

Individual/Corporate Professional Investor Assessment Form 個人/法團專業投資者評估表格

Account Name: 帳戶名稱:	Account No.: 帳戶號碼:
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Section 1 – CLASSIFICATION OF INDIVIDUAL/CORPORATE PROFESSIONAL INVESTOR

第一部份 – 個人/法團專業投資者的歸類

Pursuant to the requirements under Section 3 of the Securities and Futures (Professional Investor) Rules (Cap. 571D) (“Professional Investor Rules”), I/we declare and confirm that I/we are a Professional Investor within one of the following types: (please ONLY select ONE type and submit the supporting documents for our reference).

根據第 571D 章第 3 條，《證券及期貨(專業投資者)規則》(『專業投資者規則』)所列的規定，閣下/吾等聲明及確認 閣下/吾等是以下其中一種類別的專業投資者 (請只選擇一種類別，並提交證明文件，供本公司參考)：

Type of Professional Investor 專業投資者類別	Criteria 準則	Supporting Documents (please provide supporting documents) 證明文件 (請提供證明文件)
<input type="checkbox"/> Individual – An individual, either alone or with any of his or her associates (i.e. the spouse or any child of the individual) on a joint account 個人 – 單獨或聯同其有聯繫者 (即配偶或其子女) 擁有共同帳戶	Has a portfolio of not less than HK\$8 million (or equivalent in any foreign currency) at the relevant date 在有關日期擁有不少於港幣 8 佰萬 (或等值外幣) 的投資組合	<input type="checkbox"/> A certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date 由核數師或會計師在有關日期前 12 個月內發出的證明書 <input type="checkbox"/> One or more custodian statements issued to the individual (either alone or with the associate (i.e. the spouse or any child of the individual)) within 12 months before the relevant date 在有關日期前 12 個月內發給個人 (單獨或與其有聯繫者 (即配偶或其子女)) 的一份或多於一份保管人結單



<p><input type="checkbox"/> Corporation/Partnership 法團/合夥</p>	<p>Has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency); or total assets of not less than HK\$40 million (or its equivalent in any foreign currency) 在有關日期擁有的投資組合，不少於港幣8佰萬（或等值外幣）；或在有關日期擁有的總資產，不少於港幣4仟萬(或等值外幣)</p>	<p><input type="checkbox"/> Most recent audited financial statements prepared •In respect of the Corporation/Partnership and •Within 16 months before the relevant date 就該法團/合夥，並在有關日期前16個月內擬備的最近期的經審計的財務報表</p> <p><input type="checkbox"/> One or more custodian statements issued to the Corporation/Partnership within 12 months before the relevant date 在有關日期前12個月內發給該法團/合夥的一份或多於一份保管人結單</p>
<p><input type="checkbox"/> Trust Corporation – A Trust Corporation has been entrusted under the trust or trusts 信託法團 – 委託信託或信託下的信託法團</p>	<p>With total assets of not less than HK\$40 million (or its equivalent in any foreign currency) at the relevant date 在有關日期獲託付的總資產，不少於港幣4仟萬(或等值外幣)</p>	<p><input type="checkbox"/> Most recent audited financial statements prepared •In respect of the Trust Corporation; and •Within 16 months before the relevant date 就該信託法團，並在有關日期前16個月內擬備的最近期的經審計的財務報表</p> <p><input type="checkbox"/> One or more custodian statements issued to the Trust Corporation within 12 months before 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</p>

RIGHT TO WITHDRAW FROM BEING CLASSIFIED AS A PROFESSIONAL INVESTOR

撤回被歸類為專業投資者的權利

Please note that the Client has the right to withdraw from being classified as a Professional Investor at any time in respect of all products and financial markets by giving to DL Securities (HK) Limited not less than 14 days' prior written notice.

請注意：無論任何時候，客戶均有權向德林證券(香港)有限公司發出不少於14天的事先書面通知，撤回被歸類為專業投資者(就所有產品及金融市場而言)。

Section 2 --Investment Knowledge and Expertise (Only applicable for PI under Classification B)

投資認識及專業知識 (只適用於B類別之專業投資者)

This section is designed to assist us in assessing your knowledge, expertise and investment experience in relation to the products and markets that you will invest. You may need to provide us the relevant information / documentary proof of your past investment experience in the products / markets.

本部分旨在協助我們評估有關您對將會投資的產品及市場的認識、專業知識及投資經驗。您或需要提供過往在相關產品 / 市場中的交易資料或文件以證明您的投資經驗。

Asset Classes 資產類別	Investment Experience in relevant products (No. of transactions in the past year) 相關產品的投資經驗 (過往一年的交易次數)	Investment Knowledge in relevant products / markets for at least 2 years 具最少2年相關投資產品 / 市場的認識	Awareness of relevant product / market risks associated 了解在相關產品 / 市場上進行交易所涉及的風險
a) Have you invested into the following product(s)? 閣下曾否投資以下產品?			
<input type="checkbox"/> Equities 股票 (e.g. listed / unlisted stock 上市 / 非上市股票)	<input type="checkbox"/> 1 - 20 <input type="checkbox"/> 21 - 40 <input type="checkbox"/> 41 - 60 <input type="checkbox"/> >60	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/> Fixed Income 定息資產 (e.g. bonds, debentures 債券、債權證)	<input type="checkbox"/> 1 - 20 <input type="checkbox"/> 21 - 40 <input type="checkbox"/> 41 - 60 <input type="checkbox"/> >60	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/> Alternative Investment 另類投資 (e.g. Private Equity 私募基金)	<input type="checkbox"/> 1 - 20 <input type="checkbox"/> 21 - 40 <input type="checkbox"/> 41 - 60 <input type="checkbox"/> >60	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/> Structured Products and Derivatives 結構性及衍生工具 (E.g. Callable Bull or Bear Contracts, Warrants, futures, options 牛熊證、窩輪、期貨、期權)	<input type="checkbox"/> 1 - 20 <input type="checkbox"/> 21 - 40 <input type="checkbox"/> 41 - 60 <input type="checkbox"/> >60	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<input type="checkbox"/> Others 其他 (please specify 請註明:) _____	<input type="checkbox"/> 1 - 20 <input type="checkbox"/> 21 - 40 <input type="checkbox"/> 41 - 60 <input type="checkbox"/> >60	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否



b) Which relevant market(s) (or markets with similar characteristics) have you been dealt actively with for at least 2 years?

閣下曾於以下哪個相關市場 (或具有相似特點的市場) 活躍地進行最少2年交易的經驗?

- Mature Markets 成熟市場
(e.g. US, Western Europe, Japan, Australia, Canada, Singapore and Hong Kong 例如:美國、西歐、日本、澳洲、加拿大、新加坡及香港)
- Emerging Markets 新興市場
(e.g. BRIC, Malaysia, Indonesia, Latin America and Emerging Europe 例如: 金磚四國、馬來西亞、印度、拉丁美洲及新興歐洲)
- Frontier Markets 前沿市場
(e.g. Vietnam, Turkey, Africa and Pakistan 例如: 越南、土耳其、非洲及巴基斯坦)

c) Have you ever been either a licensed person under Hong Kong Securities and Futures Commission (SFC) or a relevant individual with Hong Kong Monetary Authority (HKMA) and have at least 1 year relevant work experience in a professional position that involves the relevant product / market?

您曾否是香港證監會的持牌人士或香港金管局之相關人士?另外, 您是否現職於或曾經任職專業職位, 並擁有至少一年相關工作經驗於金融部門?

- Yes 是
- No 否

d) Have you ever obtained any financial qualification(s) or completed any finance course(s) or in-depth training from reputable institute(s)?

您是否曾於具信譽之機構取得任何金融學歷或完成任何金融課程?

- Yes 是
- Passed Hong Kong Securities and Investment Institute (HKSI) Paper 7 / 8 / 9
通過香港證券專業學會 (HKSI) 考卷7 / 8 / 9
- Passed Chartered Financial Analyst (CFA) Exam - Level 1 / 2 / 3
通過特許財務分析師 (CFA) 考試 1 / 2 / 3 級
- Passed Financial Risk Manager (FRM) Exam
通過金融風險管理師 (FRM) 考試
- Passed Chartered Alternative Investment Analyst (CAIA) Exam
通過特許另類投資分析師 (CAIA) 考試
- Certified Financial Planner (CFP) - Investment Module
認可財務策劃師 (CFP) 課程之投資單元
- Master in Finance
金融學碩士
- Degree in Finance
金融學學士
- Diploma / Higher Diploma in Finance
金融學文憑 / 高級文憑
- Other rationale that reasonably satisfies the fulfillment of the PI criteria by the client:
其他合理證明客戶符合專業投資者條件的理據:

- No 否

Note: You may need to provide additional information and documents to prove your knowledge, expertise and investment experience in the relevant products and/or markets which you will invest.

註: 閣下可能有需要提供附加資料及文件以證明閣下的相關產品及 / 或市場擁有的投資知識及經驗。



Section 3--Risks and Consequences of being treated as a Professional Investor (Only applicable for PI under Classifications A and B)

被視為專業投資者的風險及後果(只適用於A及B類別之專業投資者)

I / We acknowledge and agree that to be treated as a PI under the definition and classification as filled in Section 1 above. I / We understand that if I / we are classified as a PI under Classification A or B in Section 1, DL Securities (HK) Limited will waive the obligation(s) set out in paragraph 15.5 of the Code of Conduct which include:

本人 / 吾等了解並同意本人 / 吾等被歸類為於第一部所填寫的專業投資者定義及類別。本人 / 吾等明白若本人 / 吾等被納入A 或 B 的專業投資者類別，德林證券將豁免履行就《操守準則》第15.5段所述的有關責任包括：

1. Client Agreement – DL SECURITIES is not required to enter into a written agreement with me / us in the form contemplated by the Code of Conduct.
客戶協議書 - 德林證券毋須按《操守準則》所規定，與本人 / 吾等簽訂書面協議。
2. Risk Disclosure – DL SECURITIES is not required to provide me / us with the risk disclosure statements required by the Code of Conduct in respect of the risks involved in any transactions DL SECURITIES enter into with me / us or to bring those risks to my / our attention.
風險披露聲明 - 德林證券毋須按《操守準則》所規定，向本人 / 吾等提供任何有關於與德林證券進行交易所涉及的風險之風險披露聲明，或向本人提示該等風險。
3. Information about the firm – DL SECURITIES is not required to provide me / us with information about its business and the identity and status of its employees and others acting on its behalf with whom I / we may have contact.
公司資料 - 德林證券毋須向本人 / 吾等提供其業務資料，以及與本人 / 吾等聯絡之德林證券僱員或其他代表其行事的人士之身份和地位。
4. Prompt Confirmation – DL SECURITIES is not required by the Code of Conduct to confirm promptly the essential features of a transaction after effecting a transaction for me / us.
即時確認文件 - 德林證券毋須按《操守準則》所規定，提供在交易完成後即時發出載有該交易詳情的確認文件。
5. Information about Client – DL SECURITIES is not required to establish my / our financial situation, investment experience or investment objectives.
客戶資料 - 德林證券毋須確認本人 / 吾等的財務狀況、投資經驗及投資目標。

Discretionary Accounts – DL SECURITIES is not required, in connection with any discretionary account, to follow certain provisions set out in the Code of Conduct in relation to the procedures to be followed to obtain from me / us authority in writing prior to effecting transactions for my / our account and is not required to explain such authority or re-confirm it on an annual basis.

委託賬戶 - 德林證券毋須按《操守準則》所規定，在進行與任何委託賬戶有關的交易前，向本人 / 吾等取得書面授權、就有關授權作出解釋，或作年度再確認。

Section 4—Risk Disclosure 風險披露聲明

Bonds 債券

Investing in bonds involves significant risks. The following risk disclosure statements are not exhaustive and do not take into account your personal circumstances not disclosed to DL Securities (HK) Limited, You should take your own independent review and seek independent professional advice, if necessary, on whether an investment in bonds is suitable for you in light of your risk appetite, financial situation, investment experience, investment objectives and investment horizon.

投資於債券涉及重大風險。以下的風險聲明並未披露有關此產品所涉及的所有風險，亦無考慮您(們)沒有向德林證券(香港)有限公司披露的個人情況。您(們)應就本身的風險取向、財政狀況、投資經驗、投資目標及投資期限，自行獨立審核債券投資是否適合自己，倘若有需要，應尋求獨立專業意見。

The above information is for reference only. This document does not constitute any offer, solicitation, recommendation, comment or any guarantee to the purchase or sale of any investment products or services. The investment products or services mentioned in this document are not equivalent to, nor should it be treated as a substitute for, time deposit. Although investment may bring profit opportunities, each investment product or service involves potential risks. Due to dynamic changes in the market, the price movement and volatility of investment products may not be the same as expected by customers. Customers' fund may increase or reduce due to the purchase or sale of investment products. The loss incurred from investment maybe the same or greater than initial investment amount, proceeds may also change accordingly. Part of the investment may not be able to liquidate immediately under certain market situation. Do not invest in it unless you fully understand and are willing to assume the risks associated with it. If you are in any doubt about the risks involved in the product, you may clarify with the intermediary or seek independent professional advice. The investment decision is yours but you should not invest in these products unless the intermediary who sells them to you has explained to you that these products are suitable for you having regard to your financial situation, investment experience and investment objectives. Before making any investment decisions, customers should consider their own financial situation, investment objectives and experiences, risk acceptance and ability to understand the nature and risks of the relevant product. For the nature and risk disclosures of individual investment products, customers should read carefully the relevant offering documents for details. Customers should seek advice from independent financial adviser. 以上資料僅供參考。本文本身不構成對任何人作出買賣、認購或交易在此所載的任何投資產品或服務的要約、招攬、建議、意見或任何保證。本文所載的投資產品或服務並不同，亦不應被視為定期存款的替代品。投資雖可帶來獲利機會，但每種投資產品或服務都有潛在風險。由於市場瞬息萬變，投資產品的買賣價格升跌及波幅可能非如客戶預期，客戶資金可能因買賣投資產品而有所增加或減少，投資的損失可能等同或大於最初投資金額，收益亦會有所變化。基於市場情況，部分投資或不能即時變現。閣下不應投資於此產品，除非閣下完全理解及願意承擔其相關風險。倘若閣下對此產品涉及的風險有任何疑問，可要求中介人加以澄清或尋求獨立專業意見。投資決定是由閣下自行作出的，但閣下不應投資於此產品，除非中介人於銷售此產品時已向閣下解釋經考慮閣下的財政狀況、投資經驗及目標後，此產品是適合閣下的。客戶在作出任何投資決定之前，須評估本身的財務狀況、投資目標及經驗、承受風險的意願及能力，並了解有關產品的性質及風險。個別投資產品的性質及風險詳情，請小心參閱有關銷售文件。客戶應徵詢獨立財務顧問的意見。

Risk of bonds trading 債券交易的風險

The prices of bonds fluctuate, sometimes dramatically. The price of a bond may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling bonds.

債券價格有時可能會非常波動。債券價格可升可跌，甚至可能變成毫無價值。買賣債券未必一定能夠賺取利潤，有時反而可能會招致損失。

This document is issued by DL Securities (HK) Limited. The contents of this document have not been reviewed by the Securities and Futures Commission in Hong Kong.

本文由德林證券(香港)有限公司刊發，內容並未經香港證券及期貨事務監察委員會審閱。



Key Risk Disclosures 主要風險披露

- Investment risk:** The prices of bonds may go up and down and may be volatile. The bonds may even become worthless. Buying and selling bonds may not necessarily result in any profit, and may sometimes result in loss.

投資風險: 債券價格可升可跌，亦可能會波動。債券甚至可能變成毫無價值。買賣債券未必一定能夠賺取利潤，甚至會造成損失。
- Issuer / Guarantor credit risk:** The return on bonds is linked to the credit of the Issuer and Guarantor, as applicable. The credit ratings assigned by credit rating agencies do not guarantee the creditworthiness of the Issuer and Guarantor, as applicable. In the event that the Issuer defaults, it is possible that you may lose all your investment, including the principal.

發債機構 / 擔保人信用風險: 債券的回報與發債機構及擔保人(如適用)的信譽有關，信貸評級機構給予的信貸評級並非對發債機構及擔保人(如適用)信用可靠程度的保證。若果發債機構出現違約，這可能導致閣下損失全部的投資金額，包括本金金額。
- To be distinguished from savings or time deposits:** The bonds are an investment product and are not equivalent to a time deposit, and are unsecured and are not guaranteed (if there is no guarantor). The bonds are not protected deposits under the Deposit Protection Scheme in Hong Kong. The bonds are not principal-protected. The investment in bonds involve risks not associated with regular bank deposits and should not be regarded as a substitute for regular savings or time deposit.

與儲蓄或定期存款不同: 債券為投資產品，不同於定期存款，且為無抵押及無擔保(如沒有擔保人)。債券並不受香港存款保障計劃保障。債券並非保本。投資於債券涉及一般銀行存款沒有之風險，並不應被視為一般儲蓄或定期存款之代替品。
- Not covered by the Investor Compensation Fund:** The bonds are not covered by the Investor Compensation Fund.

不受投資者賠償基金保障: 債券不受投資者賠償基金保障。
- Interest rate risk:** Changes in interest rates may have a significant impact on the market price of the bonds. For example, bond prices generally fall when interest rates rise - In this situation, you may incur a loss from the decrease in market price of the bonds if you sell the bonds before the final maturity date.

利率風險: 利率變化可能會對債券之市場價格產生重要影響。例如，如果利率升高，債券之市場價格一般將會降低。在這種情況下，如閣下於最終到期日前出售債券，而債券的價格下跌，將導致閣下造成損失。
- Currency risk:** For bonds not denominated in your home currency, if the currency in which the bonds are denominated depreciates against your home currency during your holding period, and if calculated and settled in your home currency, exchange rate fluctuations may have an adverse impact on, and the potential loss may offset (or even exceed), the investment return.

貨幣風險: 對於非以閣下的本土貨幣計值的債券，如果債券的計價貨幣相對於閣下的本土貨幣在持有期內貶值，以閣下的本土貨幣計算及結算時，匯率波動可能會對潛在回報帶來負面影響，其可能帶來的損失或會抵銷(甚至超過)投資回報。
- Tenor risk:** The bonds have a specified investment period. The longer the investment period of the bonds, the more likely changes in interest rates, exchange rates, market environments and the Issuer's financial and operating conditions may affect the bond value during the investment period. Your actual return (if any) may be substantially lower than expected and you may even suffer losses.

年期風險: 債券有指定投資期。債券的投資期越長，利率、匯率、市場環境和發債機構的財務及營運情況對債券在投資期內之價值的影響便越大。閣下的實際回報(如有)可能遠少於預期，甚至可能承受損失。



8. **Liquidity risk:** The bonds are designed to be held to maturity and there may be no active secondary market quotations for the bonds. If you try to sell your bonds before maturity, it may be difficult or impossible to find a buyer, or the sale price may be much lower than the amount you had invested. You may suffer a loss if you sell your bonds before maturity.
流通性風險: 債券旨在持有至到期日，可能沒有活躍的二手市場報價。如閣下於到期日前有意出售債券，閣下難以甚至無法找到買家，或沽出價格亦可能遠低於閣下的投資金額。如閣下於到期日前沽出債券，可能承受損失。
9. **Foreign Exchange Rate Risk:** This happens when the investor purchases bonds that have cash flows in a foreign currency instead of his domestic currency. In such a case, when the investor receives the foreign currency-denominated cash flow, he will have to convert the same into his domestic currency at the prevailing exchange rate exposing him to Foreign Exchange Rate risk.
匯率風險: 投資人在投資海外證券，或是廠商在進行對外貿易期間，當匯率發生變動，在投資到期或交易完成貸款收付時，存在以外幣計價的證券價值或貸款價值跟著發生變動的風險。
10. **Emerging Market Risk:** Investing in emerging markets involves certain risks and special considerations not typically associated with investing in other more established economies or securities markets. Such emerging markets may lack the social, political or economic stability. Exposure to these markets may entail more volatility than investments in more established markets. (Applicable for RMB Bonds)
新興市場風險: 於新興市場進行投資涉及某些不會在較成熟經濟體或證券市場出現的風險以及需要考慮的特殊因素。與較成熟的證券市場相比，這些新興市場可能缺乏社會、政治或經濟的穩定性。相對於較成熟的市場，投資於此類市場需要承擔較高的波動性。(適用於人民幣債券)。
11. **Other risks:** There may be other risks associated with the investment of each particular bond which are not mentioned above, please refer to each individual Term Sheet for details.
其他風險: 投資於某隻債券可能涉及以上未有提及之其他風險，詳情請參閱每隻債券的條款概要。

Funds 基金

The following risk disclosure statements cannot disclose all the risks involved and does not take into account any personal circumstances unknown to DL Securities (HK) Limited. You should carefully consider whether trading or investment is suitable in light of your own risk tolerance, financial situation, investment experience, investment objectives, investment horizon and investment knowledge. You should undertake your own independent review and seek independent professional advice before you trade or invest especially if you are uncertain of or have not understood any aspect of the following risk disclosure statements or the nature and risks involved in trading or investment.

以下風險披露聲明不能披露所有涉及的風險亦不會考慮德林證券概不知情的個人情況。在進行交易或投資前，您應完全了解有關投資產品的性質及風險，並按本身的承受風險能力、財政狀況、投資經驗、投資目標、投資期及投資知識謹慎考慮是否適宜進行交易或投資。倘若您不確定或不明白以下風險披露聲明或進行交易或投資所涉及的性質及風險，請您尋求獨立的專業意見。

Risk disclosure of Fund 基金交易的風險:

Fund products or services are not equivalent to, nor should it be treated as a substitute for, time deposit. Although investment may bring profit opportunities, each investment product or service involves potential risks. Due to dynamic changes in the market, the price movement and volatility of investment products may not be the same as expected by you. Your fund may increase or reduce due to the purchase or sale of investment products. The value of investment funds may go up as well as down and the investment funds may become valueless. Therefore, you may not receive any return from investment funds. Part of your investment may not be able to liquidate immediately under certain market situation. The investment decision is yours but you should not invest in these products unless the intermediary who sells them to you has explained to you that these products are suitable for you having regard to your financial situation, investment experience and investment objectives. Before making any investment decisions, you should consider your own financial



situation, investment objectives and experiences, risk acceptance and ability to understand the nature and risks of the relevant product. Investment involves risks. Please refer to the relevant fund offering documents for further details including risk factors. If you have any inquiries on this Risk Disclosure Statement or the nature and risks involved in trading or funds etc, you should seek advice from independent financial adviser.

This promotion material does not constitute any offer, solicitation, recommendation, comment or guarantee to the purchase, subscription or sale of any investment product or service and it should not be considered as investment advice.

基金產品或服務並不同等，亦不應被視為定期存款的代替品。投資雖可帶來獲利機會，但每種投資產品或服務都有潛在風險。由於市場瞬息萬變，投資產品的買賣價格升跌及波幅可能非如您所預期，您的資金可能因買賣投資產品而有所增加或減少，投資基金的價格可升可跌，甚至可能變成毫無價值。因此，您可能不會從投資基金中收到任何回報。基於市場情況，部分投資或不能即時變現。投資決定是由您自行作出的，但您不應投資於此產品，除非中介人於銷售此產品時已向您解釋經考慮您的財政狀況、投資經驗及目標後，此產品是適合您的。投資涉及風險。請細閱相關的基金銷售文件，以瞭解基金更多資料，包括其風險因素。倘有任何關於進行交易或基金涉及性質及風險等方面的疑問，您應徵詢獨立財務顧問的意見。

Declarations by Client(s) 客戶聲明

I / We declare that I / we have examined the information as provided by me / us on this form are true, correct and complete. 本人 / 吾等謹此聲明，本人 / 吾等在此申請表上所提供的一切資料均屬真實、正確及完整。

I / we agree that all personal data provided may be used by the company in connection with verification / administration procedures, or disclosed for any other purposes as defined in the Personal Data (Privacy) Ordinance. DL Securities (HK) Limited is authorized at any time to contact anyone, including banks, brokers or any credit agency, for the purpose of verifying the information provided on this Professional Investor Assessment and Declaration Form. 本人 / 吾等同意 貴公司可以使用上述所提供的全部個人資料，作為身份核證 / 行政程序，或其他按《個人資料（私隱）條例》所定的任何用途。德林證券(國際)有限公司獲授權在任何時間向任何人，包括銀行、經紀或任何信貸機構，查核此專業投資者評估及聲明書上的資料。

I / We confirm and agree with the terms set out in this form and the risks and consequences of being treated as a PI. The risk disclosure statements are provided in a language of my / our choice and I / we have been invited to take independent advice as I / we wish. 本人 / 吾等確認及明白被視為專業投資者的風險及結果。風險披露聲明已按本人 / 吾等選擇的語言獲得並同意本聲明書上所列的條款。本人 / 吾等亦已被邀請就本人 / 吾等所願，徵求獨立意見。

I / We agree to be treated as a PI. 本人 / 吾等同意被視為專業投資者。

I / We consent and acknowledge that I / we have a right to withdraw from being treated as a PI upon my / our written notice to DL SECURITIES. 本人 / 吾等同意並確認本人 / 吾等有權透過書面通知德林證券，取消被視為專業投資者的資格。

I / We agree to provide a confirmation and / or any supporting to DL SECURITIES annually to ensure I / we continue to fulfill the requisite requirement under the PI Rules. 本人 / 吾等同意每年向德林證券提供確認書及 / 或任何相關文件，以確保本人 / 吾等持續符合《專業投資者規則》之必要條件。



Signature 簽署	
<p>In the case of a corporation, a duly authorized officer must sign. 若為公司投資者，須由授權的職員簽署。</p> <p>Individual Investor/Joint Investor/Corporate Investor 個人投資者/聯名投資者/公司投資者(if applicable如適用)</p>	
<p>Signature of Client / Signature & Full Name of Authorized Officer of Corporate Account 客戶簽署 / 公司賬戶授權簽署人姓名及簽署：</p>	<p>Date 日期：</p>
<p>Signature of Joint Client (if any) 聯名客戶簽署 (如適用)：</p>	<p>Date 日期：</p>

Notes 註：

- For Joint Investors, the signatures of all Joint Investors are required to confirm above requests.
若為聯名投資者，所有指示必須由所有聯名投資者共同簽署確定。
- DL Securities (HK) Limited is licensed to carry on Type 1 (Dealing in Securities) regulated activities under the Securities and Futures Ordinance (CE No. AZN279) and situated at **Flat 01, 28/F, Vertical Square, 28 Heung Yip Road, Wong Chuk Hang, Hong Kong.**
德林證券(香港)有限公司(地址為香港黃竹坑香葉道28號嘉尚匯28樓01室)，乃獲發牌進行《證券及期貨條例》(中央號碼：AZN279)第一類(證券交易)受規活動之持牌機構。
- Please send the relevant document(s) to our above-mentioned office address.
請將有關文件郵遞至上述公司地址。

Declaration by Staff 職員聲明		
<p>I, _____ (print name of licensed person), confirm that I have fully explained the consequences and risks of being as a PI to the Client in a language of the client's choice (English or Chinese), and I have invited the client to read the consequences and risks, ask questions and take independent advice if the client wishes.</p> <p>本人 _____ (職員姓名) 確認本人已以客戶選擇之語言(英文或中文)，向客戶闡明作為專業投資者的風險及結果，並已邀請客戶閱讀該風險及後果、按其意願提出問題，以及徵求獨立意見。</p>		
<p>Signature of Staff 職員簽署：</p>	<p>CE No. 中央編號：</p>	<p>Date 日期：</p>



Assessment by DL SECURITIES 德林證券評估			
<p>Does the client fulfill the criteria to be treated as a PI? 客戶是否符合作為專業投資者的條件？</p> <p><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p>			
<p>_____ Name of Staff 職員姓名</p>		<p>_____ Position of Staff 職員職位</p>	
<p>_____ Signature of Staff 職員簽署</p>		<p>_____ Date 日期</p>	
Checked By 核查:	Input 輸入:	Approved 批核:	Verified:
Signature 簽署:	Signature 簽署:	Signature 簽署:	Signature 簽署:
Position 職位:	Position 職位:	Position 職位:	Position 職位:
Date 日期:	Date 日期:	Date 日期:	Date 日期: