

Professional Investor Questionnaire (Individual)

Name: _____ Contact Number: _____

Q.1: What types of financial instruments have you purchased in the past?

- Fixed income (e.g. bonds, CODs, REPOs etc)

(1) Level of experience in the relevant product type?	<input type="checkbox"/> < 2 years	<input type="checkbox"/> ≥ 2 years
(2) Understanding of risks in the relevant product type?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Knowledge and expertise in the relevant product type? *	<input type="checkbox"/> Yes	<input type="checkbox"/> No

- Stocks

(1) Level of experience in the relevant product type?	<input type="checkbox"/> < 2 years	<input type="checkbox"/> ≥ 2 years
(2) Understanding of risks in the relevant product type?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Knowledge and expertise in the relevant product type? *	<input type="checkbox"/> Yes	<input type="checkbox"/> No

- Unit trusts/ Mutual funds

(1) Level of experience in the relevant product type?	<input type="checkbox"/> < 2 years	<input type="checkbox"/> ≥ 2 years
(2) Understanding of risks in the relevant product type?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Knowledge and expertise in the relevant product type? *	<input type="checkbox"/> Yes	<input type="checkbox"/> No

- Futures/ Options

(1) Level of experience in the relevant product type?	<input type="checkbox"/> < 2 years	<input type="checkbox"/> ≥ 2 years
(2) Understanding of risks in the relevant product type?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Knowledge and expertise in the relevant product type? *	<input type="checkbox"/> Yes	<input type="checkbox"/> No

- Structured products (e.g. equity linked notes or products with embedded derivatives)

(1) Level of experience in the relevant product type?	<input type="checkbox"/> < 2 years	<input type="checkbox"/> ≥ 2 years
(2) Understanding of risks in the relevant product type?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Knowledge and expertise in the relevant product type? *	<input type="checkbox"/> Yes	<input type="checkbox"/> No

* For example:

- (1) Current or previous work experience of at least one year involving the relevant product type; or
 (2) Having undergone training or studied courses relating to the relevant product type; or
 (3) Relevant trading experience (whether client has traded the relevant product type for at least 5 times in the past 3 years)

Q.2: How many transactions do you generally enter into each year (including but not limited to fixed income, stocks, unit trusts/ mutual funds, futures/ options, or structured products)?

- < 40 times
- ≥ 40 times

Q.3: What is the usual transaction amount of a typical investment for you?

- < HKD 1 mn
- HKD 1 – 5 mn
- HKD 5 – 10 mn
- > HKD 10 mn

Q.4: What is your usual portfolio size?

- < HKD 8 mn
- HKD 8 – 20 mn
- > HKD 20 mn

Q.5: How much total assets do you have?

- < HKD 10 mn
- HKD 10 – 20 mn
- > HKD 20 mn

Q.6: Supplements on investment experience and knowledge:

I understand the content of the questionnaire above, and confirm that the information I have provided are accurate and complete.

Account Number :

Client signature:	AMO signature:	Responsible Officer signature:
Date:	Date:	Date:

Internal assessment

Has the client provided proof that he maintains a portfolio of not less than HKD 8 million or its equivalent in foreign currency? (proof may include transaction statements or monthly statements) Yes No

According to the client information provided above, the AMO concludes that:

- the client does not qualify as a professional investor.
- the client qualifies as a professional investor for the following product type(s):

Client's past credit records:
