



附件 4X - 個人專業投資者申請表
Appendix 4X – Individual Professional Investor Application Form

Investment Experience and Knowledge (For Professional Investor ONLY)

投資經驗及知識 (專業投資者適用)

1 Please indicate your dealing experience and the transaction frequency in specific market groups.

請填寫閣下在特定市場的交易經驗及交易頻率。

Markets 市場	Number of transactions (per annum) that you have executed in the relevant market in the past two years at your own accord. 在過去兩年，閣下每年於相關市場所執行的交易次數。			
	None 沒有	1-39	40-60	>60
<input type="checkbox"/> HK 香港	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> CHINA 中國	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> USA 美國	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> OTHERS 其他 _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> OTHERS 其他 _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2 Do you have knowledge and expertise in the relevant products and markets?

閣下是否擁有對以下相關市場產品的認識及專業知識?

Knowledge & Expertise 專業知識	NO 沒有	YES 有			
		Relevant Markets (HK, CHINA, USA etc.) 相關市場 (香港、中國、美國等)	Currently working or have previously worked in the relevant financial sector for at least 1 year that involves the relevant product 現時或過去曾從事相關金融行業，並就有關市場任職至少1年	Undergone training or studied courses which are related to the relevant product 曾接受有關產品的性質和風險的一般知識培訓或修讀相關課程	Others (please specify) 其他(請注明)
Products 投資產品					
股票 Stocks	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
交易所交易基金和房地產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
認可互惠基金及單位信託基金 Authorised Mutual Funds and Unit Trusts	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
現貨外匯 Spot Foreign Exchange	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
窩輪及股票期權 Warrants and Stock Options	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
期貨合同及期權 Futures Contracts and Options	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
杠杆式外匯合同 Leveraged Foreign Exchange Contracts	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
固定收益證券 (如上市和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
結構性產品 (包括非上市) Structured Products (including Unlisted)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
商品、商品掛鉤結構性產品 Commodities, Commodity-linked structured products	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
虛擬資產 (如比特幣)、證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3 Are you aware of the risk involved in trading in the relevant products and markets?

閣下是否對在相關市場交易以下產品涉及的風險有所認知?

Aware of the risk 風險認知	NO 沒有	YES 有				
		HK 香港	CHINA 中國	USA 美國	OTHERS 其他	OTHERS 其他
Products 投資產品						
股票 Stocks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
交易所交易基金和房地產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
認可互惠基金及單位信託基金 Authorised Mutual Funds and Unit Trusts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
現貨外匯 Spot Foreign Exchange	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
窩輪及股票期權 Warrants and Stock Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
期貨合同及期權 Futures Contracts and Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
杠杆式外匯合同 Leveraged Foreign Exchange Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
固定收益證券 (如上市和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
結構性產品 (包括非上市) Structured Products (including Unlisted)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
商品、商品掛鉤結構性產品 Commodities, Commodity-linked structured products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
虛擬資產 (如比特幣)、證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Disclaimer 免責聲明

This questionnaire is only one of the factors you may take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision. FORTUNE(HK) SECURITIES LIMITED accept no responsibility or liability as to the accuracy or completeness of the information provided by you in this questionnaire and/or the results.

本問卷只是閣下考慮投資的其中一個因素。以上並不應視為投資建議、要約出售、或要求購買任何金融產品。閣下應該仔細考慮閣下的投資目標及承受風險能力，並尋求獨立專家意見，才作出任何投資決定。富強證券對於本問卷由閣下提供的資料及／或結果的準確性或完整性不承擔任何責任。

Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the product before making any investment decision. You should always make your own investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc.

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升可跌，而所呈列的過往表現資料並不表示將來表現。投資者作出任何投資決定前，應詳細瞭解該產品的性質和風險。當閣下作出投資決定前，須考慮閣下的財政狀況，投資經驗，獨立專業意見等因素

Do you have any personal circumstances or special restrictions affecting your investment decision, if not covered by the above questions? (If Yes, please provide the details below) 閣下的投資決定會否受任何獨特情形及特別限制所影響，而該情形/限制並未涵蓋於以上問題之內？（如有，請詳述）

第一部分：個人專業投資者的分類 Section 1: Classification as a Individual Professional Investor

- 本人/吾等合資格被視為於證券及期貨條例附表1第1部分“專業投資者”定義第(j)段及下文證券及期貨“專業投資者”規則(“專業投資者規則”)第3(b)條所述類別人士的專業投資者(“個人專業投資者”),並同意被視為個人專業投資者。 I/We are qualified to be treated as a Professional Investor under the category of persons described in paragraph (j) of the definition of “professional investor” in Part 1 of Schedule 1 of the SFO and section 3(b) of the Securities and Futures (Professional Investor) Rules (the “Individual Professional Rules”) as described below and agree to be treated as such (“Individual Professional Investor”).
 - 託管人於相關日期代其(無論單獨或連同其配偶或子女的聯名賬戶)持有的現金及/或證券組合不少於港幣8,000,000元(或其等值外幣)的高淨值個人投資者(“個人”),合資格作為專業投資者規則第3(b)條項下的“專業投資者”。 A high net worth individual investor, either alone or with his/her spouse or any child on a joint account, having a portfolio of cash held for such person or persons by a custodian and/or securities of not less than HKD8 million (or its foreign currency equivalent) at the relevant date (“Individual”) qualifies as a “professional investor” under section 3(b) of the Professional Investor Rules.
 - 本人/吾等同意應要求提供充分的書面證明,以核證吾等的上述財務狀況。 I/We agree to provide documentary evidence sufficient to verify our financial status as above upon request.
- †個人是指任何透過單獨或聯同其配偶或任何子女於某聯權共有帳戶擁有的投資組合在有關日期不少於\$8,000,000或等值外幣。 This refers to any individual, who either singly or jointly with his/her spouse or any child of the individual on a joint account, having a portfolio of not less than HKD8 million or its equivalent in any foreign current at the relevant date.

第二部分：個人專業投資者的處理 Section 2: Treatment as an Individual Professional Investor

根據準則,個人專業投資者有權隨時向富強發出書面通知,就所有投資產品或市場或其任何部分取消被視為個人專業投資者。倘個人專業投資者不再屬於證券及期貨條例附表1第1部分“專業投資者”釋義第(j)段及專業投資者規則所述類別的人士,則必須即時以書面形式通知富強。 Under the Code, the Individual Professional Investor has the right to withdraw from being treated as an Individual Professional Investor at any time in respect of all investment products or markets or any part thereof by giving written notice to Fortune. The Individual Professional Investor must inform Fortune in writing immediately if the Individual Professional Investor no longer falls into the categories of persons described in paragraph (j) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.

第三部分：被視為個人專業投資者之風險及後果 Section 3: Risks and Consequences of being treated as an Individual Professional Investor

根據《證券及期貨(成交單據、戶口結單及收據)規則》,富強證券有限公司(“富強”)毋須向個人專業投資者提供成交單據、戶口結單或收據。儘管有此規定,富強或會繼續向閣下提供若干資料(儘管富強並無此義務),包括載有任何交易詳情的結單。 Under the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules, Fortune (HK) Securities Limited (“Fortune”) is not required to provide Individual Professional Investor with contract notes, statements of account or receipts. Notwithstanding this requirement, Fortune may continue to provide you with certain information, including statements setting out the particulars of any transaction, even though Fortune is not obliged to do so.

根據《證券及期貨條例持牌人或註冊人操守準則》(“準則”)有關個人專業投資者的部分,富強毋須遵守準則項下的若干監管規定。富強在為個人專業投資者提供服務時或會履行下列部分或全部職責,但根據準則,富強並無義務履行下列職責: Under the Code of Conduct for Persons Licensed by or Registered with the SFC (the “Code”) regarding Individual Professional Investor, Fortune is not required to fulfil certain regulatory requirements under the Code. While Fortune may perform some or all of the following in providing services to Individual Professional Investors, Fortune is not required under the Code to do the following:

- a. 須向個人專業投資者提供有關富強或註冊人和有關富強僱員及其他代表富強行事的人士的身分和受僱狀況的資料; the need to inform the Individual Professional Investor about Fortune’s business and the identity and status of its employees and others acting on Fortune’s behalf with whom the Individual Professional Investor will have contact;
- b. 為個人專業投資者完成交易後,須盡快向該個人專業投資者確認有關該宗交易的重點;及 the need to confirm promptly with the Individual Professional Investor the essential features of a transaction after effecting a transaction for the Individual Professional Investor; and
- c. 須向個人專業投資者提供關於納斯達克-美國證券交易所試驗計劃的資料文件。 the need to provide the Individual Professional Investor with documentation on the Nasdaq-Amex Pilot Program.

第四部分：聲明 Section 4: Declaration

- 本人/吾等應富強要求,同意定期提供證明,以確保本人/吾等屬於證券及期貨條例附表1第1部分“專業投資者”定義第(j)段及專業投資者規則所述類別人士。 I/We agree to provide confirmation on a regular basis as required by Fortune to enable it to determine that I/we fall within paragraph (j) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.
- 本人/吾等瞭解並同意個人專業投資者聲明書內所載條文。本人/吾等確認並聲明本人/吾等已閱讀及瞭解,並同意聲明書的內容,包括被視為個人專業投資者的風險及影響;有權取消被視為個人專業投資者;以及可依願徵求獨立意見,及/或以本人/吾等瞭解的語言向吾等解釋相關內容。 I/We understand and agree to the provisions contained in this Individual Professional Investor Declaration Form. I/We acknowledge and declare that I/we have read and understood, and accept the contents herein, including the risks and consequences of being treated as an Individual Professional Investor; of our right to withdraw from being treated as an Individual Professional Investor; and of taking independent advice if I/we wish, and/or that the same has been explained to us in a language which I/we understand.
- 本人/吾等同意倘本人/吾等不再屬於證券及期貨條例附表1第1部分“專業投資者”定義第(j)段及專業投資者規則所述類別人士,將立即書面通知富強。 I/We agree to inform Fortune in writing immediately if I/we no longer fall within the categories of persons described in paragraph (j) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.
- 本人/吾等確認及同意本聲明的內容,並聲明及指出本人/吾等作出的此項聲明屬真實完備、準確無誤。 I/We acknowledge and accept the contents of this declaration and declare and represent that the declaration I/we make is true, complete and correct.

賬戶持有人姓名 Name of Account Holder	
賬戶號碼 Account No.	
日期 Date	
	簽署 Signature