

● 投資目標 Investment Objective

- 賺取收入 Generating Income
- 投機 Speculation
- 對沖 Hedging
- 資本增長 Capital Appreciation
- 其他(請註明) Others(please specify): _____

● 投資經驗(年數) Investment Experience Year(s)

- 上市證券 Listed Securities ()
- 期貨或期權 Futures or Options ()
- 槓桿式外匯 Leveraged Foreign Exchange ()
- 單位信託基金或債券 Unit Trusts or Bond ()
- 其他 Others: _____ ()

● 對衍生產品之認識 Derivative Products Knowledge

本人了解衍生產品的性質和風險
I UNDERSTAND the nature and risks of derivative products due to

本人對衍生產品全無認識
I have NO knowledge of derivative products

1. 曾參與有關培訓或課程:

Attending relevant training or attending course

- 監管機構 Regulatory Authority
- 交易所 Exchange
- 金融機構 Financial Institution
- 教育機構 Education Institute
- 大專院校 Tertiary Institution

2. 於金融機構擁有有關的工作經驗:

Gaining relevant work experience in financial institution(s)

- 經紀公司或銀行 Brokerage Firm or Bank
- 基金或資產管理公司 Fund House or Asset Management Firm
- 管理層 Management
- 監管機構或交易所 Regulatory Authority or Exchange
- 受監管持牌人士 Regulated Licensed Person
- 與衍生工具相關後勤 Derivatives Related Back Office

3. 於過去三年內進行五次或以上有關衍生產品的交易(不論是否在交易所進行交易)

Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years

- 是 Yes
- 否 No

客戶簽署

Client Signature(s)

X

(所有聯名客戶必須簽署 All account holders of joint account must sign jointly.)

S.V.

簽署人姓名 Signatory Name(s)	
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Confirmed & Signed by CSO	Approved by RO	Updated by OPP	Checked by OPP
Name: _____ Date: _____	Name: _____ Date: _____	Name: _____ Date: _____	Name: _____ Date: _____

* 此欄必需填寫 Mandatory Fields