



長雄集團
EVER-LONG GROUP

Ever-Long Securities Company Limited (CE No. ACM423); 長雄證券有限公司 (中央編號 ACM423)
Ever-Long Futures Limited (CE No. BIL619); 長雄期貨有限公司 (中央編號 BIL619)
Ever-Long Capital Management Limited (CE No. BEC578) 長雄資本管理有限公司 (中央編號 BEC578)
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Account Number 帳戶號碼	

Application for being treated as Professional Investor 申請被視作為專業投資者

(applicable for application for being treated as "Corporate Professional Investor" or "Individual Professional Investor", hereinafter referred to as "Professional Investor" pursuant to Securities and Futures (Professional Investor) Rules ("Professional Investor Rules") and paragraph 15 of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the "Code").

只適用於要求根據《證券及期貨(專業投資者)規則》(“專業投資者規則”)及證券及期貨事務監察委員會持牌人或註冊人操守準則「操守準則」第 15 段被視作為之“法團專業投資者”或“個人專業投資者”(以下簡稱“專業投資者”)。

Any reference herein Ever-Long Securities Company Limited ("Ever-Long Securities") and/or Ever-Long Futures Limited ("Ever-Long Futures") and/or Ever-Long Capital Management Limited ("Ever-Long Capital Management") shall collectively called "Ever-Long" or "Ever-Long Group")

下文所述長雄證券有限公司應指「長雄證券」及/或長雄期貨有限公司「長雄期貨」及/或長雄資本管理有限公司「長雄資本」,統稱「長雄」、「長雄集團」。

A. Asset / Portfolio Assessment 資產或投資組合評估

For the application of being treated as "Professional investor", pursuant to the definition in Professional Investor Rules, you / your company must fulfill one of the following criteria and provide to Ever-Long the relevant supporting documents.

閣下/貴公司如欲申請訂明為根據專業投資者規則而定義為之“專業投資者”,閣下/貴公司須達到以下其中一項條件及提供有關之證明文件。

You are / Your company is 閣下 / 貴公司是	Criteria 條件	Supporting Document(s) 證明文件
Individual Professional Investor 個人專業投資者		
<input type="checkbox"/> Individual 個人	<input type="checkbox"/> Having a portfolio*, either alone or with any of your associates* on a joint account, of not less than HK\$8 million or equivalent in any foreign currency 單獨或與閣下有聯繫者於某聯權共有帳戶擁有不少於 HK\$8,000,000 或等值的投資組合	<input type="checkbox"/> A certificate issued by an auditor or a certified public accountant to the individual within previous 12 months; or 由該人的核數師或註冊會計師在最近 12 個月內發出的證明文件; 或 <input type="checkbox"/> One or more custodian* statement(s) issued to the individual (either alone or with your associates* on a joint account) within previous 12 months. 一張或多張由受託人*最近 12 個月內發給該人(單獨或聯同有聯繫者*)的結單
Trust Corporation Professional Investor 信託法團專業投資者		
<input type="checkbox"/> Trust Corporation 信託法團 A trust corporation having been entrusted under the trust or trusts of which it acts as a trustee 擔任一項或多於一項信託的信託人	<input type="checkbox"/> Trustee with total assets not less than HK\$40 million or equivalent 信託人獲託付不少於 HK\$40,000,000 或等值的總資產	<input type="checkbox"/> Most recent audited financial statement prepared - in respect of the trust corporation or any of the trusts and within 16 months; or 最近期的經審計的財務報表 - 就該信託法團或該等信託發出 - 在 16 個月內擬備;或 <input type="checkbox"/> One or more custodian* statements issued to the trust corporation - in respect of the trust or any of the trusts - within 12 months 一張或以上由保管人發給信託法團之結單 - 就該信託及該等信託中任何一項信託 - 在 12 個月內發出

Corporation or Partnership Professional Investor 法團或合夥專業投資者

<input type="checkbox"/> Corporation or Partnership 法團或合夥	<input type="checkbox"/> Having a portfolio* of not less than HK\$8 million or equivalent; or 擁有不少於 HK\$8,000,000 或等值的投資組合；或 <input type="checkbox"/> Having total assets of not less than HK\$40 million or equivalent 擁有不少於 HK\$40,000,000 或等值的總資產	<input type="checkbox"/> Most recent audited financial statement prepared - in respect of the corporation or partnership and - within 16 months; or 最近期的經審計的財務報表 - 就該法團或合夥發出 - 在 16 個月內擬備;或 <input type="checkbox"/> One or more Ever-Long custodian* statements issued to the corporation or partnership within 12 months; or 長雄 / 其他一張或以上由受託人*在 12 個月內發給該法團或合夥之結單；或
<input type="checkbox"/> Other Corporation 其他法團 Any corporation the sole business of which is to hold investments and which at the relevant date ¹ is wholly owned by one or more of the Individual, Corporation, Partnership or Trust Corporation that qualified as Professional Investor 唯一業務是持有投資項目並在有關日期由以上描述的一名或多名以上為專業投資者的個人、法團、合夥或信託法團全資擁有的法團	<input type="checkbox"/> As above 同上	<input type="checkbox"/> Document(s) to prove - the business of your company; - the ownership of your company; and - the Professional Investor qualification of your owner(s). 可證明該法團的業務； - 擁有權；及 - 擁有人的專業投資者資格的文件

* Refer to the interpretations set out in Section C (Professional Investor Notice and Declaration) below.
請參閱下面 C 節（專業投資者通知和聲明）中所闡述的解釋。

¹ relevant date –

- (a) in the case of an advertisement, invitation or document described in section 103(3)(k) of the Ordinance, means the date on which the advertisement, invitation or document is issued, or possessed for the purposes of issue;
- (b) in the case of a call described in section 174(2)(a) of the Ordinance, means the date on which the call is made;
- (c) in the case of an offer described in section 175(5)(d) of the Ordinance, means the date on which the offer is made; or
- (d) in any other case which, by virtue of any rules made under the Ordinance, requires compliance with an obligation, means the date by or on which the obligation is required to be complied with

B. Corporate Professional Investor Assessment (for exemption from the provisions set out in paragraphs 15.4 and paragraph 15.5 of the Code)

法團專業投資者評估 (為使操守準則第 15.4 及 15.5 段的條文不適用而需要遵從)

(Applicable to Corporate Professional Investor referred to in Section A above only 只適用於上述 A 節內提述的法團專業投資者)

Pursuant to paragraph 15.3A and in order to dis-apply the provisions set out in paragraphs 15.4 and 15.5 of the Code, Ever-Long is required to assess your company's corporate structure, investment process and controls, investment experience and background of the person(s) responsible for making investment decisions.

根據操守準則第 15.3A 段所列的要求，在接納客戶成為法團專業投資者及使操守準則第 15.4 及 15.5 段下的條文不適用，長雄是有需要評估貴公司的企業架構及投資程序、及負責代表法團投資者作出投資決定的人士的投資資本景及投資經驗。

If you are being classified as Corporate Professional Investor which can dis-apply the provisions set out in paragraphs 15.4 and 15.5 of the Code, please also complete **Appendix I** of this form.

如閣下已被分類為可不適用操守準則第 15.4 及 15.5 段的法團專業投資者，亦請填寫本表格附件 I。

I. Corporate Structure, Investment Process and Controls Assessment 企業架構及投資程序及監控措施

<input type="checkbox"/>	a. Does your company have an in-house treasury, investment or similar function responsible for its investment strategies and investment process? 閣下是否設有庫務、投資或類似職能，負責閣下的投資策略及投資程序？ <input type="checkbox"/> Yes 是 Please specify the name of person(s)-in-charge 請註明負責人員姓名： <input type="checkbox"/> No 否
<input type="checkbox"/>	b. Does your company have a designated investment committee? 閣下是否設有專責的投資委員會？ <input type="checkbox"/> Yes 是 Please specify the name of the committee member(s) 請註明資委會人員姓名： <input type="checkbox"/> No 否
<input type="checkbox"/>	c. Have your company engaged an external investment advisory team which is independent to Ever-Long in advising on investment strategies, advice and recommendation? 閣下是否有聘用外部並且獨立於長雄的受規管的投資顧問團隊，就投資策略、意見及建議向閣下提供意見？ <input type="checkbox"/> Yes 是 Please specify the name of person(s)-in-charge 請註明負責人員姓名： <input type="checkbox"/> No 否
<input type="checkbox"/>	d. Does your company rely on and follow the investment strategies, advice and recommendation of your related corporation and such related corporation? 閣下是否依據及遵從閣下的有連繫法團的投資策、意見及建議，並該有連繫法團： (i) has an in-house treasury, investment or similar function; 設有內部庫務、投資或類似職能； (ii) has a designated investment committee; or 設有專責投資委員會；或 (iii) engages an external investment advisory team that meets the conditions set out in paragraph (c) above, 委聘符合第(c)點所述的條件的投資顧問團隊。 <input type="checkbox"/> Yes 是 Please specify the name of person(s)-in-charge 請註明負責人員姓名： <input type="checkbox"/> No 否

II. Investment Experience and Background Assessment 投資經驗評估

(Applicable to each person responsible for making investment decision on behalf of your company) (適用於每位負責代表貴公司作出投資決定的人士填寫)

In case of more than one person responsible for making investment decisions on behalf of your company, please make copy of the table below and complete separately for each of the responsible persons.
若多於一名負責投資人士，請覆印下表並由每一負責投資人士個別填寫。

Name of the Person Responsible for Investment							
Questions 問題	Relevant Products 有關產品						
	Equity Securities 股本證券	Futures and Options 期貨及期權	Warrants, CBBC and Stock Options 認股權證、牛熊證 及股票期權	Fixed income securities (e.g. bonds) 固定收益證券 (如債券)	Mutual funds/ Unit Trusts 互惠基金 / 單位信 託	Structured Products (Equity Linked Deposit/ Currency Linked Deposit, etc.) 結構性投資產品 (股票掛鉤存款 / 票 據 · 貨幣掛鉤存款)	Others e.g. forex, commodities, ETF etc. (Please specify): 其他如外匯交易 · 商品 · 交易所買賣 基金等(請說明): _____
(a) Do you have experience in dealing for the relevant product(s)? 閣下是否活躍地進行有關產品的交易？ Years of experience: 投資年期：	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 1年以下 <input type="checkbox"/> 1-5 years 1至5年 <input type="checkbox"/> 6-10 years 6至10年 <input type="checkbox"/> > 10 years 10年以上	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 1年以下 <input type="checkbox"/> 1-5 years 1至5年 <input type="checkbox"/> 6-10 years 6至10年 <input type="checkbox"/> > 10 years 10年以上	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 1年以下 <input type="checkbox"/> 1-5 years 1至5年 <input type="checkbox"/> 6-10 years 6至10年 <input type="checkbox"/> > 10 years 10年以上	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 1年以下 <input type="checkbox"/> 1-5 years 1至5年 <input type="checkbox"/> 6-10 years 6至10年 <input type="checkbox"/> > 10 years 10年以上	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 1年以下 <input type="checkbox"/> 1-5 years 1至5年 <input type="checkbox"/> 6-10 years 6至10年 <input type="checkbox"/> > 10 years 10年以上	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 1年以下 <input type="checkbox"/> 1-5 years 1至5年 <input type="checkbox"/> 6-10 years 6至10年 <input type="checkbox"/> > 10 years 10年以上	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 1年以下 <input type="checkbox"/> 1-5 years 1至5年 <input type="checkbox"/> 6-10 years 6至10年 <input type="checkbox"/> > 10 years 10年以上

<p>(b) Have you executed any transaction in the relevant product(s) during last two years? 您是否在過去兩年內執行了相關產品的任何交易？</p> <p>Number of transactions executed during last two years 過去兩年執行的交易數目</p> <p>Note: You will be considered as having prior experience in derivatives e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs etc. if you have executed five or more transactions in any derivative product (whether traded in exchange or not). 注：如閣下執行過5次或以上有關任何衍生產品例如：衍生權證、牛熊證、股票期權、期貨、商品、結構性產品及交易所買賣基金等（不論是否在交易所買賣）的交易，便會被視為對衍生工具有經驗。</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify 請註明 _____	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify 請註明 _____	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify 請註明 _____	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify 請註明 _____	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify 請註明 _____	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify 請註明 _____	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify 請註明 _____
<p>(c) In relation to question (b) aforesaid, in which market(s) you were trading? 就上述問題 (b) 而言，您曾經在那些市場進行交易？</p>	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other, please specify 其他，請註明 _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other, please specify 其他，請註明 _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other, please specify 其他，請註明 _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other, please specify 其他，請註明 _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other, please specify 其他，請註明 _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other, please specify 其他，請註明 _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other, please specify 其他，請註明 _____
<p>(d) Do you have knowledge and expertise in the relevant product(s) and market(s)? 閣下是否擁有對有關產品及市場的認識和專業知識？</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<p>(e) If your answer to question (d) is “yes”, how did you acquire the knowledge and expertise in the relevant product(s) and market(s)? 如第(d)條答案為「是」，請問閣下如何獲得有關產品的認識和專業知識？</p>	Equity Securities 股本證券 _____	Futures and Options 期貨及期權 _____	Warrants, CBBC and Stock Options 認股權證、牛熊證及股票期權 _____	Fixed income securities (e.g. bonds) 固定收益證券 (如債券) _____	Mutual funds/ Unit Trusts 互惠基金 / 單位信託 _____	Structured Products (Equity Linked Deposit/ Currency Linked Deposit, etc.) 結構性投資產品 (股票掛鈎存款 / 票據、貨幣掛鈎存款) _____	Others e.g. forex, commodities, ETF etc. (Please specify): 其他如外匯交易、商品、交易所買賣基金等(請說明): _____

<p>(i) do you have investment experience and history, and/or working experience which is directly relevant and related to the relevant product(s) and market(s) 閣下與有關產品及市場有直接的投資經驗及歷史；及 / 或金融業工作經驗？</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>
<p>(ii) do you have academic or professional qualification, and/or have you attended training course(s) which are related to the relevant product(s) and market(s)? 閣下是否具有相關產品或市場的學術或專業資格，和 / 或曾接受有關產品及市場的一般知識培訓或修讀相關課程？</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>

(f) If your answer to either or all parts in question (e) is “yes”, please provide the following information#. 如 閣下就(e)問題的部分或全部回答乃 “是”，請提供以下資料以便我們評估負責代表法團專業投資者作出投資決定的人士的投資背景資料。

<p>(i) Please describe how do you get your investment experience or your working experience on the relevant product(s) and market(s). 請陳述 閣下如何取得有關產品及市場的投資經驗或有關工作經驗。</p>	
<p>(ii) Please describe your working experience related to the relevant product(s) and market(s). 請描述您與有關產品和市場的工作經驗。</p>	
<p>(iii) Please describe your academic or professional qualification related to the relevant product(s) and market(s). 請描述您與有關產品和市場相關的學術或專業資格。</p>	
<p>(iv) Please describe where you get such training or studies course(s) which related to the relevant product(s) and market(s). 請陳述閣下從那處修讀有關課程？</p>	
<p>(v) Others 其他 (Please specify) 請注明</p>	

Ever-Long may request you to provide documents in respect of your investment’s experiences or your training background to assessment if you meet the Corporate Professional Investor assessment criteria. 長雄或會要求閣下提供有關閣下之投資經驗或知識培訓的相關文件，以便評估閣下是否符合法團專業投資者的評估條件。

C. Professional Investor Notice and Declaration 專業投資者須知及聲明

I. Professional Investor Notice 專業投資者須知

1. Interpretation 釋義

The following interpretations are extracted from the Securities and Futures (Professional Investor) Rules (Cap. 571D of the Laws of Hong Kong):

“associate”, in relation to an individual, means the spouse or any child of the individual.

“有聯繫者”·就任何個人而言·指該人的配偶或任何子女

“custodian” means-

- (a) a corporation the principal business of which is to act as a custodian of securities or other property for another person, whether on trust or by contract; or
- (b) any of the following persons-
 - (i) an authorized financial institution;
 - (ii) a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
 - (iii) a licensed corporation;
 - (iv) a person carrying on the business of the provisions of investment services and regulated under the law of any place outside Hong Kong.
whose business includes acting as a custodian of securities or other property for another person, whether on trust or by contract.

“保管人”指—

- (a) 主要業務是作為另一人的證券或其他財產的保管人(不論是以信託或合約形式保管)的法團；或
- (b) 業務包括作為另一人的證券或其他財產的保管人(不論是以信託或合約形式保管)的下列人士—
 - (i) 認可財務機構；
 - (ii) 並非認可財務機構但根據香港以外地方的法律受規管的銀行；
 - (iii) 持牌法團；
 - (iv) 經營提供投資服務的業務並根據香港以外地方的法律受規管的人；

“portfolio” means-

- (a) securities;
- (b) a certificate of deposit issued by-
 - (i) an authorized financial institution; or
 - (ii) a bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
- (c) in relation to an individual, corporation or partnership, money held by a custodian for the individual, corporation or partnership.

“投資組合”指由任何下列項目組成的投資組合—

- (a) 證券；
- (b) 由—
 - (i) 認可財務機構發行的存款證；或
 - (ii) 並非認可財務機構但根據香港以外地方的法律受規管的銀行發行的存款證；
- (c) 就任何個人、法團或合夥而言，由保管人替該人、法團或合夥持有的款項；

2. Statutory Exemption for Dealing with Professional Investor

(Applicable to Individual Professional Investor and Corporate Professional Investor)

When dealing with a Professional Investor, Ever-Long is not required to comply with the statutory regulations under section 103 (related to the issuance of advertisements), section 174 (related to the making of unsolicited calls) and section 175 (related to the communication of an offer in relation to securities) of the Securities and Futures Ordinance (the “Ordinance”). Under the Securities and Futures (Contract Notes, Statements of Account and Receipt) Rules, if a Professional Investor agrees in writing, Ever-Long is not required to provide a Professional Investor with contract notes, statements of accounts or receipts (as the case may be) in accordance with such rules.

與專業投資者交易時的法定豁免

(適用於個人專業投資者和法團專業投資者)

與專業投資者交易時，長雄無須遵守《證券及期貨條例》(該“條例”)第103條(關於發出廣告)、第174條(關於進行未獲邀約的造訪)及第175條(關於傳達證券要約)根據《證券及期貨(成交單據、戶口結單及收據)規則》。若專業投資者以書面同意，長雄將無須按照該規則向專業投資者提供成交單據、戶口結單或收據。

3. Exemption under Paragraph 15.4 of the Code 根據操守準則第15.4段的豁免

(Applicable to Corporate Professional Investor)

(適用於法團專業投資者)

When dealing with a Corporate Professional Investor that satisfying the assessment requirements under paragraph 15.3A of the Code as well as complying the procedures under paragraph 15.3B of the Code, Ever-Long is exempt from the provisions set out in paragraph 15.4 of the Code, and as such,

長雄在滿足操守準則第15.3B段規定的程序下，並與符合操守準則第15.3A段的評估要求的法團專業投資者交易時，長雄便可獲操守準則的第15.4段的豁免，因此

- (a) for recommendation or solicitation that Ever-Long may make
長雄作出建議或招攬行為時
- (i) Ever-Long does not need to obtain information about the client to establish its financial situation, investment experience and investment objectives;
長雄無須確立客戶的財務狀況、投資經驗及投資目標；
- (ii) Ever-Long does not need to ensure the suitability of a recommendation or solicitation given to the client;
長雄無須確保向客戶作出的建議或招攬行為是合適的；
- (iii) Ever-Long does not need to assess the client's knowledge on derivatives and characterize the client;
長雄無須評估客戶對衍生工具的認識，並對閣下作出分類；
- (b) Ever-Long does not need to enter into written agreement with the client and provide the relevant risk disclosure statements;
長雄無須與客戶訂立協議書及提供相關的風險披露聲明；
- (c) Ever-Long does not need to disclose transaction related information including but not limited to monetary and non-monetary benefits to the client;
長雄無須向客戶披露交易有關信息包括但不限於金錢或非金錢收益；
- (d) in relation to discretionary account, Ever-Long will ask for authorization in written form before effecting transactions for the client, however, Ever-Long does not need to explain the authority and confirm the authority on an annual basis.
就全權委託戶口而言，長雄會先取得客戶的書面授權才為客戶進行交易，但是，長雄無需解釋該授權及每年確認該項授權一次。

4. Exemption under Paragraph 15.5 of the Code 根據操守準則第 15.5 段的豁免
(Applicable to Individual Professional Investor and Corporate Professional Investor)
(適用於個人專業投資者和法團專業投資者)

When dealing with an Individual Professional Investor or a Corporate Professional Investor, if the procedures under paragraph 15.3B of the Code are complied with, Ever-Long is not required to provide the following:
在與個人專業投資者或法團專業投資者交易時，若能滿足操守準則第 15.3B 段規定的程序，長雄便無需為客戶提供以下的資料：

Information for the client

為客戶提供資料

- (i) information about Ever-Long and the identity and status of its employees and others acting on its behalf;
長雄的資料及其僱員或其他代表長雄行事的人士的身分和受僱狀況的資料；
- (ii) confirm promptly with the client about the essential features of a transaction(s) after effecting;
盡快向客戶確認已完成的交易；
- (iii) documentation on the Nasdaq-Amex Pilot Program.
為客戶提供於納斯達克 – 美國證券交易所試驗計劃的資料文件。

5. Right to Withdraw from being Treated as a Professional Investor 撤回被視為專業投資者的權利

An individual Corporate Investor / a Corporate Professional Investor has the right to withdraw from being treated as such, at any time and in respect of all investment products and/or markets or any part thereof, by giving a written notice to Ever-Long. Such notice of withdrawal will be effective on the sixth (6) business day upon its receipt by Ever-Long.

個人專業投資者和法團專業投資者有權在任何時候，就所有或任何部分投資產品及 / 或市場給予長雄書面通知以反對被視為專業投資者及要求撤回專業投資者的資格。該等撤回通知將於長雄收到後第六個營業日生效。

Client agrees that unless and until Ever-Long receives written notification of objection and withdrawal from the client, Ever-Long will be entitled to treat the client as a professional investor as described above with its attendant risks and consequences. Any request by the client to withdraw from being treated as a professional investor shall be without prejudice to and shall not affect the provision of any services rendered to the client on the basis that the client is a professional investor prior to such withdrawal taking effect.

客戶同意除非及直至長雄收到客戶有關的反對及撤回資格之書面通知，長雄有權將客戶視為專業投資者及客戶將承擔相關風險及後果。有關客戶撤回專業投資者資格的要求，在該撤回要求生效前，均不會妨礙及影響長雄向客戶提供的服務。

6. Annual Confirmation 每年確認

Ever-Long will carry out confirmation exercise annually or at any time as it thinks fit to ensure that the client continues to fulfil the requisite requirements of Professional Investor. On carrying out the confirmation exercise, Ever-Long will need to verify the relevant information with the client again.

根據操守準則規定，客戶如被分類為專業投資者的身份，長雄需每年或在其認為合適的任何時間向客戶核實其專業投資者資格，以確保客戶繼續滿足專業投資者的必要要求。在進行確認時，長雄將需要再次與客戶驗證相關信息。

7. Notification of Assessment Result 評估結果通知

Upon completion of this application form by the client and provision of all necessary documents, Ever-Long Capital will conduct assessment to confirm that whether the client can be qualified as either Individual Professional Investor or Corporate Professional Investor and that which provisions under the Code will be exempted. Ever-Long will notify the client in writing specifying its assessment result, the particular product(s) and market(s) the client is being treated as Professional Investor, the provisions under the Code to be exempted and the effective date of Professional Investor qualification. Accordingly, the Professional Investor status of a client can only be effective upon the issuance of a notification letter by Ever-Long.

待客戶完成本申請表並提供所有必要文件後，長雄將進行評估，以確認客戶是否符合成為個人專業投資者或公司專業投資者，及可獲豁免的操守準則的條款。長雄將以書面形式通知客戶有關評估結果、客戶被視為專業投資者的特定產品和市場，操守準則下的豁免條款和專業投資者身份的生效日期。因此，客戶的專業投資者身份只能在長雄發出通知函後才能生效。

II. Client Consent and Declaration 客戶同意及聲明

Subject to the assessment result to be notified by Ever-Long, and by signing this consent and declaration:

待評估結果經長雄通知，本同意書及聲明將作實：

1. I/We confirm that we have read and understood the Professional Investor Notice (refer to section C.I and II) and are fully aware of the relevant risks and consequences of being treated as Individual Professional Investor or Corporate Professional Investor (as the case may be). I/We also understand and acknowledge the right to withdraw from being so treated. As a result, I/we hereby apply to be treated as Professional Investor and consent to be treated as such, subject to the assessment by Ever-Long at its sole discretion. 本人/我們確認我們已閱讀並理解專業投資者通知（請參閱 CI 及 II 部分），並充分了解被看待為個人專業投資者或法團專業投資者（視情況而定）的相關風險和後果。本人/我們亦明白及確認擁有退出被看待為個人專業投資者或法團專業投資者的權利。因此，本人/我們謹此申請並同意被視作專業投資者，並由長雄全權決定有關評估結果。

2. I/We declare that the information provided in Sections (A) and (B), where applicable, are true and complete and that I/we agree to provide the relevant supporting documents or such other additional documents required by Ever-Long for its verification and assessment. 本人/我們聲明確認有關第（A）至（B）部分(如適用)的資料是真實及完整，及同意在長雄要求下提供相關證明文件以供長雄核實本人/我們的專業投資者身份。

3. I/We acknowledge and agree that if there is any change of status or circumstance which may render any declaration or information indicated above untrue or incomplete, I/we will inform Ever-Long immediately and will update such information, complete such form(s) and provide such document(s) as Ever-Long deems necessary.

本人/我們同意在任何變更影響或導致以上聲明或資料有變時，本人/我們會實時通知長雄並更新本人/我們的資料及在長雄要求下提供相關證明文件。

- We acknowledge that the terms and conditions for Securities Trading /Margin Financing (“Terms and Conditions”) have been made available to us on Ever-Long website at <http://www.everlong.com>. We confirm that we have read and fully understood this application, the Terms and Conditions together with the Appendix (if any) in relation to the services provided by Ever-Long. This application, the Terms and Conditions and the Appendix (if any) are collectively referred to as the “Agreement”.

本人/我們確認證券交易/保證金貸款之條件已載列於長雄有限公司的網址 <http://www.everlong.com> 供本人/我們參閱。本人/我們確定已經閱讀本表格，證券交易/保證金貸款之條款和條件連同與長雄有限公司提供的服務有關的附錄（如適用），並完全明白其中內容。本表格連同證券交易/保證金貸款之條款及附錄（如適用）合稱“協議”。

- We agree and acknowledge that if we carry on or continue to carry on business with Ever-Long, we will be deemed to accept and abide by the Terms and Conditions set out in the Agreement regardless of whether Ever-Long has received from us an executed copy of this application, and that the Agreement shall constitute a legally binding contract between Ever-Long and us with effect from the date upon which we first transact any business with Ever-Long. Our standing dealing and settlement instructions will be issued to Ever-Long separately for its further action accordingly. In the event of discrepancy between the English version and Chinese version of the Agreement, the English version shall prevail.

本人/我們同意並承諾如本人/我們與長雄經營業務或繼續與其經營，本人/我們被視為接受並同意遵守協議所載的條款和條件，不論長雄有否收到本人/我們的一份本表格的簽署文本，而自本人/我們首次與長雄進行任何業務之日起，協議應構成長雄與本人/我們之間法律約束力的合約。本人/我們會另外簽發常設交易和交收指示給長雄以便日後的業務處理。如本協議（包括其注解）的中、英文版本有任何分歧，概以英文版本為準。

I/We object to the use of my/our personal data for direct marketing as specified in the Client Agreement and Schedules with Ever-Long (on Ever-Long website at www.everlong.com) relating to the Personal Data (Privacy) Ordinance and /or transfer of my/our personal data to Ever-Long and their group companies for direct marketing. 本人/我們反對本人/我們的個人資料被用作貴公司個人資料(私隱)條例之通告中所指的服務或產品的直接促銷，及/或轉移至長雄，及/或它們的任何集團公司用作相關直接促銷。

(*If you do not tick the box but sign on this Application to signify your acceptance of the Circular relating to the Personal Data (Privacy) Ordinance, you will be regarded as having indicated that you have no objection (i.e consent) to the use or transfer to Ever-Long and their group companies of your personal data for direct marketing as stated in the Circular. You may still opt-out from receiving any marketing information or materials at any time should you wish to withdraw your consent.)

(*如客戶未有在空格上加 [✓]，但在客戶資料表(專業投資者 – 機構)上簽署表示接納有關個人資料(私隱)條例之通告，將表示客戶不反對(即同意)客戶的個人資料可被用作相關直接促銷，或轉移至長雄，及/或它們的任何集團公司用作相關直接促銷，然而客戶可隨時撤銷該同意，以停止接收任何推廣資料或物品。)

D. Signature and Acknowledgement 簽署及確認

I/ We, confirm that I/ we have fully and accurately completed this Application. I/ We agree that, subject to the assessment by Ever-Long, I/we am/are willing to be treated as Individual Professional Investor or Corporate Professional Investor (as the case may be) in connection with the operation of the Account(s).

本人 / 吾等確認所填寫的資料均屬完整及正確，並同意若通過長雄評估，本人 / 吾等關於本賬戶之操作會被視為個人或法團專業投資者。

Accordingly 因此:

- I/we do not require contract notes
本人 / 我們不需要合同票據
- I/we do not require statements of my/ our account
本人 / 我們不需要戶口結單
- I/we do not require receipts
本人 / 我們不需收據

Client Signature (with Company Chop, if applicable)
客戶簽署 (公司蓋章)

Witness 見證人
(Ever-Long's representative / 長雄的註冊代表)

Client Account Name 客戶名稱

CE No 中央編號

Date (dd/mm/yy) 日期 (日 / 月 / 年)

Date (dd/mm/yy) 日期 (日 / 月 / 年)

Evaluation Result 評估結果

Following evaluation and review of documentary proof, the client's application is:

- Rejected
- Approved and be treated as an Individual Professional Investor
- Approved and be treated as a Corporate Professional Investor exempt for paragraph 15.5 of the Code
- Approved and be treated as a Corporate Professional Investor exempt for paragraphs 15.4 and 15.5 of the Code in respect of the product(s) and market(s) specified below:

Product(s) 產品 : _____

Market(s) 市場 : _____

Remarks (please specify rationale of approval / rejection):

A/C Number: _____

Date of the assessment result notification to client: _____

Date of classified as "professional investor": _____

Document Checked by	Signature Verified by	Approved by
Name: Date:	Name: Date:	Name: Date:

Appendix I 附件 I

(Applicable to Corporate Professional Investor – which dis-apply the provisions under paragraphs 15.4 and 15.5 of the Code)

(適用於法團專業投資者 – 不適用操守準則第 15.4 及 15.5 段下的條文)

Client Information Form 客戶資料表

Account Name

客戶名稱

Account Number

帳戶號碼

Account Type 帳戶類別*

Cash Account 現金帳戶

Cash On-line Trading Account 現金網上交易帳戶

Margin Account 保證金帳戶

Please complete in BLOCK LETTERS 請用正楷填寫

I. Particulars of Client 客戶資料

Client Name (English)

客戶名稱 (英文)

Client Name (Chinese, if applicable)

客戶名稱 (中文·如適用)

Trading Name (if different from above)

經營名稱 (如與上述不同)

Registered Address and Country of Residence

註冊地址及國家

Principal Office or Place of Business and Country of Residence (if different from above)

主要辦事處或商業地址及國家 (如與上述不同)

Place of Incorporation

註冊地點

Date of Incorporation

註冊日期

Certificate of Incorporation No.

公司註冊證號碼

Business Registration Certificate

No.
商業登記證號碼

Telephone No. 電話號碼

Fax No. 傳真號碼

E-mail Address 電郵地址

All postal communication including statements of account to be sent to the following address 所有郵寄品包括結算單送往以下地址[^]

Registered Address 註冊地址

Principal Office or Place of Business 主要辦事處或商業地址

II. Declaration in relation to U.S. Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) 有關美國《海外帳戶稅收合規法案》及共同匯報標準的聲明

You are a foreign (non-United States) person acting as an intermediary, please provide Form W-8IMY

閣下是外國(非美國)擔任中介機構角色者·請提供 W-8IMY 表格

Please provide CRS Tax Residency Self Certification Form (Individual, Entity and Controlling person)

請提供共同匯報標準稅務居民自我證明表格 (個人、實體及控權人)

III. Directorship 董事

Particulars of Directors of the Company 公司董事詳情

*if necessary, please state in a separate sheet 如有需要·請陳述在獨立頁表上

Name 姓名	(a)	(b)	(c)	(d)
ID Card/ Passport No. 身份證 / 護照號碼				
Residential Address and Country of Residence 住址及國家				

* Please check one only 請選擇其一

[^] Only one type of postal address is allowed for all cases (if chosen) 於所有情況下·祇准許一種郵遞地址類別 (如選擇後)

IV. General Information 一般資料**1. Authorized Person 授權人士**

The Client hereby appoints the following person(s) as the authorized person(s) to operate Account. The signature(s) appearing below shall be recorded as specimen signature(s) for the purpose of the Account and all matters relating to it.

客戶謹此委任以下人士操作帳戶的獲授權人，為帳戶及其他相關事項，以下簽署會被記錄為簽署樣式。

(A) Any one of the following person(s) is authorized to give trading instructions on behalf of the Client.

以下任何一位人士獲授權代表客戶發出交易指示。

Name 姓名	ID Card/ Passport No. 身份證 / 護照號碼	Title 職位	Telephone No. 電話號碼	Specimen Signature 簽署式樣
(a)				
(b)				
(c)				
(d)				

(B) Any _____ of the following person(s) is/are authorized to sign singly /jointly^β to give other instructions (e.g. fund/ securities withdrawal) on behalf of the Client.

以下任何 _____ 位人士獲授權可代表客戶單獨 / 聯名^β 簽署發出其他指示(如提取資金 / 股票)。

Name 姓名	ID Card/ Passport No. 身份證 / 護照號碼	Title 職位	Telephone No. 電話號碼	Specimen Signature 簽署式樣
(a)				
(b)				
(c)				
(d)				

(C) If there is any other authorization arrangement, please specify 如有其他授權的安排，請註明

(D) Specimen of Company Chop/Seal 公司圖章 / 印章式樣

V. Bank Information 銀行資料

Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account
除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶

Bank Name 銀行名稱	Bank Account No 銀行帳戶號碼
Bank Account Holder's Name (name shown on bank statements and this Form should match) 帳戶持有人名稱 (須與客戶的銀行結單及此表格上的名稱相符)	

VI. Financial Information and Investment Objective and Experience 財務資料及投資目標及經驗**1. Share Capital 股本**

Authorized Capital 註冊資本	shares of par value USD/HKD/other currency (please specify____) 股份·面值為美元/港元/其他貨幣(請註明____)	each share 元之股份
Issued Capital 已發行股本	shares of par value USD/HKD/other currency (please specify____) 股份·面值為美元/港元/其他貨幣(請註明____)	each share 元之股份
2. Source of funding (✓one or more) 資金來源 (可✓超過一項)	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Dividend / Interest 股息/利息 <input type="checkbox"/> Others (please specify) 其他 (請註明) _____	
3. Origin of funding (✓one or more) 資金來源地(可✓超過一項)	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Macau 澳門 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Others (please specify) 其他 (請註明) _____	

^β Please check one only 請選擇其一

Appendix II 附件 II

Investment Fund Subscription 認購投資基金

Please complete all questions in this form in block capitals. If any question is not applicable, please write "N/A" OR cross out that question.
請用正楷填寫所有問題。如該項目不適用，請填寫"N/A" 或 把不適用項目刪除。

I. Subscriber's Details 認購人資料

Unit/Shareholder Account No. 單位 / 股份持有人賬戶號碼		First Subscription 首次認購				Yes 是 / No 否
Name of Unit/ Shareholder 單位 / 股份 持有人名稱	Company 公司					
	Individual 個人	1. Name 姓名	ID/Passport No. 身份證 / 護照號碼	2. Name 姓名	ID/Passport No. 身份證 / 護照號碼	
		3. Name 姓名	ID/Passport No. 身份證 / 護照號碼	4. Name 姓名	ID/Passport No. 身份證 / 護照號碼	
Tel. No. (including the country & area codes, if any) 電話號碼 (包括國家代碼及地區編號, 如有)		()	Fax No. (incl country & area codes, if any) 傳真號碼 (包括國家代碼及地區編號, 如有)		()	
E-mail Address 電郵地址						

II. Subscription Details 認購資料

Name of Fund(s) 基金名稱	Class 類別	Relative Risk Type 相對風險類別			Currency 貨幣	Subscription Amount 認購金額	Standing Instruction for Dividend or Distribution Payments 股息或分派的 常行指示	Initial Charge 首次收費 (%)
		Low 低	Medium 中	High 高				
						<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		
						<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		
						<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		
						<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		

Note 註:

1. Relative Risk Type 相對風險類別 1 = Low 低 2 = Medium 中 3 = High 高
2. The minimum amount of each subscription should fulfill the minimum requirement of the relevant fund which mentioned in the Offering Document (exclusive of any initial charge).
每次認購的金額須符合有關基金銷售文件內列明的最低認購金額 (不包括首次收費)。

III. Payment Instruction 付款指示

I/We confirm that payment of the above subscription amount has been made by

本人 / 我們確認有關認購款項以下列方法支付

<input type="checkbox"/> Telegraphic Transfer 電匯	Payment Date 付款日期		Payment Amount 付款金額	
➤ and enclosed a copy of Telegraphic Transfer instruction. 並附上電匯指示副本。				
<input type="checkbox"/> Cheque 支票	Cheque No. 支票號碼		Payment Amount 付款金額	
➤ No cash or third party cheque payment will be accepted. We reserve the right not to process your instruction until receipt of the payment in cleared funds by us. 現金或第三者支票並不接受。在收到以已結算資金支付的款項之前，長雄有權不處理閣下之指示。				
➤ For Bank draft, please instruct the bank to certify that the draft is issued upon the account holder's request at the back of the draft and submit source of payment. 倘屬本票，請通知銀行背書以核實發票人與單位 / 股份持有人名稱相符及提交款項來源的證明文件。				

IV. Standing Instruction of Redemption Payment 贖回款項的常行指示 (applicable to Corporate PI)

<input type="checkbox"/> Please arrange to credit proceeds to the following account 請安排款項存到以下賬戶	Currency 貨幣	HKD/Other (please specify) 港元 / 其他 (請註明)	
Name of Correspondent Bank 代理銀行名稱		BIC/SWIFT Code of Correspondent Bank 代理銀行 BIC/SWIFT 代號	
Address of Correspondent Bank 代理銀行地址		Country 國家	
Name of Beneficiary Bank 收款銀行名稱		BIC/SWIFT Code of Beneficiary Bank 收款銀行 BIC/SWIFT 代號	
Address of Beneficiary Bank 收款銀行地址		Country 國家	
Name of Bank Account Holder 銀行賬戶持有人名稱		Number of Bank Account Holder 銀行賬戶持有人號碼	
<input type="checkbox"/> Please issue a cheque payable to me / us and mail to my / our registered / permanent address. 請開出應支付本人 / 我們的支票並郵寄至本人 / 我們的註冊 / 永久地址	Currency 貨幣	HKD/Other (please specify) 港元 / 其他 (請註明)	

V. Standing Instruction For Dividends or Distributions Payment (Each Holder A/C can only have one standing instruction) 股息或分派的常行指示 (各賬戶只能有一個常行指示)

All future dividends or distributions will be automatically reinvested into the relevant class of Shares of the Funds

將來所有股息或分派將自動再投資於本基金有關類別的單位 / 股份

<input type="checkbox"/> Please arrange to credit dividends or distributions (same as the Fund's currency) to the following account: 請將 (與基金貨幣相同的) 股息或分派存入以下賬戶:			
Name of Correspondent Bank 代理銀行名稱		BIC/SWIFT Code of Correspondent Bank 代理銀行 BIC/SWIFT 代號	
Address of Correspondent Bank 代理銀行地址		Country 國家	

Name of Beneficiary Bank 收款銀行名稱		BIC/SWIFT Code of Beneficiary Bank 收款銀行 BIC/SWIFT 代號	
Address of Beneficiary Bank 收款銀行地址		Country 國家	
Name of Bank Account Holder 銀行賬戶持有人名稱		Number of Bank Account Holder 銀行賬戶持有人號碼	
<input type="checkbox"/> Please issue a cheque payable to me / us and mail to my/ our registered/ permanent address. 請開出應支付本人 / 我們的支票並郵寄至本人 / 我們的註冊 / 永久地址		Currency 貨幣	HKD/Other (please specify) 港元 / 其他 (請註明)

VI. Client Investment Profile 風險取向評估

Age 年齡	Which age group do you belong to? 閣下的年齡屬於以下哪個組別? <input type="checkbox"/> Between 18 and 44 <input type="checkbox"/> Between 45 and 64 <input type="checkbox"/> 65 or Above 18 至 44 歲 45 至 64 歲 65 歲或以上	Score 分數																																			
Education Level 教育程度	What is your education level? 閣下的教育程度如何? <input type="checkbox"/> Tertiary education or equivalent professional qualification, in finance related disciplines 金融相關學科的專上教育或相關專業資格 <input type="checkbox"/> Tertiary education or equivalent professional qualification, in non-finance related disciplines 非金融相關學科的專上教育或相關專業資格 <input type="checkbox"/> Secondary Education or equivalent qualification 中學教育或相關專業資格 <input type="checkbox"/> None of the above 以上皆不是	Score 分數																																			
Investment Experience (Can Choose more one) 投資經驗 (可選多於一項)	How many years of experience do you have with each of the following categories of investment product? 就以下的投資產品，閣下具有多少年投資經驗? <table border="1" data-bbox="308 533 1385 770"> <thead> <tr> <th></th> <th>Nil 沒有經驗</th> <th>Less than 1 year 1 年或以下</th> <th>1 to 5 years 1 至 5 年</th> <th>More than 5 years 5 年以上</th> </tr> </thead> <tbody> <tr> <td>Stocks/Bond 股票 / 債券</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Derivative Warrants/CBBC 衍生權證 / 牛熊證</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Futures/Options 期貨 / 期權</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Exchange Traded Funds 交易所買賣基金</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Structured Product 結構性產品</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Other Complex Products 其他複雜產品</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </tbody> </table>		Nil 沒有經驗	Less than 1 year 1 年或以下	1 to 5 years 1 至 5 年	More than 5 years 5 年以上	Stocks/Bond 股票 / 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Derivative Warrants/CBBC 衍生權證 / 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Futures/Options 期貨 / 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exchange Traded Funds 交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Structured Product 結構性產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Other Complex Products 其他複雜產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Score 分數
	Nil 沒有經驗	Less than 1 year 1 年或以下	1 to 5 years 1 至 5 年	More than 5 years 5 年以上																																	
Stocks/Bond 股票 / 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																	
Derivative Warrants/CBBC 衍生權證 / 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																	
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Structured Product 結構性產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																	
Other Complex Products 其他複雜產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																	
Derivatives Knowledge (Can Choose more one) 衍生工具知識 (可選多於一項)	Have you acquired the general derivatives knowledge to understand the nature and risks of derivative products? 閣下有否獲取衍生工具的一般認識，以了解其性質及風險? <input type="checkbox"/> Yes, by having completed training on derivatives products, including attending course/seminar, reading information from reputable sources, reading relevant information in the Investor Education Centre's or others sources 有；透過參加有關衍生工具的課程，包括參加課程 / 研討會、閱讀有關結構性或衍生產品的資料、於投資者教育中心網站閱讀資訊或其他 <input type="checkbox"/> Yes, by having accumulated work experience relating to derivatives products 有；透過從事有關衍生工具的工作累積經驗 <input type="checkbox"/> Yes, by executing 5 or more transactions in any derivative product within the past 3 years 有；透過過往 3 年內曾進行 5 宗或以上衍生工具交易 <input type="checkbox"/> No 完全沒有	Score 分數																																			
Financial Situation 財務狀況	Are you relying on investment income or disposal of investment assets to cover your living expenses? 閣下現在是否依靠投資收入或依靠出售投資資產以維持生活的開支? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是																																				
	What is the amount of net liquid assets that investor will set aside for investing in investment product during its investment period? 投資者預留多少淨流動資產用在投資? <input type="checkbox"/> Less than 10% <input type="checkbox"/> 10% or above and less than 30% <input type="checkbox"/> 30% or above and less than 50% <input type="checkbox"/> Over than 50% 少於 10% 10%或以上及少於 30% 30%或以上及少於 50% 50%或以上	Score 分數																																			
Investment Objective(s) 投資目標	Which of the following statement could best describe your attitude towards investment objective? 以下那一句最能反映閣下對投資目標的態度? <input type="checkbox"/> Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報 <input type="checkbox"/> Stable, balanced income and capital growth 穩定、平衡收入與資本增長 <input type="checkbox"/> Gradual long-term capital growth 資本長期地逐漸增長 <input type="checkbox"/> Maximize capital growth as soon as possible 以最短時間，爭取最高回報	Score 分數																																			
Risk Tolerance 風險承受	Which of the following statement could best describe your attitude towards investment risk? 以下那一句最能反映閣下對風險承受的態度? <input type="checkbox"/> I want capital protection but I am willing to take low risk in order to obtain a return slightly better than bank deposits. 我希望保本，但願意接受低度風險從而實現稍高於銀行存款的回報 <input type="checkbox"/> I am willing to accept medium risk in order to obtain a return greater than inflation 我願意承擔中度風險，以便實現高於通貨膨脹的回報。 <input type="checkbox"/> I am willing to take higher risk in order to obtain a higher return 我願意承擔較高風險，以便實現較高的潛在回報。 <input type="checkbox"/> I am willing to take the highest risk in order to maximize the return. 我願意承擔最大風險，以便將回報提至最高。	Score 分數																																			
Investment Horizon 投資年期	What is the longest holding period acceptable to you for an investment product or portfolio? 閣下就投資產品或組合可接受的最長持有年期為多少? <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> Between 1 year and 5 year(s) 1 年至 5 年 <input type="checkbox"/> Between 6 year and 10 year(s) 6 年至 10 年 <input type="checkbox"/> More than 10 years 超過 10 年	Score 分數																																			

Risk Tolerance Level Analysis 風險承受程度分析	Based on the Assessment of Risk Tolerance Level, which is calculated based on the points in your scored for each answer in Part IX of Assessment on Risk Profile, we recommend a corresponding investment strategy stated in the table below. 根據閣下的風險承受能力水平，長雄建議投資者採用下表所述的相應投資策略，其中風險承受能力水平是根據投資者在 IX 部分每項回答得分計算得出。			
	Question 問題	Answer 答案	Risk Score 風險得分	
	Age 年齡	Between 18 and 44 18 至 44 歲	5	
		Between 45 and 64 45 至 64 歲	3	
		65 or Above 65 歲以上	1	
	Education Level 教育程度	Tertiary education or equivalent professional qualification, in finance related disciplines 金融相關學科的專上教育或相關專業資格	5	
		Tertiary education or equivalent professional qualification, in non-finance related disciplines 非金融相關學科的專上教育或相關專業資格	3	
		Secondary Education or equivalent qualification 中學教育或相關專業資格	1	
		None of the above 以上皆不是	0	
	Investment Experience (Calculated by Single Investment Product) 投資經驗 (每項投資產品計算)	More than 5 years 5 年以上	5	
		1 to 5 years 1 至 5 年	3	
		Less than 1 year 1 年或以下	1	
	Derivatives Knowledge (Calculated by Each Item) 衍生工具知識 (每項計算)	By having completed training on derivatives products, including attending course/seminar, reading information from reputable sources, reading relevant information in the Investor Education Centre's or others sources 透過參加有關衍生工具的課程，包括參加課程/研討會、閱讀有關結構性或衍生產品的資料、於投資者教育中心網站閱讀資訊或其他	3	
		By having accumulated work experience relating to derivatives products 透過從事有關衍生工具的工作累積經驗	3	
		By executing 5 or more transaction in any derivative product within the past 3 years 透過過往 3 年內曾進行 5 宗或以上衍生工具交易	3	
	Financial Situation 財務狀況	Not relying on investment income or disposal of investment assets to cover your living expenses 不是依靠投資收入或依靠出售投資資產以維持生活的開支	3	
		Over than 50% 50%或以上	4	
		30% or above and less than 50% 30%或以上及少於 50%	3	
		10% or above and less than 30% 10%或以上及少於 30%	2	
	Investment Objective(s) 投資目標	Less than 10% 少於 10%	1	
Maximize capital growth as soon as possible 以最短時間，爭取最高回報		4		
Gradual long-term capital growth 資本長期地逐漸增長		3		
Stable, balanced income and capital growth 穩定、平衡收入與資本增長		2		
Risk Tolerance 風險承受	Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報	1		
	Willing to take the highest risk in order to maximize the return 願意承擔最大風險，以便將回報提至最高	4		
	Willing to take higher risk in order to obtain a higher return 願意承擔較高風險，以便實現較高的潛在回報	3		
	Willing to accept medium risk in order to obtain a return greater than inflation 願意承擔中度風險，以便實現高於通貨膨脹的回報	2		
Investment Horizon 投資年期	Want capital protection but I am willing to take low risk in order to obtain a return slightly better than bank deposits 希望保本，但願意接受低度風險從而實現稍高於銀行存款的回報	1		
	Less than 1 year 少於 1 年	4		
	Between 1 year and 5 year(s) 1 年至 5 年	3		
	Between 6 year and 10 year(s) 6 年至 10 年	2		
Client Risk Tolerance Level 客戶風險承受程度	More than 10 years 超過 10 年	1		
	Total Score 總得分	< 22	23 – 45	> 46
	Risk Tolerance 風險承受	Low 低	Medium 中	High 高
	Client Risk Profile 客戶風險類型	Conservative 保守	Moderate 平穩	Aggressive 進取
Investment Assessment 投資評估	Conservative 保守	The conservative investor is looking to preserve the value of investment against the erosion of inflation and are therefore prepared to consider a combination of low risk alternatives to deposits to help generate a steady return over the long-term. Investor understands that there may be periods when the value of investment could fall, but these are expected to be of limited impact because of the diversified investment strategy adopted. 保守型投資者會選擇保障投資價值，以對抗通脹蠶食，因此願意考慮存款以外低風險選擇，以取得長期穩定的回報。投資者明白投資價值在某些時間內可能下跌，但因採取分散投資策略，跌幅只會產生有限度影響。		
	Moderate 平穩	The moderate investor is looking to grow the value of investor over a longer term and generate an absolute return ahead of inflation. Investor is prepared to invest across a diversified portfolio of assets to achieve this goal and understand that there may be periods when the value of investor's capital can fall. 平穩型投資者會選擇以投資價值長期增長並產生超過通脹的絕對回報為目標。投資者願意投資於多元化的資產組合以達到此目標，並且明白投資者的資本價值在某些時間內可能會下跌。		
	Aggressive 進取	The aggressive investor is looking to maximise the value of investment over the long term by selecting a concentrated/speculative portfolio and are comfortable with a high risk and reward strategy this approach involves. Investor understands that investment may likely record strong gains as significant falls in future. 進取型投資者會選擇以達致投資價值長期有最高增長為目標，投資者可能會選取十分集中/甚至含投機性資產的組合，並且願意承受此策略所帶來的高風險及回報。投資者明白投資價值將來在某些時間內會錄得強勁的收益，亦會錄得大幅下跌的虧損。		

Investment Assessment 投資評估	<p>According to your answers have selected, your score is _____ and your risk tolerance level (the risk profile accordingly) is 根據閣下所提供的答案，閣下的分數為 _____，而投資者的客戶風險承受程度(相應的風險取向)：</p> <p> <input type="checkbox"/> Low (Conservative) 低 (保守) <input type="checkbox"/> Medium (Moderate) 中 (平穩) <input type="checkbox"/> High (Aggressive) 高 (進取) </p>
	<p>If you disagree with the above assessment, please indicate the tolerance level that you believe are more accurate and specify the reason(s) 如閣下不同意以上結果，請指出閣下認為更準確可承受風險程度及並詳述原因</p> <p> <input type="checkbox"/> Low (Conservative) 低 (保守) <input type="checkbox"/> Medium (Moderate) 中 (平穩) <input type="checkbox"/> High (Aggressive) 高 (進取) </p>
	<p>Reason(s) (can choose more than one) 原因 (可選多於一項)</p> <p> <input type="checkbox"/> The above assessment did not reflect my actual risk tolerance. 上述評估未能反映本人實際風險承受能力的實況 <input type="checkbox"/> The above assessment did not take other aspects to my risk tolerance, including 上述評估未有考慮本人其他方面的風險承受能力，包括 _____ _____ _____ <input type="checkbox"/> Others 其他 _____ _____ _____ </p>

Client Acknowledgement and Declaration 客戶確認及聲明

- The Assessment on Risk Profile serves as a discussion basis between you and Ever-Long on setting the investment and selecting investment product(s) appropriate for you. It is considered as a reference when you make an investment decision. It is recommended that you fully understand the risks associated with individual investments before making any investment decisions. You should not purchase an investment product unless you understand it. The final decision is yours.
 此風險取向評估只作為閣下和長雄在商討制訂投資及選擇適合您的產品時之討論根據，並只供閣下作投資決定時參考之用。作出任何投資決定前，請完全明白個別投資所面對的風險。除非閣下了解有關的投資產品，否則閣下不應購買有關的投資產品。閣下應作最後決定。
- The information relating to you provided pursuant to this questionnaire is complete, accurate and up-to-date information in addition the Ever-Long is entitled to rely on such information until the Ever-Long has received notice in writing from you of any changes therein. You will notify the Ever-Long immediately in writing of any material changes in such information. You have the authority and legal capacity to enter into and perform its obligations under this questionnaire and this questionnaire constitutes the valid and legally binding obligations of you.
 閣下根據本問卷提供的資料是供完整、準確及最新的，及長雄有權依賴該等資料直至收到有關資料更改的書面通知為止。如該等資料有變更，閣下請立即以書面通知長雄。閣下具有權力和法律行為能力簽署及履行本問卷的責任，及本問卷對閣下構成有效及具有法律約束力的責任。
- Personal information collected in this questionnaire will be kept confidential by Ever-Long. The information may be used by Ever-Long for designing and/or marketing of financial products and service.
 長雄確保此問卷內的個人資料得到保密。閣下提供的資料可能會供長雄作為設計、推廣理財產品或服務之用。
- You confirm that you have been reminded and am aware that you should have adequate liquid funds to meet foreseen and unforeseen events.
 閣下確認已被提醒及了解到應有足夠流動資金去應付可預見及不能預見的事件。

VII. Declaration / Notes and Signatures 聲明 / 附註及簽署

1. I/We confirm that the information and instruction provided on this form are accurate, true and complete.
本人 / 我們確認此表格中所提供的資料及指示為準確、真實及完整。
2. I/We confirm that I am/we are 18 years of age.
本人 / 我們確認本人 / 我們已年滿 18 歲。
3. I am/we are the beneficiary owner(s) of this account and will provide the necessary documents of identification for this account.
本人 / 我們為本戶口之實益擁有人，並將會提供本戶口所需之身份證明文件。
4. I/we have received, read, understood and agree to be bound by the Offering Document relating to the Funds managed by Ever-Long ("Manager") and the Declaration / Notes/ Appendices (including the Personal Information Collection Statement as may be amended from time to time).
本人 / 我們已收到、閱讀、理解及同意接受有關由長雄管理的相關基金的銷售文件及聲明 / 附註 / 附件 (包括經不時修訂的個人資料收集聲明) 的約束。
5. By signing herein, I/we consent that my/our personal data may be used, disclosed and transferred for the purposes and to the persons specified in the Personal Information Collection Statement (subject to my/our preference relating to the use of data for direct marketing purposes as indicated below). In particular, I/we consent that my/our personal data may be disclosed to persons (including any tax authority) within or outside Hong Kong:
 - (i) for various local or foreign legal or regulatory compliance and/or tax reporting purposes, including but not limited to FATCA and CRS and/or
 - (ii) for prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, terrorist financing and any other violation of laws or unlawful activities.藉簽署本表格表示 (在不抵觸本人 / 我們於下述有關使用資料作直接促銷目的的選擇的情況下)：本人 / 我們同意本人 / 我們的個人資料可能就個人資料收集聲明內列明的目的使用、披露及轉移予個人資料收集聲明內所列明的人士。尤其：本人 / 我們同意本人 / 我們的個人資料可披露予香港境內或境外的人士 (包括任何稅務機關)：
 - (i) 以遵從各地方或海外法律或法規及 / 或稅務申報目的，包括但不限於 FATCA 及 CRS；及 / 或
 - (ii) 以防止、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、恐怖分子融資及任何其他違法或不合法的活動。
6. By checking ("✓") the appropriate box below, I/we wish
 - to receive news, offers, promotions or marketing offers from the Company.
 - to receive news, offers, promotions or marketing offers from the co-branding or business partners of the Company於下列表格填上「✓」號表示本人 / 我們希望
 - 收取來自基金經理的新聞、優惠、促銷或市場推廣函件。
 - 收取來自基金經理之品牌或業務合作夥伴的新聞、優惠、促銷或市場推廣函件。
7. I/We acknowledge and agree that:
本人 / 我們同意：
 - a. information supplied in this Application and otherwise in connection with my/our subscription may be held by the Distributor, the Manager, the Administrator, the Administrator's Delegate and/or their delegates or affiliates and will be used for the purposes of processing my/our subscription and completion of information on the register of applicant, and may also be used for the purpose of carrying out my/our instructions or responding to any enquiry purporting to be given by me/us or on my/our behalf, dealing in any other matters relating to my/our holding (including the mailing of reports or notices), forming part of the records of the recipient as to the business carried on by it, observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure or notification requirements to which any recipient of the data is subject). All such information may be retained after the termination of the Fund or the redemption of my/our investment holding. Provision of any personal data is voluntary. However, failure to supply the relevant information (including personal data) may result in the Distributor, the Manager, the Administrator, the Administrator's Delegate and/or their delegates or affiliates being unable to accept and/or process my/our Application or to provide the related services in connection with my/our Application and/or to me/us as investor(s) of the Fund or to comply with any laws, regulations or guidelines issued by regulatory or other authorities; and
本開戶表格所載資料及就本次認購另行提供的資料可由分銷商、基金經理、行政管理人、行政管理人的委託人及 / 或其委託人或聯繫公司持有，並將用作處理本認購申請及在申請人登記冊上填報有關資料，也可用作執行交易指示或回應聲稱由其或其代表發出的任何查詢、處理與持有有關的任何其他事宜 (包括郵寄報告或通知)、構成收取方的業務紀錄的一部分、遵守任何相關司法管轄區的任何法律、政府或監管規定 (包括有關資料的任何收取方受制的任何披露或通知規定)。所有該等資料在基金終止或贖回持倉後仍可保留。提供任何個人資料純屬自願。然而，未能提供有關資料 (包括個人資料) 可能導致分銷商、基金經理、行政管理人、行政管理人的委託人及 / 或其委託人或聯繫公司未能接受及 / 或處理本人 / 我們的申請或就本人 / 我們的申請提供有關服務及 / 或作為基金投資者或遵守監管或其他機構頒佈的任何法例、規例或指引；及
 - b. the Distributor, the Manager, the Administrator, the Administrator's Delegate and/or their delegates or affiliates may, subject to the requirements of applicable laws and regulations, disclose and transfer my/our information to the Fund, the Custodian, the Prime Broker (if any), the Auditors and the Investment Adviser including any of their employees, officers, directors and agents and/or their affiliates within or outside Hong Kong or to any third party within or outside Hong Kong employed to provide administrative, computer or other services or facilities to any person to whom data is provided or transferred as aforesaid and/or to any regulatory authority entitled thereto by law or regulation in connection with my/our investment in the Fund, which may be outside Hong Kong. All individuals whose personal data have been provided herein or otherwise in connection with the subscription of the Fund shall have the right of access to, and to correct and update, all their records (whether held on computer files or manually) held by the Distributor, the Manager, the Administrator, the Administrator's Delegate and/or their delegates or affiliates. A copy of such record will be provided to such individual who requests it, upon the payment of a modest administration charge to cover the costs of complying with such requests. Requests should be made in writing to the Data Protection Officer at the address set out in paragraph 19 below.
分銷商、基金經理、行政管理人、行政管理人的委託人及 / 或其委託人或聯繫公司可在適用法例及規例的規限下，向基金、託管商、主要經紀 (如有)、核數師和投資顧問 (包括彼等在香港境內或境外的任何僱員、高級職員、董事和代理人及 / 或其聯繫人) 或向受委聘提供行政、電腦或其他服務或設施的任何香港境內或境外第三方及 / 或根據適用法例或規例 (不論法定與否) 有權獲悉關於本人 / 我們投資基金的資料的任何監管機構 (可能屬香港境外) 披露及轉交本人 / 我們的資料。所有在此基於認購基金而提供個人資料的人士皆有權查閱、修改及更新由分銷商、基金經理、行政管理人、行政管理人的委託人及 / 或其委託人或聯繫公司保存有關彼等的一切紀錄 (不論以電腦檔案形式或人手保存)。紀錄副本會應要求提供予該人士，但該人士須支付合理的行政費以抵償處理有關要求的成本。有關要求應以書面形式向個人資料保管主任提出，郵寄地址載於下文第 19 段。
8. I/We consent to the recording of telephone conversations between the Administrator's Delegate and its delegates or affiliates and me/us; and I/we acknowledge that any such tape recordings may be submitted in evidence in any proceedings relating to the service agreements between the Administrator's Delegate and its delegates or affiliates and the Fund. 本人 / 我們同意將行政管理人的委託人及其委託人或聯繫公司與本人 / 我們之間的電話對話內容錄音；及本人 / 我們確認任何該等錄音可於行政管理人的委託人及其委託人或聯繫公司與基金之間的服務協議所涉及的任何司法程序進行期間提呈作為證據。
9. I/we confirm that I am/we are not a US Person (as defined in Regulation S under the United States Securities Act of 1933 (as amended) and as defined in the Offering Document) nor do I/we hold or intend to hold Units/Shares for the benefit of any such person.
本人 / 我們確認，本人 / 我們並非美國人士 (定義見 1933 年美國證券法規則 S (經修訂) 及銷售文件)，本人 / 我們亦沒有為或擬為任何該等人士持有單位 / 股份。
10. I/We hereby represent and warrant that I am/we are a Non-resident (an "Investment Company Act Non-Resident Person") within the meaning of the United States Investment Company Act of 1940 (as amended).
本人 / 我們謹此聲明及保證，本人 / 我們為 1940 年美國投資公司法 (經修訂) 所指的非居民人士 (「投資公司法之非居民人士」)。

11. I/We hereby represent and warrant that I am/we are a Non-United States person (a "CFTC Non- United States Person") within the meaning of United States Commodity Futures Trading Commission Rule 4.7(a)(1)(iv).
本人 / 我們謹此聲明及保證 · 本人 / 我們為美國商品期貨交易委員會規則第 4.7 條(a)(1)(iv)所指的非美國人士(「CFTC 之非美國人士」)。
12. I/We hereby represent and warrant that I am/we are not a US Person for the purpose of the Foreign Account Tax Compliance Act ("FATCA"). For this purpose, a "US Person" ("US Person for FATCA purpose") is defined as follows:
- (i) an individual who is a citizen of the US or a resident alien for US federal income tax purposes. In general, the term "resident alien" is defined for this purpose to include any individual who (i) holds an Alien Registration Card (a "green card") issued by the US Citizenship and Immigration Service or (ii) meets a "substantial presence" test. The "substantial presence" test is generally met with respect to any calendar year if (a) the individual was present in the US on at least 31 days during such year, and (b) the sum of the number of days in which such individual was present in the US during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days; or
 - (ii) a corporation, an entity taxable as a corporation or a partnership created or organized in or under the laws of the US or any state or political subdivision thereof or therein, including the District of Columbia (other than a partnership that is not treated as a US person under Treasury Regulations); or
 - (iii) an estate the income of which is subject to US federal income tax regardless of the source thereof; or
 - (iv) a trust with respect to which a court within the US is able to exercise primary supervision over its administration and one or more US persons have the authority to control all of its substantial decisions, or certain electing trusts that were in existence on 20 August 1996 and were treated as domestic trusts on 19 August 1996; or
 - (v) a Passive Non-Financial Foreign Entity ("Passive NFFE") with "substantial US owner(s)" that are "Specified US Person(s)" (within the meaning of Treasury Regulations under FATCA as set forth in Sections 1471 through 1474 of the US Internal Revenue Code ("IRC")), where the country in which the relevant entity is formed or resident has not signed an Intergovernmental Agreement with the US relating to FATCA ("IGA"). A Passive NFFE is generally a non-US and non-financial institution entity that is neither a "publicly traded corporation" nor an "active NFFE" (within the meaning of Treasury Regulations under FATCA). A substantial US owner is generally a US Person (as described above under paragraphs 4(i) through 4(iv)) that owns, directly or indirectly, a more-than-10 percent interest in the Passive NFFE; however there are generally a number of exemptions with specified requirements including, but not limited to, the following types of entities: i) a regularly traded corporation on an established securities market or an affiliate; ii) an organization exempt from US tax under IRC Section 501(a), iii) an IRC Section 581 US bank, and iv) an IRC Section 851 regulated investment company; or
 - (vi) a "Non-U.S. Entity" with one or more "Controlling Persons" (within the meaning of an applicable IGA) that is a US Person (as described above under paragraph 4(i)).
- 本人 / 我們謹此聲明及保證 · 本人 / 我們並非就《海外賬戶納稅法案》(「FATCA」)而言的美國人士。就此而言 · 「美國人士」(「就 FATCA 目的所定義的美國人士」)的定義如下：
- (i) 就美國聯邦所得稅而言屬美國公民或外國居民的個人。一般來說 · 「外國居民」一詞的定義就此而言包括任何屬於下列情況的個人：(i) 持有由美國公民及移民服務局簽發的外國人登記卡(「綠卡」) · 或 (ii) 通過「實質居留」測試。如就任何公曆年有下列情況 · 一般即屬已通過「實質居留」測試：(a) 該名個人在該年度內在美國居留至少三十一天 · 及 (b) 該名個人在該年度內在美國居留的天數 · 與其前一年度內居留天數的三分之一及其前兩年度內居留天數的六分之一的總和 · 相等於或超過一百八十三天；或
 - (ii) 企業 · 作為企業應課稅的實體 · 或位於或根據美國或美國任何州或政治分區(包括哥倫比亞特區)的法律設立或組成的合夥商行(根據美國財政部規例不被視作美國人士的合夥商行除外)；或
 - (iii) 收入(不論其來源)須繳納美國聯邦所得稅的遺產；或
 - (iv) 美國境內法院能對其行政管理行使主要監督權及一名或以上美國人士有權控制其所有實質決定的信託 · 或於一九九六年八月二十日已存在而於一九九六年八月十九日被視作國內信託的若干選定信託；或
 - (v) 具身為「特定美國人士」(符合載於《美國國內稅收法》(「《國內稅收法》」)第 1471 至 1474 條 FATCA 之下的財政部規例規定的涵義)的「實質美國擁有人」的外國被動非金融實體(「被動非金融實體」)(「Passive NFFE」) · 而有關實體的組成所在或駐在國家並未就 FATCA 與美國簽署《跨政府協議》。一般而言 · 被動非金融實體是既非「上市買賣企業」亦非(符合 FATCA 之下的財政部規例規定的涵義)的「主動非金融實體」的非美國及非金融實體。實質美國擁有人一般是直接或間接擁有被動非金融實體 10% 以上權益的美國人士(如上文第 4(i) 至 4(iv) 段所述)；然而 · 一般存在具有特定規定的多個豁免 · 包括但不限於下列各類實體：(i) 在具規模的證券市場定期買賣的企業或聯繫機構；(ii) 根據《國內稅收法》第 501(a) 條獲豁免繳付美國稅項的組織；(iii) 《國內稅收法》第 581 條的美國銀行；及 (iv) 《國內稅收法》第 851 條的受規管投資公司；或
 - (vi) 具有一個或以上屬美國人士(如上文第 4(i) 段所述)的「控制人士」(按適用的《跨政府協議》規定的涵義)的「美國境外實體」。
13. I/We acknowledge that all parties meeting any definition of US Person (as described above) should note the relevant regulatory requirements. If I/we am/are in any doubt as to my/our status, I/we should consult my/our financial or other professional adviser.
本人 / 我們確認所有符合任何美國人士定義(定義見上文)的各方應注意相關監管規定。如本人 / 我們對其狀況有任何疑問 · 本人 / 我們應諮詢本人 / 我們的財務顧問或其他專業顧問。
14. I/We hereby represent and warrant that I am/we are acquiring the Units/Shares for our own account or I am/we are acquiring the Units/Shares for the account of one or more acquiring persons (each an "Acquiring Person") each of which is (i) not a Securities Act U.S. Person, (ii) not an Investment Company Act Resident Person, (iii) a CFTC Non-United States Person, (iv) not a US Person for FATCA purpose; or (v) not a person falling within the definition of an Unqualified Person (as defined in the "Definitions" section of the Explanatory Memorandum), and (vi) acquiring beneficial interests in the Funds or Sub-Fund (the "Beneficial Interests") for its own account.
本人 / 我們謹此聲明及保證 · 本人 / 我們以自己的身份認購有關單位 / 股份或為一個或以上的「賬戶最終實益擁有人」認購有關單位 / 股份(如與本人 / 我們不同) · 而每一位「賬戶最終實益擁有人」(i) 並非證券法之美國人士 · (ii) 並非美國投資公司法所指之居民人士 · (iii) 是 CFTC 之非美國人士 · (iv) 並非就 FATCA 目的所定義的美國人士 · 或 (v) 並非落入不合資格人士的定義範圍內的人士(定義見基金說明書「定義」一節)以及 (vi) 皆以個人身份獲得基金 / 分支基金中的實益權益(「實益權益」)。
15. I/We hereby represent and warrant that I/we and each Acquiring Person will not offer, resell, pledge or transfer, the Units/Shares or the Beneficial Interests, at any time, within the United States or to or for the account or benefit of (i) a Securities Act U.S. Person, (ii) a person that would not qualify as an Investment Company Act Non-Resident Person, (iii) a person that would not qualify as a CFTC Non-United States Person, (iv) a US Person for FATCA purpose, or (v) an Unqualified Person (as defined in the Explanatory Memorandum).
本人 / 我們謹此聲明及保證 · 本人 / 我們 · 以及每一位「賬戶最終實益擁有人」(如與本人 / 我們不同) · 將不會於任何時間於美國或向(i) 證券法之美國人士 · (ii) 不符合為投資公司法之非居民人士之人士 · (iii) 不符合為 CFTC 之非美國人士之人士 · (iv) 就 FATCA 目的所定義的美國人士 · 或 (v) 不合資格人士(定義見基金說明書)就有關單位/股份或實益權益進行要約 · 轉售 · 質押或轉移。
16. I/We also acknowledge and understand the following:
- (i) If, subsequent to my/our investment, I/we become the aforementioned US Person or Unqualified Person, I/we (i) will be restricted from making any additional subscriptions and (ii) as soon as practicable have my/our Units/Shares compulsorily redeemed (subject to the requirements of applicable law).
 - (ii) The Sub-Funds may exercise their right to:
 - (a) completely redeem the holding of an affected Unit/Shareholder (at any time upon any or no notice); or
 - (b) reject the investors' application; or
 - (c) withhold on amounts otherwise distributable to the investor; or
 - (d) compel the Unitholders to sell their interestif I/We fail to provide the Sub-Funds with the necessary information upon request to satisfy relevant requirements under any applicable local or foreign laws and regulations issued by regulatory or governmental authorities of relevant jurisdiction, including but not limited to FATCA or CRS obligations.

(iii) In order to comply with FATCA, the Sub-Funds may need to disclose, inter alia, the name, address, taxpayer identification number and investment information relating to certain US investors who are US Persons that own, directly or indirectly, an interest in certain entities, as well as certain other information relating to such interest, to the US Internal Revenue Service (IRS). The extent to which the Sub-Funds are able to report to the US IRS will depend on each affected Unitholder in the Sub-Funds providing the Sub-Funds or their delegate with any information and consent that the Sub-Funds determine is necessary to satisfy such obligations.

本人 / 我們確認及明白下列各項：

- (i) 如本人 / 我們於投資之後成為上述美國人士或不合格人士，本人 / 我們 (i) 將被限制作出任何額外的認購，及 (ii) 本人 / 我們所持有的單位 / 股份須在可行情況下盡快被強制贖回 (須符合適用法律規定)。
- (ii) 如本人 / 我們並未按要求向各分支基金提供必要的資料以履行其根據任何由相關司法管轄區監管或政府機構發出的本地或海外適用法律和條例下的要包括但不限於 FATCA / CRS 下的責任，各分支基金可行使權利進行下列各項：
- (a) 全數贖回受影響本人 / 我們所持有的單位 / 股份(在發出或不發出通知後的任何時間)；或
 - (b) 拒絕接受投資者的申請；或
 - (c) 從本應派發予投資者的款項中作出預扣；或
 - (d) 強制本人 / 我們出售權益。
- (iii) 為遵守 FATCA，如若干美國投資者屬於美國人士，而且直接或間接擁有某些實體的權益，則各分支基金可能需要向美國稅務局披露資料，當中包括：該等投資者的姓名、地址、納稅人識別號碼及有關投資資料，以及若干其他與該權益有關的資料。各分支基金能向美國稅務局申報的程度，將取決於各分支基金的每名受影響的單位 / 股份持有人有否向各分支基金或其受委人提供各分支基金認為履行上述責任所必要的資料和同。

17. I/We understand and agree that the Administrator, the Administrator's Delegate and their delegates or affiliates may take any action which the Administrator or the Administrator's Delegate and their delegates or affiliates, in its sole and absolute discretion, considers appropriate so as to comply with any law, regulation, request of a public or regulatory authority or any Ever-Long Group policy which relate to the prevention of fraud, money laundering, terrorism or other criminal activities or the provision of financial and other services to any persons or entities which may be subject to sanctions (collectively "Relevant Requirements"). Such action may include, but is not limited to, the screening of applications for the purchase of Shares, the interception and investigation of transactions in relation to the Fund (particularly those involving the international transfer of funds) including the source of or intended recipient of funds paid in or out in relation to the Fund and any other information or communications sent to or by the Fund or on the Fund's behalf. In certain circumstances, such action may delay or prevent the processing of proper instructions, the settlement of transactions in respect of the Fund or the Administrator's performance of its obligations and I/we agree that the Administrator may in its sole discretion refuse any application for Shares and that neither the Administrator nor any member of the Ever-Long Group will be liable for loss (whether direct or consequential and including, without limitation, loss of profit or interest) or damage suffered by any party arising out of or caused in whole or in part by any actions which are taken by the Administrator or any delegate or any member of the Ever-Long Group to comply with the Relevant Requirements (including, without limitation, those actions referred to in this section). For the purposes of this section, "Ever-Long Group" means Ever-Long Limited and its affiliated companies.

本人 / 我們明白及同意，行政管理人、行政管理人的委託人及其委託人或聯繫公司可採取行政管理人或行政管理人的委託人及其委託人或聯繫公司按其唯一絕對酌情決定權認為適當的任何行動，以遵守公共機構或監管機構任何法例、規例、要求或任何長雄政策內有關防止欺詐、洗錢、恐怖活動或其他犯罪活動或向制裁名單上任何人士或實體提供財務及其他服務的規定 (統稱「相關規定」)。有關行動可包括 (但不限於) 審查購入股份的申請、堵截及調查有關基金的交易 (特別是涉及在國際間轉移資金之交易)，包括投入基金的資金來源或基金資金的預定收款方，以及由基金或其代表接獲或傳送的任何其他訊息或通訊。在某些情況下，這些行動可能延遲或妨礙基金交易指示的處理 / 結算或行政管理人履行其責任。此外本人 / 我們同意行政管理人可按其唯一酌情決定權拒絕股份的任何申請，而行政管理人或長雄集團任何成員，皆無須為任何人士完全或部分因為行政管理人或任何委託人或長雄集團任何成員為遵守相關規定而採取的任何行動 (包括但不限於本條所述的該等行動) 所產生或導致的損失 (不論直接損失或相應而生的損失，包括但不限於利潤或利息的損失) 或損害賠償承擔法律責任。就本條而言，「長雄集團」指長雄資本管理及其聯屬公司。

18. I/We undertake to observe and be bound by the provisions of Offering Document of the Fund and the Trust Deed/Memorandum and Articles of Association constituting the Fund (as amended from time to time).

I/We agree to abide by the terms and conditions of any web site through which my/our investment holdings are made available, on acceptance of such terms and conditions by any individual acting on my/our behalf.

I/We acknowledge that future subscription application is made at a price determined in accordance with Offering Document and the Trust Deed/Memorandum and Articles of Association (as amended from time to time) and that the Manager reserves the right to reject any application in whole or in part.

In the case of Joint Applicants, each applicant must sign and write their names below. A corporation should sign under the hand of a duly authorised official who should state his representative capacity. If this form is signed under a power of attorney, such power or a duly certified copy thereof must accompany this form.

Where the applicant is a financial institution, broker or other person applying to acquire Units/Shares on behalf of its individual client(s), the applicant represents and warrants that it has full power and authority on behalf of the individual investor to subscribe for Units/Shares and to execute any necessary subscription documentation, in particular but without limitation to the aforesaid, to make the representations above on behalf of such individual investor as to the agreement of such individual investor regarding the use of personal data.

本人 / 我們承諾遵守基金銷售文件及構成基金信託契據 / 公司章程 (經不時修訂) 的條款並受之約束。

本人 / 我們同意如以個人身份代表本身接納提供投資服務的任何網站的條款和細則，即承諾遵守該等條款和細則。

本人 / 我們確認，將來認購申請乃按照銷售文件及信託契據 / 公司章程 (經不時修訂) 所釐定的價格作出，而且基金經理保留權利全部或部分地拒絕任何申請。

如屬聯名申請人，所有聯名申請人必須在以下簽署及填寫其姓名。如屬公司，則應由經正式授權的代表簽署並應註明其代表身份。

如果根據授權書簽署本表格，則該授權書或其經妥為核證的副本必須隨本表格一併提交。

如申請人為金融機構、經紀商或代表其個人客戶申請購買單位 / 股份的任何其他人士，則申請人聲明並保證，其擁有充分權力及授權代表個人客戶認購單位 / 股份及簽立任何必要的認購文件，尤其 (但不限於) 代表該等個人投資者作出該個人投資者同意使用上述個人資料的聲明。

19. Neither the Distributor, the Fund, the Manager, the Administrator nor the Administrator's Delegate nor their delegates or affiliates accept any responsibility for any loss resulting from the non-receipt or illegibility of any account opening and subscription agreement sent by facsimile or for any loss caused in respect of any action taken as a consequence of such facsimile believed in good faith to have originated from properly authorised persons.

分銷商、基金、基金經理、行政管理人、行政管理人的委託人及其委託人或聯繫公司均不會對任何以傳真方式傳送的開戶及認購協議未能成功傳送或填寫內容難以辨識而導致的任何損失或因按照真誠地相信來自適當獲授權人士的傳真所載指示採取任何行動而引致的任何損失承擔任何責任。

20. I/We agree that the Administrator, the Administrator's Delegate and their delegates or affiliates may process my/our information including personal data (if any) for the purposes of providing services to the Fund, performing the Administrator's, the Administrator's Delegate's and/or their delegates' or affiliates' legal and regulatory obligations and conducting financial crime risk management and other activities in connection with verification/administration procedures, including disclosing those data to the Fund and to third parties and transferring them internationally for any other purposes as defined in the Personal Data (Privacy) Ordinance.

本人 / 我們同意行政管理人、行政管理人的委託人及其委託人或聯繫公司可處理本人 / 我們的資料，包括個人資料 (如有)，以提供基金所需服務、履行行政管理人、行政管理人的委託人及 / 或其委託人或聯繫公司的法律和監管責任作為身份核證 / 行政程序，以及進行金融罪行風險管理及其他活動，包括按〈個人資料(私隱)條例〉所定的任何用途向基金及第三方披露有關資料及在全球轉移資料。

Anti-Money Laundering and Prevention of Crime
反洗黑錢活動及防止罪行

21. In order to comply with the relevant laws and regulations for the purpose of prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, terrorist financing and any other violation of laws or unlawful activities, you are required to provide evidence to prove your identity. For individuals, the proof will include a copy of passport or Identity Card. For corporations and institutions, a certified true copy of the Certificate of Incorporation, Business Registration Certificate, Memorandum and a list of authorised signatories with specimen signatures and any other relevant proof as may be required by the Manager must be submitted with this application.
為了就預防、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、恐怖分子融資及任何其他違法行為或不合法活動而履行有關法例及規例，閣下須提供閣下的身份證明文件。就此而言，個人投資者須連同本申請書一併提交的證明文件包括護照或身份證副本。公司及機構則須連同本申請書一併提交經核證為真實的法團註冊證書、商業登記證、組織章程細則的副本、獲授權簽署人名單及其簽名式樣、以及基金經理可能要求的任何其他相關證明。
22. In order to comply with any applicable anti-money laundering laws and regulations, the Administrator's Delegate, the Administrator, the Fund, the Distributor or the Manager may require detailed verification of an investor's identity and the source of the payment of application monies. The Administrator, the Administrator's Delegate, the Fund, the Distributor and the Manager reserve the right to request such information as is necessary to verify the identity of an applicant and the source of the payment. In the event of delay or failure by the Applicant to produce any information required for verification purposes, the Administrator, the Administrator's Delegate, the Fund, the Distributor and the Manager may refuse to accept the subscription and the subscription monies relating to such application and refuse to pay any redemption proceeds. Neither the Administrator, the Administrator's Delegate, the Fund, the Distributor, the Manager nor their delegates or affiliates shall be liable to the Applicant for any loss suffered by the Applicant as a result of the rejection or delay of any subscription or payment of redemption proceeds.
為遵守任何適用的打擊洗錢法例及規例，長雄證券有限公司（「行政管理人的委託人」）、行政管理人、基金、分銷商或基金經理可要求仔細核實投資者的身份及申請款項的資金來源。行政管理人、行政管理人的委託人、基金、分銷商及基金經理保留權利要求獲提供一切所需資料，以核實申請人的身份及付款資金來源。如申請人延遲或未能提交核實身份或資金來源所需的任何資料，行政管理人、行政管理人的委託人、基金、分銷商及基金經理可拒絕接納認購申請及有關申請涉及的認購款項，以及拒絕支付任何贖回所得款項。行政管理人、行政管理人的委託人、基金、分銷商、基金經理及彼等的委託人或聯繫公司概不會就申請人因任何認購申請或贖回所得款項的付款被拒或延誤而蒙受的任何損失，向申請人承擔法律責任。

Data Privacy Policy of Ever-Long and its affiliated companies ("EL Group")
長雄及其聯屬公司（「長雄」）之個人資料私隱政策

1. At EL Group, we want to provide the best service possible to our customers.
長雄集團一直致力為客戶提供最佳之服務。
2. One way that we do this is by using customer information to provide our customers with convenient access to the right products and services. We also recognize that our customers have important expectations regarding the use of that information.
要達到此一目的，其中一個途徑就是利用客戶的資料，為客戶提供最方便的途徑，獲得合適的產品和服務，我們亦明白到客戶對於其個人資料的使用非常關注。
3. Safeguarding customer information is a matter that we take seriously. That is why we at EL Group have set forth the following principles to affirm our long-standing commitment to confidentiality.
保護客戶資料乃是我們一直認真處理的事項。因此，長雄集團訂立了以下守則，矢志承諾對客戶的資料保密。
4. From time to time, it is necessary for customers who are individuals to supply EL Group with data which are personal data ("Data") for the purposes of the Personal Data (Privacy) Ordinance (Cap. 486 of the laws of Hong Kong). The purposes for which Data (and other information) relating to customers may be used are as follows:
- the daily operation of the services and facilities provided to customers;
 - conducting credit checks;
 - assisting other institutions to conduct credit checks;
 - ensuring customers' ongoing credit worthiness;
 - designing financial services or related products for customers' use;
 - marketing financial services or related products to customers (please see further details in clause 6 below);
 - determining the amount of indebtedness owed to or by customers;
 - meeting the requirements to make disclosure under the requirements of any law or regulations; and
 - any purposes relating to any of the foregoing.
- 個人名義的客戶必須不時向長雄集團提供個人資料（「資料」），以作《個人資料（私隱）條例》（香港法例第 486 章）所述用途。有關客戶的資料（及其他資料）可用作以下用途：
- 向客戶提供之服務及設施之日常運作；
 - 進行信貸審查；
 - 協助其他機構進行信貸審查；
 - 確保客戶的信用維持良好；
 - 設計供客戶使用之金融服務或相關產品；
 - 向客戶推廣金融服務及相關產品（進一步詳情請參閱下文第 6 款）；
 - 釐定拖欠客戶或客戶拖欠之債務金額；
 - 根據任何法例或規例之規定，符合作出披露之要求；及
 - 與任何前述部份有關之任何用途。
5. Data (and other information) held by EL Group relating to customers will be kept confidential but EL Group may disclose, and it is a condition of EL Group providing services, products and information to customers that each customer consents to the disclosure of all Data (and other information) to:
- any officer, employee, agent, contractor or third party who provides administrative, credit information, debt collection, telecommunications, computer, payment or other services to EL Group in connection with the operation of their business;
 - any financial institution with which the customer has or proposes to have dealings;
 - regulatory or judicial authorities and other relevant government or statutory bodies;
 - any other person under a duty of confidentiality to EL Group including a company within EL Group which has undertaken to keep such information confidential.
 - We share information regarding customers among EL Group only in accordance with strict internal security standards and confidentiality policies and with applicable law.
 - We hold our employees fully accountable for adhering to those standards, policies and laws.
 - We do not share information about our customers with other companies except in order to conduct our business, comply with applicable law, protect against fraud or make available special offers of products and services that we feel may be of interest to our customers. We may also provide information to regulatory authorities and law enforcement officials in accordance with applicable law.
 - We have established high standards for protecting information regarding our customers from unauthorized alteration or destruction.
- 長雄集團持有之客戶有關的資料（及其他資料）將會保密，但長雄集團可向以下人士披露所有資料（及其他資料），而客戶同意披露所有資料（及其他資料）亦是長雄集團向客戶提供服務、產品及資料之條件：
- 任何向長雄集團提供有關其業務運作之行政、信貸資料、債務追討、電訊、電腦、繳款或其他服務之高級職員、僱員、代理、承包商或第三者；
 - 客戶已有或擬與之進行交易之任何金融機構；
 - 監管或司法當局及其他有關政府或法定機構；
 - 任何有責任長雄集團保密之其他人士，包括長雄集團以內承諾保持此等資料機密之公司。
 - 長雄集團內公司之間對客戶之資料使用，須依據嚴格之內部安全標準、保密政策及適用法律。

- 我們約束僱員完全遵守該等標準、政策及法律。
- 除為了進行業務、遵守適用法律、保護免受欺詐或作出我們認為可能符合客戶利益之產品及服務優惠外，我們不會將有關客戶的資料分發予其他公司。我們亦可依據適用法律向監管當局及執法人員提供資料。
- 我們訂立了極高標準，以保護客戶的資料免受未經授權之更改或破壞。

6. Use of Data in Direct Marketing

We intend to use your personal data in direct marketing and we require your consent (which includes an indication of no objection) for that purpose. The specific requirement regarding your consent (which includes an indication of no objection) is introduced in Part VIA of the Personal Data (Privacy) Amendment Ordinance 2012. In this connection, please note that:

- a. your name, contact details, products and services portfolio information, transaction pattern and behavior, financial background and demographic data held by EL Group from time to time may be used by EL Group in direct marketing;
- b. the following classes of services, products and subjects may be marketed:
 - i. financial, insurance, securities, commodities, investment and related services and products and facilities;
 - ii. reward, loyalty or privileges programmes in relation to the class of marketing subjects as referred to in clause 6b(i) above;
 - iii. services and products offered by EL Group's co-branding partners (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be) in relation to the class of marketing subjects as referred to in clause 6b(i) above; and
 - iv. donations and contributions for charitable and/or non-profit making purposes;
- c. the above services, products and subjects may be provided or (in the case of donations and contributions) solicited by EL Group and/or:
 - i. any member of EL Group;
 - ii. third party financial institutions, insurers, securities, commodities and investment services providers;
 - iii. third party reward, loyalty, co-branding or privileges programme providers;
 - iv. co-branding partners of EL Group (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be); and
 - v. charitable or non-profit making organisations;
- d. in addition to marketing the above services, products and subjects itself, EL Group also intends to provide the data described in clause 6(a) above to all or any of the persons described in clause 6(c) above for use by them in marketing those services, products and subjects (in respect of which EL Group may or may not be remunerated), and EL Group requires your written consent (which includes an indication of no objection) for that purpose;

If you do not wish EL Group to use or provide to other persons your data for use in direct marketing as described above, you may exercise the opt-out right by notifying EL Group in writing to the address provided below in clause 9 of this notice.

使用資料作直接促銷

我們擬使用閣下的個人資料作直接促銷，為此我們須取得閣下的同意（包括表示不反對）。2012年《個人資料（私隱）（修訂）條例》第VIA部引入關於取得閣下同意的具體要求（包括表示不反對）。就此，務請閣下注意：

- a. 長雄集團不時持有的閣下的姓名、聯絡詳情、產品及服務投資組合信息、交易模式及行為、財務背景及統計資料可由長雄集團用於直接促銷；
- b. 以下服務、產品及標的類別可作推廣：
 - i. 財務、保險、證券、商品、投資及相關服務和產品及授信；
 - ii. 有關上文第6(b)(i)款所述促銷標的類別的獎賞、年資獎勵或優惠計劃；
 - iii. 由長雄集團的聯營夥伴提供有關上文第6(b)(i)款所述促銷標的類別的服務和產品（有關服務和產品（視屬何情況而定）的申請表上會提供該等聯營夥伴的名稱）；及
 - iv. 為慈善及/或非牟利目的而作出之捐款及資助；
- c. 上述服務、產品及標的可由長雄集團及/或下述人士提供或（如涉及捐款及資助）募捐：
 - i. 長雄集團之任何成員公司；
 - ii. 第三方金融機構、承保人、證券、商品及投資服務提供者；
 - iii. 第三方獎賞、年資獎勵、聯營或優惠計劃提供者；
 - iv. 長雄集團之聯營夥伴（有關服務和產品（視屬何情況而定）的申請表上會提供該等聯營夥伴的名稱）；及
 - v. 慈善或非牟利組織；
- d. 除了自行推廣上述服務、產品及促銷標的外，長雄集團亦擬將以上第6(a)款所述資料提供予上文第6(c)款所述的全部或其中任何人士，以供該等人士在促銷該等服務、產品及促銷標的時使用（長雄集團可能就此獲發或不獲發酬金），而長雄集團須就此用途取得閣下的書面同意（包括表示不反對）；

如閣下不希望長雄集團使用或提供閣下的資料予其他人士作上述直接促銷用途，閣下可向長雄集團發出書面通知（郵寄地址載於下文本通知第9款），以行使閣下拒絕參與直銷活動的權利。

7. EL Group may, in accordance with the Personal Data (Privacy) Ordinance and any other applicable law,

- a. match, compare or exchange any Data or other information provided by, or in respect of, a customer with Data (or other information) held by EL Group or any other person for the purpose of:
 - i. credit checking;
 - ii. Data (and other information) verification;
 - iii. otherwise producing or verifying Data (and other information) which may be used for the purpose of taking adverse action against the customer or any other person at any time;
- b. transfer such Data (and other information) to any place outside Hong Kong (whether for the processing, holding or use of such Data (and other information) outside Hong Kong).

長雄集團可依據個人資料（私隱）條例及其他適用法律進行以下活動：

- a. 將客戶提供或有關客戶之任何資料或其他資料，與長雄集團或任何其他人士持有之資料（或其他資料）進行配對、比較或交換，以作以下用途：
 - i. 信貸審查；
 - ii. 資料（或其他資料）核對；
 - iii. 提出或核對資料（或其他資料），該等資料可能用於在任何時候採取對客戶或任何其他人士不利的行動；
- b. 將此等資料（或其他資料）轉往香港以外任何地方（不論在香港以外處理、持有或使用此等資料（或其他資料））。

8. Under and in accordance with the terms of the Personal Data (Privacy) Ordinance each customer has a right to:

- a. check whether EL Group hold Data about the customer and the right of access to such Data;
- b. require EL Group to correct any Data relating to the customer which is inaccurate; and
- c. ascertain EL Group's policies and practices in relation to Data and to be informed of the kind of personal data relating to the customer held by EL Group.

根據及依據個人資料（私隱）條款，每位客戶均有權：

- a. 檢查長雄集團是否持有有關客戶之資料，及是否有權使用此等資料；
- b. 要求長雄集團更改有關客戶之任何錯誤資料；及
- c. 確定長雄集團有關資料之政策及做法，以及獲知長雄集團持有有關客戶之個人資料種類。

9. Request for access and/or correct any data that customer has submitted shall be sent to the following address:

Rooms 1101-02 & 1111-12, 11/F Wing On Centre, 111 Connaught Road Central, Sheung Wan, Hong Kong

or phone to 2815 3522

查閱及/或改正客戶所提交之任何資料的要

送交以下地址：

香港上環干諾道中 111 號永安中心 11 樓 1101 至 02 室及 1111 至 12 室

或致電 2815 3522

10. In accordance with the terms of the Personal Data (Privacy) Ordinance, EL Group has the right to charge a reasonable fee for the processing of any Data access request.
依據個人資料（私隱）條例之條款，長雄集團有權就處理任何資料索取查閱之申請收取合理費用。
11. At EL Group, information regarding our customers is used solely in the legitimate conduct of our business, to deliver superior service and to design products and special offers that demonstrate our understanding of our customers and their needs.
在長雄集團，有關客戶之資料只會用於進行本身業務的合法用途，以提供優質服務，及進行產品設計及優惠，從而顯示我們明白客戶及其需要。
12. As we move forward in developing new products and services in an era of vast technological change, we will continue to maintain our dedication to assuring that customer information is properly used and appropriately safeguarded.
隨著我們會在新科技年代進一步發展新產品和服務，我們會繼續竭力確保客戶的資料會被正確使用及受到適當保護。

<p>_____ Signature 簽署</p> <p>Name 姓名：</p>	<p>_____ Signature 簽署</p> <p>Name 姓名：</p>	<table border="1" style="margin: auto; border-collapse: collapse;"> <tr style="background-color: #f08080;"> <td style="padding: 2px;">For Internal use only 僅供內部使用</td> </tr> <tr style="background-color: #d3d3d3;"> <td style="padding: 2px;">Intermediary 中介機構</td> </tr> <tr> <td style="height: 30px;"></td> </tr> <tr style="background-color: #d3d3d3;"> <td style="padding: 2px;">Agent's Name 中介人姓名</td> </tr> <tr> <td style="height: 30px;"></td> </tr> <tr style="background-color: #d3d3d3;"> <td style="padding: 2px;">Agent's Code 中介人編號</td> </tr> <tr> <td style="height: 30px;"></td> </tr> </table>	For Internal use only 僅供內部使用	Intermediary 中介機構		Agent's Name 中介人姓名		Agent's Code 中介人編號	
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For Internal Use 僅限內部使用

Other Relevant Information from Client (to be completed by AE) 客戶提供的其他相關資料 (由經紀填寫)
(Please tick ✓ where applicable) (請打勾作確認)

- No other information is relevant in determining the suitability of any specific advice or recommendation to be made to the Client. 客戶沒有提供任何特定意見或建議而可被接納為其他資料
- In addition to the answers above, AE should include relevant information from verbal discussion with the Client the following information in determining the suitability of any specific advice or recommendation to be made to the Client:

除上述資料外，經紀就客戶所提供特定意見或建議包括與客戶口頭討論而可被接納為其他資料：

Recommendation of AE 經紀建議

After taking into account the Client's information, investment objectives, investment period, investment knowledge and experience, risk tolerance, financial circumstances and concentration risk, the AE advises that the Client may invest in the following types of products

根據客戶提供的資料、投資目標、投資年期、投資認識及經驗、承受風險、財務狀況和集中風險，經紀建議客人可投資以下投資產品

Rationale

意向:

Product Risk Profile

產品風險簡介:

Investment Types

投資類型:

Investment Period

投資年期:

Name of AE 經紀姓名: _____

Signature 簽署: _____

Date 日期: _____

For Department Head or Responsible Officer Only 僅限部門主管或負責人員使用

If the product risk profile does not match the client's risk profile, please comment

如產品風險資訊與客戶風險承受程度不相配，請提供意見：

If the investment types involve unauthorized products or derivative structured products, please comment:

如投資類型涉及非認可產品或衍生結構性產品，請提供意見：

If the investment period is over 3 years, please comment:

如投資覆蓋的年期超過三年以上，請提供意見：

Name of Department Head/Responsible Officer

部門主管或負責人員姓名：

Signature 簽署： _____

Date 日期： _____