

## Derivatives knowledge assessment 衍生工具認識評估

I have acquired knowledge of derivatives products by undergoing training or attending courses that provide general knowledge of the nature and risks of derivatives. 本人已經下列途徑接受有關衍生工具之性質及風險的培訓或修讀課程，從而獲得對衍生工具之認識。

- Regulatory Authority 監管機構
- Exchanges 交易所
- Financial Institution 金融機構
- Education Institution 進修學院
- Tertiary Institution 大專院校
- Self-Learning 自修

I have acquired knowledge of derivatives products by gaining relevant work experiences in financial institution such as brokerage firm, bank, fund house, asset management company, regulatory authority or exchanges. 本人曾經在於經紀公司，銀行，基金或資產管理公司，監管機構或交易所等金融機構從事以下職位從而獲得對衍生工具之認識。

- Regulated licensed person 受監管持牌人士
- Derivatives related department 與衍生工具相關部門
- Management 管理層

I have acquired knowledge of derivatives products from my relevant experiences i.e. I have executed five or more transactions in derivatives products (whether traded on exchange or not) e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc. within the past three years and understand the risk in relating to derivatives products. 本人於過去三年，曾執行五次或以上有關衍生產品(不論是否在交易所買賣)的交易，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，並清楚明白其風險，從而獲得對衍生工具之認識。

I have no knowledge of derivatives products (Related accounts WOULD NOT BE APPROVED if this option is chosen). 本人並未有衍生產品之認識 (選此項將**不批准**開相關帳戶)。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 客戶簽名: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_