



Client Declaration for Derivative Products 有關衍生產品之客戶聲明

Client Information 客戶資料	
Client Name 客戶名稱：	Account No. 戶口號碼：
A.E No 經紀編號：	Date 日期：

Client Declaration 客戶聲明
<p><input type="checkbox"/> I/We have acquired knowledge of derivative products (please choose as appropriate): 本人/吾等從以下途徑已獲取有關衍生產品之認識 (可選擇多於一項)：</p> <p><input type="checkbox"/> by undergoing training or attending courses or seminars that provide general knowledge of the nature and risks of derivative product(s) (e.g. relevant online or classroom courses offered by academic institutions or financial institutions) 已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如由學術機構或金融機構所提供之網上課程或教室課程)</p> <p><input type="checkbox"/> from my/our prior work experience related to derivative products 本人/吾等從現時的工作經驗獲取有關衍生產品之認識 I/We have prior relevant work experience in financial institution(s) (e.g. banks, securities companies, etc.) 本人/吾等於金融機構(例如銀行、證券公司等)擁有相關工作經驗 or others (please specify): 或其他(請註明)：_____</p> <p><input type="checkbox"/> from my/our relevant trading experience i.e. I/We have executed five or more transactions in derivative product(s) (whether traded on an exchange or not) within the past three years. If yes, please state the relevant products: 從本人/吾等相關之交易經驗，即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易)。如有，請註明有關產品：</p> <p><input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Callable Bull/Bear Contract (CBBC) 牛熊證 <input type="checkbox"/> Exchange Traded Fund (ETF) 交易所買賣基金 <input type="checkbox"/> Futures and Options 期貨及期權合約 <input type="checkbox"/> Equity Linked Instruments (ELI) 股票掛鉤票據 <input type="checkbox"/> Others 其他：_____</p> <p><input type="checkbox"/> I/We have NO knowledge of derivative products 本人/吾等並未有衍生產品之認識</p>

I/We hereby confirm that the above information provided is true and complete. I/We further acknowledge and confirm that I/We have duly received the "Risk Disclosure Statements for Exchange-traded Derivative Products" and fully understand the nature and risks associated with derivative product(s) as mentioned therein. Although I/We might not have relevant derivatives product(s) trading experience, I/We may still base on my/our own independent judgment to request for entering into transaction(s) of derivative product(s) and would take all risks associated.

本人/吾等確認上述資料完全真實及完整。本人/吾等進一步確認及聲明本人/吾等已收妥“交易所買賣衍生產品之風險披露聲明”，並完全了解當中提及衍生產品之性質及相關風險。儘管本人/吾等可能並沒有相關衍生產品交易經驗，本人/吾等可能基於個人/吾等獨立判斷仍要求進行衍生產品交易。本人/吾等願意承擔所有相關衍生產品風險。

Client's Signature 客戶簽署 _____