

To: Bridgeway Prime Shop Fund Management Limited (the "Company")

I/We understand that currently Bridgeway's products and services are offered SOLELY to Professional Investors as defined in Section 3 of the Securities and Futures (Professional Investor) Rules (Cap 571D). I/We hereby confirm my/our status as Professional Investor within one of the following categories (please check the appropriate box):

PLEASE CHECK ONE OF THE FOLLOWING:

- (a) **INDIVIDUAL:** any individual having a portfolio* of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date, when any one or more of the following are taken into account, according to the evidential requirements set out overleaf (refer to **NOTE 1 overleaf**):
 - A portfolio on the individual's own account;
 - A portfolio on a joint account with the individual's associate ("associate" refers to spouse and child of the individual);
 - The individual's share of a portfolio on a joint account with one or more persons other than the individual's associate (refer to **NOTE 2 overleaf**);
 - A portfolio of a corporation which, at the relevant date, has as its principal business the holding of investments and is wholly owned by the individual.

- (b) **CORPORATION / PARTNERSHIP:** any corporation or partnership having one of the following, according to the evidential requirements set out overleaf (refer to **NOTE 1 overleaf**):
 - (i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency, or
 - (ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency.

- (c) **TRUST CORPORATION:** any trust corporation having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date, according to the evidential requirements set out overleaf (refer to **NOTE 1 overleaf**).

- (d) **CORPORATION FOR HOLDING INVESTMENTS:** any corporation which, at the relevant date, has as its principal business the holding of investments and is wholly owned by any one or more of the persons in paragraph (a), (b), or (c) above.

- (e) **CERTAIN HOLDING CORPORATION:** any corporation which, at the relevant date, wholly owns a corporation referred to in paragraph (b) above.

* Portfolio includes: Cash (including savings deposits, time deposits etc.), certificate of deposit, and/or securities (including stocks, bonds, debentures, notes, funds, warrants, options etc. defined as securities by the SFO.)

CLIENT CONFIRMATION

I/We agree that I/we shall not receive from the Company any contract notes, statements of account or receipts in accordance with the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (Cap 571Q).

Name of Primary Customer: _____
 Signature of Primary Customer /
 Company Chop & Authorized Signatory:

Name of Secondary Customer: _____
 Signature of Secondary Customer:
 (only applicable to joint account)

 Date: _____

 Date: _____

FOR INTERNAL USE ONLY

Licensed Representative: _____ Date: _____ CRM Update by: _____ Date: _____
 RO Approval: _____ Date: _____
 Compliance Approval: _____ Date: _____

NOTE 1 – Evidential requirements for ascertaining total assets or portfolio

(1) INDIVIDUALS

- (i) The most recent monthly bank statement or brokerage statement issued within 1 month; or
- (ii) Statement of account issued by a custodian, a certificate issued by a custodian, an auditor or a certified public accountant within the last 12 months.

(2) CORPORATIONS / PARTNERSHIP / TRUST CORPORATIONS

- (i) The most recent monthly bank statement or brokerage statement issued within 1 month; or
- (ii) Statement of account issued by a custodian, a certificate issued by a custodian, an auditor or a certified public accountant within the last 12 months; or
- (iii) The most recent audited financial statement prepared within 16 months.

NOTE 2 – Basis for determining an individual’s share of a portfolio on a joint account with non-associate(s)

An individual’s share of a portfolio on a joint account with one or more persons other than the spouse or any child of that particular individual is:-

- (a) the individual’s share of the portfolio as specified in a written agreement among the account holders; or
- (b) in the absence of an agreement referred to in paragraph (a) above, an equal share of the portfolio.

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Licensed Representative: _____ Date: _____ CRM Update by: _____ Date: _____
RO Approval: _____ Date: _____
Compliance Approval: _____ Date: _____