

PLUTUS SECURITIES LIMITED
PLUTUS ASSET MANAGEMENT LIMITED

貝德斯證券有限公司
貝德斯資產管理有限公司
(The “Plutus”)(「貝德斯」)

INSTITUTIONAL PROFESSIONAL INVESTOR APPLICATION FORM
機構專業投資者申請表

Name of applicant/client: 申請人/客戶姓名:	
Account number (if applicable): 帳戶號碼 (如適用)	(“Account” “帳戶”)

To be completed by applicant/client 由申請人/客戶填寫

Section A: Institutional Professional Investor Category and Nature of Business

章節甲: 機構專業投資者類別及業務性質

(For definition of Institutional Professional Investor, please refer to the definition of Professional Investor in the SFO.)

(有關機構專業投資者的定義，請參考《證券及期貨條例》)

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

<input type="checkbox"/>	(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 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
<input type="checkbox"/>	(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
<input type="checkbox"/>	(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 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"/>	(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 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"/>	(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 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
<input type="checkbox"/>	(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 《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"/>	(g) Any scheme which – i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426);

	<p>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 —</p> <p>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</p> <p>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，</p> <p>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>(h) 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>
<input type="checkbox"/>	<p>(i) Except for the purposes of Schedule 5 to this Ordinance, any corporation which is—</p> <p>i) a wholly owned subsidiary of—</p> <p>(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</p> <p>(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>ii) a holding company which holds all the issued share capital of—</p> <p>(C) 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</p> <p>(D) 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>iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii)</p> <p>(除為施行本條例附表5外)符合以下說明的法團 —</p> <p>i) 屬下述者的全資附屬公司 —</p> <p>(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</p> <p>(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> <p>ii) 屬持有下述者的所有已發行股本的控權公司 —</p> <p>(C) 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</p> <p>(D) 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> <p>iii) 屬第(ii)節提述的控權公司的任何其他全資附屬公司</p>

Section B: Consequences of Being Classified as a Professional Investor and the Right to Withdraw from Being Classified as a Professional Investor

章節乙：被歸類為專業投資者的後果及撤回被歸類為專業投資者的權利

- You are alerted to pay particular attention to the below consequences of being classified as a Professional Investor. Under the Securities and Futures Ordinance (Cap. 571 of the laws of Hong Kong) (the "SFO"), if a client was categorized as a Professional Investor by reason of the client being a category of person falling under paragraph (a)-(i) of the definition of "Professional Investor" in Part 1 of Schedule 1 to the SFO, the Plutus would not in relation to the client be required to fulfill certain regulatory requirements under the SFO.

請閣下警惕並特別注意以下被歸類為專業投資者的後果。根據《證券及期貨條例》(香港法例第571章) (「條例」), 如果一名客戶由於屬於條例附表1第1部「專業投資者」的定義第(a)-(i)段所指的人士而被歸類為一位專業投資者, 貝德斯無需根據條例向該名客戶履行特定的監管要求。
- You are informed that despite being classified as a Professional Investor, the Plutus's Terms and Conditions for the Account which you received at the time you opened the Account (and as amended from time to time) shall continue to be in full force and effect. If you continue to use the Plutus's dealing services for a Professional Investor, you shall be deemed to have accepted the above consequences and the terms and conditions of the Plutus relating to the Account.

閣下知悉儘管被歸類為專業投資者, 閣下於開戶時收到的貝德斯的「帳戶條款及細則」(經不時之修訂)持續生效並具有完全的效力及作用。如果 閣下繼續使用貝德斯為專業投資者提供的交易服務, 閣下將被視為已經接受上述後果及貝德斯的與帳戶有關的條款及細則。
- You are informed hereby that you have the right to withdraw from being classified as a Professional Investor at any time in respect hereof on giving written notice to the Plutus. However, your withdrawal from being classified as a Professional Investor will only be effective upon the Plutus's actual receipt of your written notice and at such time you shall cease to be a Professional Investor and the Plutus's terms and conditions in relation to the Account shall continue to be in full force and effect.

閣下據此知悉閣下可給予貝德斯書面通知撤回就本文所述事項而言被歸類為專業投資者的權利。然而, 閣下撤回被歸類為專業投資者僅在貝德斯實際收到 閣下的書面通知後方可生效, 並且此時 因閣下不再被歸為專業投資者, 貝德斯與帳戶有關的條款及細則會持續生效並具有完全的效力及作用。

Section C: Applicant/Client Declaration**章節丙：申請人/客戶聲明**

1. I/We confirm that I/we wish to be classified as Professional Investor.
本人/吾等確認本人/吾等有意被歸類為專業投資者。
2. I/We declare that the information and supporting documents I/we provided are true, complete, accurate and up-to-date.
本人/吾等聲明本人/吾等提供的資料及證明文件是真實、完整、準確及最新的。
3. I/We declare that the consequences of consenting to be classified as a Professional Investor and the right to withdraw from being classified as such have been explained to me/us and I/we are fully aware of the same.
本人/吾等聲明貝德斯已經向本人/吾等詳細解釋並且本人/吾等完全明白同意被歸類為專業投資者的後果及撤回被歸類為專業投資者的權利。
4. I/We should inform the Plutus in writing immediately if I/we no longer fall into the categories of persons pursuant to paragraph (a)-(i) of the definition of “professional investor” in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) and/or Section 3 of the Professional Investor Rules.
若本人/吾等不再符合《證券及期貨條例》附表1第1部「專業投資者」的定義第(a)-(i)段所描述的「專業投資者」及/或專業投資者規則第3條，本人/吾等應立即以書面方式通知貝德斯。
5. In the event of any discrepancy between the English and Chinese version of this Professional Investor Application Form (“Form”), I/we agree that the English version shall prevail.
本人/吾等同意，倘若本專業投資者申請表(“申請表”)的中文文本與英文文本有任何歧異，應以英文本為準。

Please tick (✓) where applicable. 請於適用方格加上剔號「✓」。

- Consent to be CLASSIFIED as “Institutional Professional Investor”**
同意被歸類為「機構專業投資者」

I/We, confirm the assessment result in Part A provided by me/us is true, complete and accurate, and consent that the Plutus to classify me/us as a “Institutional Professional Investor” pursuant to paragraph(a)-(j) of the definition of “professional investor” in section 1 of Part 1 of Schedule 1 to the SFO and Section 3 of the Professional Investor Rules.

本人/吾等謹此確認本人/吾等於甲部提供之評估結果是真實，完整和準確，並同意貝德斯根據《證券及期貨條例》附表1第1部「專業投資者」的定義第(a)-(i)段所描述的「專業投資者」及專業投資者規則第3條將本人/吾等歸類為「機構專業投資者」。

Authorised Signatory(ies) and/or company chop
授權簽署及/或公司印章

Name 名稱:

Date 日期:

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僅供內部使用(由貝德斯填寫)

Declaration by a Licensed Person

持牌人士聲明

I, _____ (BLOCK LETTERS) (CE No.: _____ (BLOCK LETTERS)), hereby declare that I have assessed the above applicant/client based on the information/proof/relevant supporting documents provided by him/her/them in this Form or together with this Form. I am satisfied that the applicant/client has fulfilled the regulatory requirements for being classified as Professional Investor.

本人, _____ (請用正楷填寫)(中央編號: _____ (請用正楷填寫)), 僅此聲明基於申請人/客戶在本申請表中或聯同本申請表一起提供之資料/證明/相關證明文件, 本人已經評估上述申請人/客戶認為申請人/客戶已經合乎了被歸類為專業投資者的法規要求。

Signature of licensed person

持牌人士簽署

Name 姓名:

Date 日期:

Checked by 審核	Approved by Responsible Officer 負責人員批准	Processed by Document Control 文件部處理
Signature 簽署	Signature 簽署	Signature 簽署
Name 姓名:	Name 姓名:	Name 姓名:
Date 日期:	Date 日期:	Date 日期: