Professional Investor Treatment and Declaration
專業投資者處理及聲明

Corporate and Individual Professional Investor Notice and Declaration
企業及個人專業投資者須知及聲明

Corporate and Individual Professional Investor Notice 企業及個人專業投資者須知

Classification and Treatment as Professional Investor 專業投資者分類

As an entity licensed by the Hong Kong Securities and Futures Commission **(the "SFC")**, First Fidelity Capital (International) Limited ("FFCIL") are required to comply with the provisions of the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) **("SFO")** and the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission **(the "Code")**. 作為香港證監及期貨事務監察委員會（以下簡稱「證監會」）的持牌人，（"FFCIL"）必須遵守香港法例第 571 章「證券及期貨條例」(以下簡稱「證券條例」) 及持牌人或註冊人操守準則(以下簡稱「準則」)的規定。

Professional Investor Status 專業投資者身分

In Hong Kong certain rules and restrictions exist in connection with dealing with investors who are not Professional Investors.
香港有一系列的規定及限制處理非專業投資者的利益。

Accordingly, for the purposes of sections 174, 175 and Part IV of the SFO and Schedule 17 of the Companies Ordinance, FFCIL have classified you as a "professional investor" on the basis that you or your Company / the corporation / the trust corporation / the partnership (for these purposes "you") falls into one of the categories as ticked in the table further below.
根據「證券條例」內關於專業投資者的定義，當閣下選擇下列其中一個類別之一，閣下將被視為「專業投資者」。

As a consequence of this classification as a professional investor below, we will be able to offer you certain investment opportunities which are only available to professional investors. In particular, FFCIL will be able to offer you securities or investment products which are not authorized by the SFC and in relation to which the prospectus requirements under the Companies Ordinance do not apply.
當閣下歸類為「專業投資者」，FFCIL可為閣下提供只供「專業投資者」享用的投資機會。特別是，FFCIL可為閣下提供不適用於「證監會」認可的證券或投資產品。

In addition, you should be aware that FFCIL will not be required to provide you with materials or information in relation to any offer of securities in the form prescribed in section 175 of the SFO.
此外，閣下亦須明白FFCIL將獲豁免履行「證券條例」內證券要約規則。

Professional Investor Treatment 專業投資者的處理

Separately, for the purposes of the Code, once you are being treated as a professional investor, meaning that FFCIL can be exempted from providing you with certain information and services that FFCIL would otherwise be required to provide to you. Before FFCIL are entitled to do this however, we are obliged to give you a written explanation as to the risks and the consequences of being treated as such. If you agree to be treated as a professional investor, this means you have appropriate knowledge, understanding and expertise in relation to investment instruments and markets relevant to this investment. As a result, the level of information and explanation that would be provided to you would be considerably less. Furthermore, as a professional investor you will be deemed to understand the particular risks attaching to the relevant investment strategies, financial instruments and investments. Under the Code, FFCIL needs your confirmation that you have no objection to being treated as a professional investor before doing so.
此外，當閣下被視為「專業投資者」亦意味著FFCIL可以豁免履行「準則」內的某些規管要求。雖然FFCIL不須跟從「準則」內的某些規管要求，但亦希望以書面向閣下解釋當中的風險及後果。若閣下同意被分類為「專業投資者」，亦代表閣下對相關投資工具及市場有適當的理解及專業知識。因此，FFCIL將減少對閣下提供和解釋該類投資產品的程度，然而，按「準則」規定，FFCIL需事前得到閣下同意被分類為「專業投資者」。

TREATMENT AS A "PROFESSIONAL INVESTOR" (according to the professional investor rules define to the Securities and Futures Ordinance) 申請視為專業投資者 **(**根據證券及期貨條例的定義**)**

I/We am/are 本人/本公司是 ：

1	☐	A high-net-worth individual investor, either alone or with your spouse or children on a joint account, has a portfolio of cash and / or securities of at least HK$8 million (or its foreign currency equivalent); 其個人帳戶及與其配偶或小孩聯名帳戶，現金存款及證券組合總值不少於港幣 8 百萬元的高端私人投資者；
2	☐	A corporation / partnership with a portfolio of cash and / or securities of at least HK$8 million (or its foreign currency equivalent) **OR** total assets of at least HK$40 million (or its foreign currency equivalent); 擁有不少於港幣 8 百萬元的現金存款及證券組合或其總 資產值不少於港幣 4 千萬元的公司或合夥公司；
3	☐	A trust corporation which has been entrusted under trust(s) of which it acts as trustee, with total assets of at least HK$40 million (or its foreign currency equivalent); 已受委託的總資產值不少於港幣 4 千萬元的信託公司；
4	☐	An investment holding corporation which does not have the required portfolio or asset amount, but is wholly owned by an individual, corporation / partnership or trust corporation as per paragraphs 1, 2 and / or 3 above. 為以上第 1-3 類別的專業投資者全資擁有的投資控股公司

Risks and Consequences of Being Treated as a Professional Investor 被分類為「專業投資者」涉及的風險

Accordingly, we hereby advise you that, as a consequence of your being treated as a professional investor; we will not take any of the following actions / steps:
當閣下被分類為「專業投資者」時，FFCIL將不需履行以下事項：

(1) enter into a written agreement with you unless we specifically require or you specifically request otherwise;
除特別要求外，雙方簽訂書面協議；

(2) provide you with the standard general risk disclosure statements prescribed in the Code;
提供「準則」內規定的一般風險披露；

(3) provide you with information in relation to FFCIL or the identity and status of its employees and others acting on our behalf unless you specifically request such information;
除特別要求外，向閣下提供FFCIL及其員工的資訊；

(4) confirm promptly with you the essential features of a transaction after effecting it for you; and
於每次交易後立即彙報閣下的交易情況；及

(5) provide you with contract notes or monthly statements of account in accordance with the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (if applicable).
根據規定向閣下提供成交單據或月結單。

Finally, for as long as you are treated as a professional investor, FFCIL will not be required to:
最後，由於閣下被分類為「專業投資者」，FFCIL將不需要：

(1) establish your financial situation (other than to establish your status as a professional investor), investment experience (other than to assess your experience as a professional investor) and investment objectives;
建立閣下的財務狀況、投資經驗及投資目的（除用作核實閣下為「專業投資者」身分的必需資訊外）；

(2) assess your knowledge of derivatives or characterize you based thereon;
評估閣下對衍生工具的認識；

(3) ensure the suitability of any recommendation or solicitation to you; and
確保向閣下作出的建議或招攬的合適性；及

(4) disclose sales related information including monetary and non-monetary benefits in relation to any promotion of funds or products, to you (if any).
向閣下披露銷售相關資料（如有）。

Please note that you have the right to withdraw from being treated as a professional investor in respect of all products or markets or any part thereof by giving FFCIL 30 days' written notice in advance during the course of your relationship with us.
請注意，閣下可 30 天前以書面通知要求取消其「專業投資者」的身分。

If you have no objection to the terms upon which we propose to deal with you as a professional investor, please sign and return the enclosed declaration to us.
如閣下對上述條款並無異議，請簽署及交回本聲明書。

Finally, under the Code, if you agree to be treated as a professional investor, we are required to carry out a confirmation exercise annually to enable us to ensure that you continue to fulfill the requisite requirements in terms of portfolio size/amount of assets, so please note that we will need to verify this information with you again on an annual basis.
最後，按「準則」規定，閣下如被分類為「專業投資者」，FFCIL需每年向閣下核實其「專業投資者」資格。

By signing below,
當簽署以下時，

a. I/We agree to be treated as a professional investor and have read and understood the risk and consequence of being treated as professional investor(s). I/We also understand I/we have the right to withdraw my/our consent to be treated as such.
我／我們已閱讀及瞭解有關被分類為專業投資者的相關風險及後果並同意被分類為專業投資者，而且我/我們明白我／我們有權要求取消此分類。

☐ Yes 是 ☐ No 否
(please contact FFCIL 請直接向FFCIL查詢)

I/We declare that in relation to the relevant information of the fund which FFCIL has provided me / us, I / We:
我／我們就有關FFCIL所管理的基金所提供的資訊，特此聲明，我／我們：

(a) have sufficient investment experience, knowledge and expertise in (i) listed equities, (ii) hedge funds which employ a long-short strategy and invest in emerging markets including China and (iii) equity derivatives, or have similar investment experience, knowledge and expertise which could be considered relevant in the context of the fund's investment strategies;
具有交易於 i) 上市證券、ii) 長／短倉型新興市場包括中國市場對沖基金及或 iii) 洐生產品等足夠相關經驗;

(b) have invested in the relevant hedge funds and emerging markets in the previous 12 months;
於過去 12 個月內曾投資於新興市場包括中國市場對沖基金;

(c) have made investments in the relevant emerging markets previously and remain invested for a period of at least 2 years, involving comparable investment amounts, whether through FFCIL or another manager / advisor;
有最少 2 年交易於新興市場包括中國市場的經驗;

(d) have developed a significant degree of knowledge and expertise in the relevant hedge funds; and
對對沖基金有認識及理解;及

(e) are familiar with the relevant investment strategies and the risks involved in investing in the relevant hedge funds and / or markets.
明白對沖基金的投資策略及風險及或新興市場所涉及的風險。

☐ Yes 是 ☐ No 否

1. I/We agree to provide supporting documents for verification of my status as professional investor(s) upon request.
   為核實我／我們的專業投資者身分，我／我們同意按需要提供相關證明文件。

   ☐ Yes 是　　☐ No 否

2. I/e hereby confirm and accept the declarations and acknowledgements as indicated above.
   我／我們謹此確認及承認以上聲明屬實無誤。

3. I/We agree that if there is any change of status or circumstance which may render any declarations or information indicated above, I/we will inform FFCIL immediately and will update such information, complete such forms or provide such documents as FFCIL may reasonably require.
   我／我們承諾若有任何變更影響或導致以上聲明有變，我／我們會即時通知 貴司並及時提供相關資訊。

For individual Investor
個人或聯名戶口投資者

Signature of Account Holder 戶口持有人簽署	Signature of Joint Account Holder 聯名戶口持有人簽署
Day 日 Month 月 Year 年	Day 日 Month 月 Year 年

For Corporate Investor
機構投資者

Authorised Signature(s) with Company chop (if any)
授權人簽署及公司印章(如適用)

Day 日 Month 月 Year 年

SIGNATURE AND ACKNOWLEDGEMENT 簽署及確認

I/We, confirm that we have fully and accurately completed this account opening form. I/We agree that we shall be treated as a "professional investor" in connection with the operation of the Account(s). I/We further agree that I/we shall, immediately upon request by FFCIL, inform the Hong Kong Regulators of the identity, address, occupation and contact details of the ultimate beneficiary if we affect a transaction otherwise than for our own benefit.

本人/本公司確認所填寫的開戶資料屬完整及正確，並同意於本帳戶之操作上被視為「專業投資者」。若本人/本公司非為自己的利益影響交易，本人/本公司同意將會應FFCIL之要求即時通知香港監管機構最終實益擁有人之身分、 住址、職業和聯絡方式。

For individual Investor
個人或聯名戶口投資者

Signature of Account Holder 戶口持有人簽署

Day 日 Month 月 Year 年

Signature of Joint Account Holder 聯名戶口持有人簽署

Day 日 Month 月 Year 年

For Corporate Investor
機構投資者

Authorised Signature(s) with Company chop (if any)
授權人簽署及公司印章(如適用)

Name 姓名 ______________________

Title 職稱 ______________________

Day 日 Month 月 Year 年

見證人(持牌人士) Witness

Name 姓名 ______________________

SFC CE No. ______________________

Day 日 Month 月 Year 年

Approved by Responsible Officer (持牌負責人審批) ______________________ Date 日期 ______________

We hereby enclose the following documents:

☐ 董事會決議通過開立帳戶及簽署相關開戶文件 The board Resolution authorizing the execution of this Account Opening Information Form and the relevant documents

☐ 所有帳戶持有人及/或授權人之身份證或護照影印本 HKID/Passport for all authorized individuals listed in the Account Opening Information Form above

☐ 主管機關發出的牌照影印本 Copy of certificate of registration/license issued by regulatory bodies, or a copy of the Client's licensed or registration status as shown in public register of the authority form which the client's license is issued or the registration is accepted

☐ 股東和董事名單及身分證或護照影印本 Shareholders and directors list with HKID/Passport