HKbitEX
Professional Investors Declaration

The definition of Professional Investor under the Securities and Futures Ordinance (the "SFO") can be found here (Securities and Futures Ordinance (Cap. 571) Schedule 1 Part 1), and here (Securities and Futures (Professional Investor) Rules (Cap. 571D)) (the "PI Rules").

(please tick as appropriate)

Individual Professional Investor

I fall under the definition of a Professional Investor under the category of persons described in paragraph (j) of the definition of "Professional Investor" in Part 1 of Schedule 1 of the SFO and specified in section 5(1) of the PI Rules, and agree to be treated as such.

☑ An Individual, either alone or with any his/her spouse or children on a joint account, having a portfolio of not less than HK$ 8 million or equivalent in any foreign currency at the relevant date.

Supporting document(s) provided:

☑ A certificate issued by an auditor or certified public accountant of the individual within 12 months of the date this application is submitted; or

☑ One or more custodian statements issued to the individual or joint account holder within 12 months of the date this application is submitted; or

☑ A public filing submitted by or on behalf of the individual within 12 months of the date this application is submitted.

Client's Affirmation

☑ I confirm the information provided above by me is true, complete and accurate. I hereby give consent to be treated as a Professional Investor for the Relevant Financial Product(s) and/or Relevant Market(s).

☑ I fully understand the risk and consequences of being treated as a Professional Investor; of my right to withdraw from being treated as a Professional Investor and taking independent advice if I wish.

☑ I shall inform the Company immediately if I find that I no longer under within the definition of Professional Investor.

☑ I understand that lodging of this assessment form shall in no way implies the Company's approval of my status as a Professional Investor; the Company has the right to reject my request for being treated as a Professional Investor without giving any reason.

This is an electronic form.

Risk and Consequence of being treated as a Professional Investor

If you will be treated as a Professional Investor, please take note of the exemption details under paragraphs 15.5 of the Code of Conduct for Persons Licensed by or Registered with the SFC (the "Code").

Paragraph 15.5 of the Code of Conduct

HKbitEX is exempt from the following requirements for Corporate Professional Investors and Individual Professional Investors where licensed or registered persons have compiled with paragraph 15.3B and Institutional Professional Investors:

a) Information for clients
   (i) the need to inform the client about the licensed or registered person and the identity and status of its employees and others acting on its behalf (paragraph 8.1 of the Code);
   (ii) the need to provide the client with documentation on the Nasdaq-Amex Pilot Program (paragraph 1 of Schedule 3 to the Code).

Right to withdrawal from being treated as a Professional Investor

To register and maintain an account with HKbitEX, you must be, and remain at all material times, a Professional Investor.

You have the right to withdraw from being treated as a Professional Investor, whether in respect of all of the Relevant Financial Product(s) and/or Relevant Market(s) or any part thereof, at any time by giving written notice to us (the "Withdrawal Notice"). After receiving the Withdrawal Notice, HKbitEX will process it within 14 business days and inform you about the effective date of such withdrawal. Any withdrawal shall be without prejudice to and shall not affect the provision of any services rendered and/or financial products offered to you on the basis that you were a Professional Investor prior to such withdrawal taking effect.

HKbitEX may, at any time, stop treating you as a Professional Investor by giving not less than 14 days written notice to you. Such notice shall be effective upon the expiry of the notice period, unless you re-apply to be treated as a Professional Investor.