

SFO Professional Investor Assessment Form

Customer's Name: _____

Account No: _____

Part A SFO Professional Investor Assessment

Pursuant to paragraph (j) of the definition of Professional Investor in Part 1 of Schedule 1 to the *Securities and Futures Ordinance*, the client fits into one of the following categories (**please check one box only**):

- A **high net worth individual investor**, either alone or with their spouse or children on a joint account, having a portfolio of cash and/or securities of not less than HK\$8 million (or equivalent);
- A **trust corporation** having been entrusted under the trust(s) of which it acts as trustee with total assets of not less than HK\$40million (or equivalent); or
- A **corporation or partnership** having a portfolio of not less than HK\$8 million or total assets of not less than HK\$40 million.

Note: (1) Portfolio means securities and cash, but does not include real estate.

(2) Supporting documents, such as Custodian Statement, and summary of calculations must be attached

Part B Client Information (completed by AE)

1. Investment experience in: Securities Futures UT Bond Placement Others: _____
 Average transaction no. in the past 12 months: _____ Average transaction size in the past 12 months: _____
 Years of experience: _____
2. Investment Objective: Capital Gain Hedging Speculation Generating Income
3. RPQ Risk Level (completed within 12 months): Low Medium High No (Please complete the below Question 3(a) and (b). However, this is not applicable for UT, Bond, CIES and PCM whereas RPQ is mandatory.)
- (a) Client risk tolerance level:
 High level of fluctuation (>30%)
 Medium level of fluctuation (15-30%)
 Low level of fluctuation (<15%)
- (b) Desired investment horizon:
 > 3 years
 1 - 3 years
 < 1 year

*Net Worth: HK\$

*Derivative Knowledge (refer to SATS)? Yes No

Part C Declaration by AE

Based on the client interview and available information, I am reasonably satisfied that the client is knowledgeable, recognizes the risks, has relevant investment experience, and is suitable for the transaction. I confirm that a copy of this completed Form has been provided to the client for record. (Note: If any of the above items with asterisk ("*") deviates from Intranet records, please complete the Account Particulars Amendment Form and/or Derivatives Assessment Questionnaire.)

Signature:

AE Code:

Name:

Date:

Part D Confirmation (Please complete either (i) or (ii))

- (i) **Confirmation by Client:** The information contained in this Form is true and accurate and Phillip Securities (Hong Kong) Limited ("PSHK") is entitled to rely fully on such information for all purposes, unless PSHK receives notice in writing of any change.
 Client Signature: _____ Date: _____
- (ii) **Confirmation by AE:** (This section is only applicable if you did not meet with the client.) You should explain this Form to the client with phone recording and he/she agrees to the content contained therein. The details of tape recorded conversation are as follows:
 Date & time: _____ Client's phone no.: _____ AE's phone no.: _____

Checked by Designated Officer

Signature: _____ Dept: _____
 Name: _____ Date: _____

Approved by RO

Signature: _____
 Name: _____ Date: _____