PLUTUS SECURITIES LIMITED
貝德斯證券有限公司
(Exchange Participant of The Stock Exchange of Hong Kong Limited) SFC CE NO. BNJ530
8/F., 80 Gloucester Road Wanchai, Hong Kong
香港灣仔告士打道 80 號 8 樓
Tel 電話 (852) 2968 1192 Fax 傳真 (852) 2968 5560

Applicable only to high-net-worth type professional investor

只適用於高資產值專業投資者

Supplement to Client Information Sheet - Professional Investor Assessment Form

客戶資料表格補充文件 - 專業投資者評估表格

Section 1: Assessment of trading experience

第一部份：投資經驗評估

(a) Investment Experiences (can choose more than one item) 投資經驗(可選多於一項)

☑	Product 商品	Average Portfolio Value 平均貨值 HK$ 港幣	Year(s) of Experience 投資年期
☐	Stock, Shares, Debentures or Other Securities 股票、股份、債權證及其他證券		
☐	Unit Trusts & Mutual Funds 單位信託及互惠基金		
☐	Leveraged Foreign Exchange 槓桿外匯		
☐	Derivatives / Structured Products 衍生工具 / 結構性產品		
☐	Futures/Options 期貨 / 期權		
☐	Others 其他 (please specify 請註明:		

(b) Have you executed not less than 40 transactions per annum?

閣下 / 貴公司是否每年進行不少於 40 宗交易?

☐ Yes 是 (Approximate no. of transaction per annum 每年交易次數約為: ________________)

☐ No 否

(c) Have you been trading actively in the relevant market for at least 2 years?

閣下 / 貴公司曾否在相關市場上活躍地進行交易達最少 2 年?

☐ Yes 有 (Number of years 多少年: ____________________)

☐ No 沒有

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Section 2: Assessment of knowledge and expertise in relevant products

第二部份：對有關產品的認識及專業知識評估

(a) Have you undergone training or attended courses that are related to the relevant product?
閣下 / 貴公司曾接受有關產品的培訓或修讀相關課程嗎?
☐ Yes 有
☐ No 沒有

(b) Are you currently working or have you previously worked in a financial sector for at least 1 year in a professional position that involved in the relevant product?
閣下 / 貴公司現時或過去是否曾於金融業擔任與產品有關的專業職位超過一年?
☐ Yes 是
☐ No 否

(c) Are you aware of the risks involved in trading in the relevant products and/or markets?
閣下 / 貴公司是否知道有關產品及 / 或在相關市場進行交易所涉及的風險?
☐ Yes 是
☐ No 否

Section 3: Assessment of financial assets

第三部份：對金融資產的評估

(a) If you are an individual, do you have a portfolio of not less than HK$8 million or its equivalent currency amount? (portfolio means a portfolio comprising any of the following: (i) securities; (ii) a certificate of deposit issued by an authorized financial institution; (iii) money held by a custodian for the individual / corporation)
如閣下是個人客戶，你是否有一個不少於 HK$800 萬或等值貨幣金額的投資組合?（投資組合指由任何下述項目組成的投資組合- (i) 證券；(ii) 由認可財務機構發行的存款證；或(iii) 由保管人替該人或法團持有的款項)
☐ Yes 是
☐ No 否

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(b) If you are a corporate, do you have (i) a portfolio of not less than HK$8 million or its equivalent currency amount; or (ii) total assets of not less than HK$ 40 million or equivalent currency amount? (for the definition of " portfolio", please refer to (section 3a) above.)
如貴公司是公司客戶，你是否有一個(i)不少於 HK$800 萬或等值貨幣金額的投資組合；或(ii) 不少於 HK$4,000 萬或等值貨幣金額的總資產？(“投資組合”的定義請參閱(第三部份 a)項釋義)
☐ Yes 是
☐ No 否

____

Customer's Signature 客戶簽署

Note to client 客戶須知：
Subsequent to treating you as a professional investor, if you trade in a different product type or market, you are required to undertake a separate assessment with us in order to assess your suitability as a professional investor in the new product type or market.
被視為專業投資者後，在閣下 / 貴公司被視為另一類產品或另一個市場的專業投資者前，本公司將對閣下 / 貴公司另外進行評估以評估閣下 / 貴公司被視為另一類產品或另一個市場的專業投資者的合適性。

If you cease to trade in the relevant product or market for more than two years, you are required to undertake a new assessment should you wish to classify as a professional investor.
若閣下 / 貴公司停止買賣有關產品或不在相關市場進行交易超過兩年，並希望被分類為專業投資者，本公司將對閣下 / 貴公司重新進行評估。

For Office Use Only

A.E. Assessment 經紀評估 (A.E. to tick the below boxes)

Trading experience met? 符合投資經驗？ ☐ Yes 是 ☐ No 否
Sufficient knowledge and expertise? 足夠認識及專業知識？ ☐ Yes 是 ☐ No 否
Financial assets threshold met? 達到金融資產門檻？ ☐ Yes 是 ☐ No 否

	Department	Name	Signature	Date
Processed by	Sales/Dealing (A.E.)			
Signature verified by	Risk Management			
Concurred by	Legal Compliance			