞞。</p> <p>For Institutional Professional Investor, I/We acknowledge and agree that, I/we are a Professional Investor as defined under the Securities and Futures Ordinance ("SFO") (Cap.571 of the Laws of Hong Kong), an extract of which is set out in Supplementary Notes and agree to be treated as such. We acknowledge and agree that, as we will be treated as a Professional Investor, FISF is not required to provide me/us with contract notes, statements of account or receipts pursuant to the Securities and Futures (Contract Notes, Statements of Accounts and Receipts) Rules (Cap 571Q). In addition, FISF has set out in Professional Investor Notice and explanation of the risk and consequences of being treated as a Professional Investor for our information. FISF reserves the rights to withdraw from being treated as a Professional Investor.</p> <p>吾等是《證券及期貨條例》(香港法例第571章)下的專業投資者（其摘錄載於註解1）並同意被視為專業投資者。吾等承認及同意富冊不需依據《證券及期貨（成交單據、戶口結單及收據）規則》（第571Q章），向本人 / 吾等提供任何成交單據、戶口結單及收據。本人 / 吾等確定已閱讀及明白本客戶資料表中的「專業投資者通知書」內所載被視為專業投資者的後果及風險，及已向本人 / 吾等解釋富冊有權取消本人 / 吾等為專業投資者。</p> <p>For Corporate Professional Investor and Individual Professional Investor, I/We acknowledge and agree that, I/We will be treated as a Professional Investor as I/we fall within a category of person described in section 3(a) to 3(d) of the Securities and Futures (Professional Investor) Rules (Cap 571D), and I/we wish to be treated as a Professional Investor. I/We confirm that I/We have been provided with the foregoing Professional Investor Notice, that the consequences of consenting to being treated as a Professional Investor and the right to withdraw from being so treated have been explained to me/us. FISF is not required to provide me/us with contract notes, statements of account or receipts pursuant to the Securities and Futures (Contract Notes, Statements of Accounts and Receipts) Rules (Cap 571Q). In addition, FISF has set out in Professional Investor Notice an explanation of the risks and consequences of being treated as a Professional Investor for our information. FISF reserves the rights to withdraw from being treated as a Professional Investor.</p> <p>本人 / 吾等承認及同意本人 / 吾等根據《證券及期貨（專業投資者）規則》（第571D章）內3(a)至3(d)內所介定的專業投資者，而富冊亦視本人 / 吾等為專業投資者。因此富冊不需依據《證券及期貨（成交單據、戶口結單及收據）規則》（第571Q章），向本人 / 吾等提供任何成交單據、戶口結單及收據。本人 / 吾等確定已閱讀及明白本客戶資料表中的「專業投資者通知書」內所載被視為專業投資者的後果及風險，及已向本人 / 吾等解釋富冊有權取消本人 / 吾等為專業投資者，及已向本人 / 吾等解釋富冊有權取消本人 / 吾等為專業投資者。</p> <p>I/We agree and acknowledge that if we carry on or continue to carry on business with FISF, I/we will be deemed to accept and abide by the terms and conditions set out in the Agreement regardless of whether FISF has received from me/us an executed copy of this Professional Investor Client Information Sheet, and that the Agreement shall constitute a legally binding contract between FISF and me/us with effect from the date upon which we first transact any business with FISF. Our standing dealing and settlement instructions will be issued to FISF separately for your further action accordingly.</p> <p>本人 / 吾等同意並承認如本人 / 吾等與富冊經營業務或繼續與其經營業務，本人 / 吾等將被視為接受並同意遵守協議書所載的條款和條件，不論富冊 有否收到本人 / 吾等的一份本客戶資料表的簽署文本，而自本人 / 吾等首次與富冊進行任何業務之日起，協議應構成富冊與本人 / 吾等之間具法律約束力的合約。本人 / 吾等會另外簽發常設交易和交收指示給富冊以便日後的業務處理。</p> <p>I/We agree that FISF may make credit reference, identity, fraud, money laundering and other enquiries and searches.</p> <p>本人 / 吾等同意富冊可向本人 / 吾等進行信用查閱、身份、欺詐、清洗黑錢或其他查詢和搜索。</p> <p>I/We agree that the submission of this client information sheet and its acceptance by FISF in no way implies approval for the acceptance as Professional Investor from FISF and that FISF reserves the unconditional right to decline without given any reasons whatsoever.</p> <p>本人 / 吾等同意，提交客戶資料表予富冊並不代表可給予接受本人 / 吾等為專業投資者，富冊可有權拒絕吾等而無需給予任何理由。</p>	
Personal Information Collection Statement – Direct Marketing 個人資料收集聲明 – 直接促銷	
<p>I/We acknowledge and confirm that I/we have read and understood the "Notice to Clients Relating to the Personal Data (Privacy) Ordinance". Unless I/we do not agree to the use of my/our personal data for direct marketing by taking the box below, I/we acknowledge and consent to the use and/or transfer of my/our personal data for direct marketing as set out in the Notice to Client Relating to the Personal Data (Privacy) Ordinance.</p> <p>本人 / 吾等確認本人 / 吾等已閱讀並明白客戶協議書內「關於個人資料（私隱）條例客戶通知」。除非本人 / 吾等剔選以下方格以表示不同意本人 / 吾等的個人資料為直接促銷之目的而被使用，本人 / 吾等確認並同意根據以上有關個人資料（私隱）條例客戶通知為直接促銷之目的而使用及 / 或轉移本人 / 吾等的個人資料。</p>	
<p>Personal Information Collection Statement – Direct Marketing 個人資料收集聲明 – 直接促銷</p> <p>In respect of use of your data, including name, address, email and telephone number for Direct Marketing purposes, if you disagree with using any kind of your personal data or for any kind of means of transmission, please indicate your objection before signing this form by ticking the box below:</p> <p>有關使用閣下的個人資料，包括姓名、地址、電郵及電話，為直接促銷推廣活動之用途，如果閣下 / 吾等不同意使用或傳輸閣下的個人資料，請閣下 / 吾等在簽署此表格前在下面的空格內加上「✓」為表示閣下反對：</p> <p><input type="checkbox"/> Opt out box – I/We object to the proposed use of my personal data in direct marketing</p> <p>加入我們拒絕服務名單 – 本人 / 吾等反對將我的個人資料作為直接促銷推廣活動之用途</p> <p>At any time in the future, in respect of Direct Marketing, you may also inform our Customer Service Department if you wish to opt-out of our use of your personal data for any of the Direct Marketing purposes.</p> <p>在將來任何情況下，如閣下希望閣下的個人資料加入我們拒絕服務名單，閣下可聯絡我們的客戶服務部。</p>	
Signature 簽署	
Name of Client 客戶名稱	
Client Account No. 帳戶號碼	
Date 日期	

#Confirmation from Shareholders of the Holdings Companies - Declaration of Consent to be treated as Professional Investor #公司股東確認書 - 同意被視為專業投資者聲明書			
<p>I/We acknowledge and agree that, I/we will be treated as a Professional Investor as I/we fall within a category of person described in section 6(c) of the Securities and Futures (Professional Investor) Rules (Cap 571D), and I/we wish to be treated as a Professional Investor. I/We agree and confirm the consequences of consenting to being treated as a Professional Investor and the rights to withdraw from being so treated have been explained to me/us. FISF is not required to provide me/us with contract notes, statements of account or receipts pursuant to the Securities and Futures (Contract Notes, Statements of Accounts and Receipts) Rules (Cap 571Q). In addition, FISF has set out in Professional Investor Notice an explanation of the risks and consequences of being treated as a Professional Investor for our information.</p> <p>本人 / 吾等承認及同意本人 / 吾等根據《證券及期貨（專業投資者）規則》（第571D章）內6(c)內所介定的專業投資者，而富冊亦視本人 / 吾等為專業投資者。因此富冊不需依據《證券及期貨（成交單據、戶口結單及收據）規則》（第571Q章），向本人 / 吾等提供任何成交單據、戶口結單及收據。本人 / 吾等確定已閱讀及明白被視為專業投資者的後果及風險，及已向本人 / 吾等解釋富冊有權取消本人 / 吾等為專業投資者。</p> <p>Director of the holding companies should ensure that shareholders are properly informed. This includes information about those responsible for making investment decision for the holding company and clarifies about the circumstances in which shareholders should be informed of an investment decision or where their consent should be sought. FISF will not responsible for informing the shareholders about the information of responsible for making investment decisions for the holdings company and will not responsible for granting consent from the shareholders under circumstances in which shareholder should be informed of an investment decision where their consent should be sought.</p> <p>控股公司的董事應確保股東獲適當知會經修訂規則實施後會帶來的影響，當中包括例如有關誰負責為該控股公司作出投資決定的資訊，及釐清在甚麼情況下股東應獲知會投資決定或應尋求他們的同意。富冊將不會負責通知公司股東有關誰負責為該控股公司作出投資決定的資訊，及不會負責通知公司股東應在其同意的情況下被告知投資決定。</p>			
Signature 簽署		Signature 簽署	
Name of Client 客戶名稱		Name of Client 客戶名稱	
Date 日期		Date 日期	
Declaration by witness (Licensed Person) 見證人聲明（持牌人士）			
<p>I, named below, certify that I have verified the genuine copy of client identification document, address proof and other account opening document and have sighted that the client counter sign on this Account Opening Form.</p> <p>本人（姓名如下）確認已驗證客戶身份證明文件、地址證明及其他文件之正本，並已見證客戶在本開戶表上簽署。</p>			
Signed by witness 見證人簽署			
Name of witness 見證人姓名			
AE Code 經紀編號			
Date 日期			
For office use only			
Approved by Responsible Officer			
Approval for Professional Investor for: <input type="checkbox"/> Bond 債券 / <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Securities 證券 / <input type="checkbox"/> Others (Please specify) 其他 (請說明) _____ (Please "✓" on the appropriate box. 請於適當的方格上加上「✓」。)			
Assessment Result for Corporate Professional Investor: 法團投資者的評估結果:			
Signature of Responsible Officer: 富冊國際證券期貨有限公司授權 代表簽署			
Name of Responsible Officer: 富冊國際證券期貨有限公司授權 代表名稱			
Date: 日期:			
Completed by Settlement			
Signature of input person:		Signature of checking person:	
Name:		Name:	
Date:		Date:	

FTFT International Securities And Futures Limited(CE no.: ATR516)
Professional Investor Notice

This Professional Investor Notice is in relation to transactions in securities entered into by you with or through FTFT International Securities And Futures Limited ("FISF", "we" or "us")

Notice of treatment as a Professional Investor ("Notice")

You are a Professional Investor by reason of your being with a category of person described in paragraphs (a) to (i) of the definition of "professional investor" in Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) of the Laws of Hong Kong (the "SFO") and within a category of person described in section 3(a) to 3(d) of the Securities and Futures (Professional Investor) Rules (Cap 571D). If you do not believe that you are a Professional Investor as set out above, please notify us in writing immediately.

1. Risks and Consequences of being treated as a Professional Investor

I/We have been advised by FISF, and fully understand the risks and consequences of being treated as a Professional Investor as described below.

Information about clients

FISF will not be required to establish my/our financial situation, investment experience and investment objectives, nor to ensure the suitability of any recommendation or solicitation that FISF may make.

Client Agreement

FISF will not require to enter into a written client agreement with me/us in respect of the services to be provided to me/us although any agreement that FISF has with me/us remains in force and effect unless I/we are otherwise advise, nor provide me/us with either written or verbal risk warnings or risk disclosure statements required by the Code in respect of the risks involved in any transactions FISF enter into with I/we or to bring those risks to my/our attention.

Discretionary Account

FISF will not be required to obtain from me/us written authorization prior to effecting transactions for me/us on a discretionary basis nor to comply with the requirement to explain to me/us the terms of any such written authorization or renew it on an annual basis.

Information for clients

FISF will not require to disclose transaction related information.

FISF will not be required to:

- (a) Inform me/us about FISF or the identity or status of FISF's employees or others acting on behalf of FISF; or
- (b) Confirm to me/us promptly the essential features of a transaction after effecting a transaction for me/us; or
- (c) Provide me/us with any documentation on the Nasdaq-Amex Pilot Program.

Investor Characterization

FISF will not be required to assess my/our knowledge of derivatives and characterize me/us based on my/our knowledge of derivatives.

Disclosure of sales related information prior to or at a point of distributing an investment product to me/us

FISF will not require to deliver me/us information such as

- (a) the capacity in which FISF is acting;
- (b) affiliation of FISF with the product issuer;
- (c) disclosure of monetary and non-monetary benefits and
- (d) terms and conditions in generic terms under which client may receive a discount of fees and charges from FISF.

Contract notes, statements of account and receipts

FISF will not require to provide me/us with contract notes, statements of account or receipts in accordance with the (Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules)(Cap 571Q), unless I/we notify FISF otherwise in writing.

2. Risk of being treated as a Professional Investor

I/We understand that I/we may be exposed to substantial risks in being treated as a professional investor as described above, including where applicable, the following risks:

- (a) As FISF is not required to establish my/our financial situation, investment experience or investment objectives, FISF may not be in a position to assess the suitability of any particular investment for me/us or any investment decision that I/we may make. I/We will bear full responsibility for all investments and investment decisions that I/we make and FISF will incur no liability whatsoever in connection therewith.
- (b) As FISF is not required to confirm to me/us promptly the essential features of a transaction FISF effects on my/our behalf or provide me/us with regular statements of account, I/we face the risk of not knowing fully and /or on a timely basis the status or terms of my/our investments or the transactions which I/we may have entered into or my/our financial exposure arising there from.
- (c) As FISF is not required to assess my/our knowledge of derivatives and characterize me/us based on my/our knowledge of derivatives, I/we will bear full responsibility for being classified as client with derivative knowledge as defined under the Code.
- (d) As FISF will be exempted by the Code from making disclosure on certain sales related information to me/us during the sale process, I/we will face the risk of not being informed of those information prior to or at the point of sale of investment product.

I/We acknowledge that the above risk disclosure statements cannot and do not purport to disclose all the risks associated with being treat as a professional investor as described above. FISF also advised me/us to carefully consider the risks and consequences of such treatment in the light of my/our own experience, objectives and financial resources and other relevant circumstances.

3. Right to withdraw from being treated as a Professional Investor

I/We understand that I/we have the right, at any time, in respect of all investment products and/or market or any part thereof on giving a written notice of not less than 5 business days to FISF to object to being treated as a professional investor as described above and request to withdraw from being so treated.

I/We agree that unless and until FISF receives from me/us written notification of my/our objection and withdrawal, FISF will be entitled to treat me/us as a professional investor as described above with its attendant risks and consequences. Any request by me/us 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/us on the basis that I am/ we are a professional investor prior to such withdrawal taking effect.

**富冊國際證券期貨有限公司 (證監會中央編號 ATR516)
專業投資者通知書**

此專業投資者通知書乃有關客戶(下稱「閣下」)與富冊國際證券期貨有限公司(下稱「富冊」)的證券交易。 **被視為專業投資者通知 (下稱「通知」)**

閣下是根據香港法例中《證券及期貨條例》第 571 章附表 1 專業投資者定義(a)至(i)段所介定的專業投資者及根據香港法例中《證券及期貨(專業投資者)規則》第 571D 章 3(a)至 3(d)部份所介定的專業投資者。如閣下不同意當中介定，請書面通知富冊。

1. 被視作專業投資者的風險及後果

富冊已向本人/吾等解釋，並完全明白下列有關被視作專業投資者可能出現的風險及後果：

關於客戶的資料

富冊將毋須確立本人/吾等的財政狀況、投資經驗和投資目標，亦不須確保向本人/吾等作出的建議或招攬行為是否合適。

客戶協議書

富冊將不需就向本人/吾等提供之服務與本人/吾等訂立書面協議，但若富冊與本人/吾等有任何協定，此協定仍然生效直至本人/吾等另作要求，富冊也不需就本人/吾等有意進行之交易提供書面或口頭的風險警告或操守準則要求提供的風險披露聲明或使本人/吾等注意到有關的風險。

委託帳戶

在為本人/吾等進行未經本人/吾等特定授權的交易之前，富冊將毋須取得本人/吾等的書面授權；亦毋須向本人/吾等解釋該項授權，及該項授權不須每年確認一次。

為客戶提供資料

富冊將不需就向本人/吾等披露與交易相關的資料。

富冊將毋須：

- (a) 向本人/吾等提供有關富冊及代表富冊的僱員和其他人士的身分和受僱狀況的資料；及
- (b) 在為本人/吾等進行交易後，盡快向本人/吾等確認有關該宗交易的重點；及
- (c) 向本人/吾等提供關於納斯達克－美國證券交易所試驗計劃的資料文件。

投資者分類

富冊將毋須評估本人/吾等對衍生產品的認識，並根據本人/吾等對衍生產品的知識，將本人/吾等分類。

在進行投資產品的銷售時或銷售前，披露銷售相關資料

富冊將不須要向本人/吾等提供下述資料，包括：

- (a) 富冊是以何種身份行事；
- (b) 富冊與產品發行商的關聯；
- (c) 披露有關金錢及非金錢收益的資料；及
- (d) 概括地說明富冊向客戶提供費用及收費折扣的條款及細則。

成交單據、戶口結單及收據

本人/吾等明白除非本人/吾等向富冊作出指示，富冊是不需要按《證券及期貨（成交單據、戶口結單及收據）規則》（第 571Q 章）內規定之方式向本人/吾等提供成交單據、戶口結單或收據。

2. 被視為「專業投資者」之相關風險及影響

本人/吾等明白被視為上述之「專業投資者」後，本人/吾等可能面對大量風險，包括以下之風險（如適用）：

- (a) 由於富冊並不須要確立本人/吾等的財政狀況、投資經驗和投資目標，因此富冊可能不適合評估任何本人/吾等對某種投資，或由本人/吾等可能作出的投資決定的合適性。本人/吾等將對本人/吾等的投資及所作出的投資決定，承擔全部責任，富冊無須對任何有關的情況負責。
- (b) 由於富冊並不須要向本人/吾等儘快確認代本人/吾等執行的交易的重點，或提供定期帳戶結單，本人/吾等將會面對不能完全及/或及時地瞭解本人/吾等可能進行之投資或交易的情況或條款的風險，或因此而引起之財務風險。
- (c) 由於富冊並不須要評估本人/吾等對衍生工具的認識，及根據本人/吾等對衍生工具的認識將之分類，本人/吾等將承擔在操守準則定義下被界定為具有衍生工具知識的客戶的全部責任。
- (d) 由於富冊將獲操守準則豁免在銷售過程中向本人/吾等披露某些特定的銷售相關資料，本人/吾等將面對在進行投資產品交易之前或之時不會被知會該些銷售相關資料的風險。

本人/吾等確認以上之風險披露聲明不能及並不旨在披露所有上述被視為專業投資者的相關風險。富冊已根據本人/吾等的經驗、目標、財政資源及其它有關的情況，建議本人/吾等仔細考慮有關待遇的風險及後果。

3. 撤回被視為專業投資者的權利

本人/吾等明白本人/吾等有權在任何時候，就所有投資產品及/或市場或其他原因給予富冊不少於 5 個工作日的書面通知以反對被視為專業投資者及要求撤回專業投資者的資格。

本人/吾等同意除非及直至富冊收到本人/吾等有關的反對及撤回資格之書面通知，富冊有權將本人/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，均不會妨礙及影響富冊向本人/吾等提供的服務。

本人/吾等承諾會通知富冊有關本人/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。

Supplementary Notes

Pursuant to the definition of Professional Investor at Schedule 1 of the Securities and Futures Ordinance (Cap 571):

Professional Investor means –

- (a) 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 this Ordinance;
- (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;
- (c) 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;
- (d) 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;
- (e) any scheme which –
 - (i) is a collective investment scheme authorized under section 104 of this Ordinance; or
 - (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, or any person by whom any such scheme is operated;
- (f) 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 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;
- (g) any scheme which –
 - (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426); or
 - (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, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;
- (h) any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency;
- (i) except for the purposes of Schedule 5 to this Ordinance, any corporation which is –
 - (i) a wholly owned subsidiary of –
 - (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
 - (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;
 - (ii) a holding company which holds all the issued share capital of –
 - (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
 - (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; or
 - (iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii); or
- (j) any person of a class which is prescribed by rules made under section 397 of this Ordinance for the purposes of this paragraph as within the meaning of this definition for the purposes of the provisions of this Ordinance, 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 this Ordinance.

補充說明

根據《證券及期貨條例》(第 571 章) 附表 1 的專業投資者的定義：

- (a) 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；
- (b) 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) 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) 根據《保險業條例》(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；
- (e) 符合以下說明的計劃——
 - (i) 屬根據本條例第 104 條獲認可的集體投資計劃；或
 - (ii) 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；
- (f) 《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；
- (g) 符合以下說明的計劃——
 - (i) 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) 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，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) 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) (除為施行本條例附表 5 外)符合以下說明的法團——
 - (i) 屬下述者的全資附屬公司——
 - (A) 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) 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) 屬持有下列述者的所有已發行股本的控權公司——
 - (A) 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) 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) 屬第(ii)節提述的控權公司的任何其他全資附屬公司；或
- (j) 屬於為施行本段而藉根據本條例第 397 條訂立的規則訂明為就本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本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。

Notice To Clients Relating To The Personal Data (Privacy) Ordinance

FTFT International Securities And Futures Limited ("FISF") is committed to the protection and privacy of the personal data of its clients or prospective clients or other individuals ("Clients") collected, held, processed or used by it. This notice is issued by FISF and is intended to notify the Clients of the purposes for which their personal data is collected, the intended uses of the collected data and other matters required under the Personal Data (Privacy) Ordinance (Cap.486 of the laws of Hong Kong) ("PD(P)O").

1. In this notice, "FISF" means the relevant company that is collecting the personal data of the Clients.
2. Personal data is collected from time to time by FISF from the Clients in connection with the opening or continuation of accounts (including securities account (cash or margin), stock options account, futures account and discretionary account) ("Accounts"), the establishment or continuation of credit or margin facilities ("Facilities") and/or provision of securities, derivatives, futures, options, commodities, financial, investment, wealth management and related services and products (including but not limited to securities or futures brokerage, financial, nominee, custodian and investment advisory services and products) ("Brokerage Services & Products"). Provision of some of such data is necessary and failure to do so may result in FISF being unable to open or continue the Accounts or provide, establish or continue the Brokerage Services & Products or Facilities.
3. Personal data may also be collected from the Clients in the ordinary course of the continuation of the business relationship between the Clients and FISF or pursuant to laws, regulations, rules or codes which are binding on FISF.

Use and Transfer of Personal Data

4. The personal data relating to the Clients collected may be used by FISF for one or more of the following purposes:-
 - (a) opening the Accounts for the Clients, processing the Clients' applications for such Accounts and conducting client identity due diligence or verification;
 - (b) the daily operation of the Accounts and the provision of Brokerage Services & Products and Facilities to Clients;
 - (c) conducting credit checks and assisting other financial institutions in conducting credit checks on Clients;
 - (d) entering into, effecting, clearing and settling transactions on the instructions of Clients;
 - (e) designing Brokerage Services & Products or Facilities for Clients' use;
 - (f) analysing trends and behaviour as well as conducting customer surveys to continuously improve our services and products;
 - (g) marketing the services, products, events and/or promotions of FISF to Clients (please refer to paragraph 6 below for details);
 - (h) determining any liability and amount of indebtedness as between the Clients and FISF;
 - (i) collection of debts or other sums owing to FISF by Clients and those providing security or guarantee for Clients' obligation;
 - (j) matching and comparing the personal data collected with data from other sources for the purpose of verification to the extent legally permissible;
 - (k) meeting the requirements of any laws, regulations and rules, codes, decisions, guidelines, requests, orders or recommendations of any governmental, regulatory or supervisory authority, exchange or court ("Rules") which is binding on or applicable to FISF and/or related companies (including without limitation to those relating to securities or futures trading, disclosure of interest or other information, anti-money laundering or terrorist financing); and
 - (l) purposes directly related to any of the above.
5. FISF will keep the Clients' personal data collected or held confidential but it may provide such data to the following parties (whether within or outside Hong Kong) to the extent legally permissible:-
 - (a) any agent, contractor, broker or third party service provider who provides administrative, telecommunications, computer, payment, printing or securities or futures trading, execution, clearing or settlement services, or other services in connection with the ordinary business of FISF;
 - (b) any other related companies or offices with the FISF and any other person under a duty of confidentiality to FISF which has undertaken to keep such information confidential and their respective professional advisers;
 - (c) any financial institution, broker or dealer with which a Client has or proposes to have dealings;
 - (d) any actual or proposed assignee of the FISF or other related companies or participant or sub-participant or transferee of the FISF's rights in respect of the Clients;
 - (e) any credit reference agency and, in the event of default of the Clients, any debt collecting agency;
 - (f) any person who provides or proposes to provide guarantee or security for the Client's obligations to FISF or other related company with the FISF;
 - (g) any governmental, regulatory or supervisory authority, exchange or court or any other person in any jurisdiction if required by or pursuant to any Rules which are binding on or applicable to FISF or the relevant Client; and
 - (h) any other person or entity with the relevant Client's consent or approval.

Use of Personal Data in Direct Marketing

6. FISF intends to use the Clients' personal data in direct marketing, and FISF may not use the personal data for such purpose unless the relevant Client's consent (or indication of no objection) has been obtained. In this connection, please note that:
 - (i) the Client's name, email address, mobile phone number, residential phone number, facsimile number, correspondence address, postal code, age, nationality, date of birth, financial background, investment objectives, investment experience, risk tolerance profile, transaction pattern and behavior and product and service portfolio may be used by FISF in relation to direct marketing; and
 - (ii) the following classes of products, services and facilities may be marketed:-
 - any of the Brokerage Services & Products or the Facilities;
 - Brokerage Services & Products, Facilities and banking, deposit, financial, trust, loan, insurance and related products and services of other related companies with the FISF;
 - customer reward, loyalty or privilege programmes of FISF and related services and products; and
 - promotional or social events in relation to any of the above.
7. FISF also intends to provide the Clients' personal data referred to in paragraph 6(i) to any other related companies for their use in direct marketing in relation to their products, services and facilities described in paragraph 6(ii), and FISF may not do so unless the relevant Client's written consent (or indication of no objection) has been obtained. FISF confirms that such data is not provided by FISF to the other related companies for gain.
8. If a Client objects to the use of his/her personal data in, or provision of the same for use in, direct marketing or wishes FISF to cease such use or provision, the Client may tick the boxes of objection below on signing of this notice, or otherwise notify FISF in writing by mailing or fax to the address or fax number provided in paragraph 10. FISF will then cease such use or provision without any charge. The Client's consent may also be given selectively (in relation to the kinds of personal data, classes of marketing subjects and classes of data transferees).

Rights of Clients

9. Under and in accordance with the provisions of PD(P)O, any individual has the right to:
 - to be informed whether FISF holds data about him/her and the right of access to such data (and FISF has the right to charge a reasonable fee for such data access request);
 - require FISF to correct any data relating to him/her which is inaccurate; and
 - to ascertain FISF's policies and practices in relation to personal data.
10. The person to whom the requests mentioned in paragraphs 8 and 9 are to be addressed is as follows:

The Data Protection Officer
FTFT International Securities And Futures Limited
Unit 2301, 23/F, Far East Consortium Building, 121 Des Voeux Road Central, Hong Kong
Fax No.: (852) 2114 1973
11. This notice may be revised, amended or supplemented from time to time by FISF. The most up-to-date version of this notice can be found in the official website of FISF or available from FISF on request.

關於個人資料(私隱)條例客戶通知

富冊致力於保護及保障其所收集、持有、處理或使用的客戶或準客戶或其他個人（「客戶」）之個人資料的私隱。本通知書是由富冊發出，旨在通知客戶其個人資料被收集的目的、所收集資料的用途及《個人資料(私隱)條例》（香港法例第 486 章）（「個人資料(私隱)條例」）所規定的其他事項。

1. 在本通知書中，「富冊」指富冊國際證券期貨有限公司及相關公司收集的客戶個人資料。
2. 富冊不時就開立或維持帳戶（包括證券帳戶（現金或保證金）、股票期權帳戶、期貨帳戶及全權委託帳戶）（「帳戶」）、開設或維持信貸或保證金融通（「融通」）及/或提供證券、衍生工具、期貨、期權、商品、金融、投資、財富管理及相關服務及產品（包括但不限於證券或期貨經紀、財務、代名人、保管人及投資顧問服務及產品）（「經紀服務及產品」），向客戶收集個人資料。部份該些個人資料為必需提供，如客戶未能提供該等資料，則可能導致富冊無法開立或維持帳戶，或提供、設立或維持經紀服務及產品或融通。
3. 個人資料亦可能在客戶與富冊維持正常業務聯繫的過程中或根據對富冊或其他成員具約束力的法律、規定、規則或守則下向客戶收集。

使用及轉移個人資料

4. 富冊可將收集到的與客戶有關的個人資料用作以下一個或多個用途：
 - (a) 為客戶開立帳戶、處理客戶對有關帳戶的申請及對客戶身份進行盡職審查或核實；
 - (b) 帳戶的日常運作和為客戶提供經紀服務及產品及融通；
 - (c) 對客戶進行信貸檢查並協助其他財務機構對客戶進行信貸檢查；
 - (d) 按客戶指示訂立、執行、結算及交收交易；
 - (e) 設計經紀服務及產品或融通供客戶使用；
 - (f) 分析走勢及行為並進行客戶調查，以不斷改進本行的服務及產品；
 - (g) 向客戶推廣富冊的服務、產品、活動及/或推廣（詳情請參閱下文第 6 段）；
 - (h) 確定客戶及富冊之間的任何債務及欠負的款項；
 - (i) 追收客戶或為客戶之責任提供擔保或保證的人士虧欠富冊的債項及其他款項；
 - (j) 於法律允許範圍內為核實的目的核對及比較所收集的個人資料及來自其他來源的資料；
 - (k) 遵從對富冊及/或其他有關成員具約束力或適用的任何法律或任何政府、法規或監管機構、交易所或法院的規定及規則、守則、決定、指引、要求、命令或建議（「規則」）之要求（包括但不限於有關證券或期貨交易、利益或其他資料的披露、打擊洗黑錢及恐怖分子資金籌集之要求）；及
 - (l) 與以上任何一項直接有關的用途。
5. 富冊對收集到及持有的客戶個人資料將會保密，但會於法律允許範圍內向下列人士（不論香港以內或以外）提供有關資料：
 - (a) 向富冊提供與其正常業務活動有關的行政、電訊、電腦、付費、印刷或證券或期貨交易、執行、結算或交收服務或其他服務之任何代理人、合約商、經紀或第三方服務提供者；
 - (b) 富冊或任何其他有關連公司或分部，及已承諾將有關資料保密的對富冊有保密責任的任何其他人士，及其各自的專業顧問；
 - (c) 客戶與之有業務往來或擬有業務往來的任何財務機構、經紀或交易商；
 - (d) 富冊或其他有關連公司的任何實際或擬承讓人，或者富冊與客戶相關的權益之參與人、次參與人或轉讓人；
 - (e) 任何信貸資料服務機構及（在客戶失責的情況下）任何收數機構；
 - (f) 為客戶對富冊或其他有關連公司所負責任而提供或擬提供擔保或保證的任何人士；
 - (g) 如對富冊或相關客戶具約束力或適用的任何規則有所要求，在任何司法管轄區的任何政府、法規或監管機構、交易所或法院或任何其他人士；及
 - (h) 經相關客戶同意或批准的任何其他人士或機構。

在直接促銷中使用個人資料

6. 富冊計劃將客戶的個人資料作直接促銷之用，而富冊須取得相關客戶的同意（或表示不反對），否則不得使用其個人資料作有關用途。就此而言，請注意：
 - (i) 富冊擬在直接促銷中使用客戶的姓名、電郵地址、流動電話號碼、住宅電話號碼、傳真號碼、通訊地址、郵政編號、年齡、國籍、出生日期、財務背景、投資目標、投資經驗、風險承擔資料、交易模式及行為及產品及服務組合；及
 - (ii) 以下類別的產品、服務及融通安排乃擬促銷之項目：
 - 任何經紀服務及產品或融通；
 - 富冊與任何其他有關連公司的經紀服務及產品、融通或銀行、存款、金融、信託、貸款及相關產品或服務；
 - 富冊的客戶獎賞、忠誠或專享優惠計劃及有關服務及產品；及
 - 與上述任何一項有關的推廣或交際活動。
7. 富冊並計劃向富冊與任何其他有關連公司提供第 6(i)段所述的客戶個人資料，供其在直接促銷其第 6(ii)段所述的產品、服務及融通安排時使用，而富冊須取得相關客戶的書面同意（或表示不反對），否則不得提供該些資料。富冊確認其向其他有關連公司提供有關資料，並不為獲取利益。
8. 如客戶反對其個人資料被用作或被提供用作直接促銷之用，或希望富冊停止使用或提供其個人資料作直接促銷之用，客戶可在簽署本通知書時填選以下的反對空格，或以書面方式透過郵寄或傳真至第 10 段所述的地址或傳真號碼以通知富冊。富冊將停止有關使用或提供而不作收費。客戶亦可選擇性地（對個人資料的種類、促銷之項目的類別及資料受讓人的類別）給予同意。

客戶權利

9. 根據個人資料(私隱)條例的條文，任何個人均有權：
 - 獲告知富冊是否持有其資料及其要求查閱有關資料的權利（富冊有權就查閱資料的要求收取合理費用）；
 - 要求富冊更改任何與其有關的不準確的資料；及
 - 查明富冊有關個人資料的政策及慣例。
10. 上述第 8 及 9 段所提及的要求須向以下人士提出：

香港上環永樂街235號商業中心18樓C室
富冊國際證券期貨有限公司
資料保護主任 收
傳真號碼：(852) 2114 1973
11. 富冊可不時修訂、修改或補充本通知書。本通知書的最新版本可於富冊的官方網頁下載或由富冊應要求提供。