

**衍生工具認識問卷 Derivatives Knowledge Questionnaire**

戶口持有人 Name of Account Holder: \_\_\_\_\_

輝立證券(香港)有限公司賬戶號碼 Phillip Securities (Hong Kong) Limited Account No.: \_\_\_\_\_

輝立商品(香港)有限公司賬戶號碼 Phillip Commodities (HK) Limited Account No.: \_\_\_\_\_

身份證號碼/ 護照號碼 Identity Card Number/ Passport Number: \_\_\_\_\_

個人/聯名戶口主要持有人  
 Individual/Primary Joint Account Holder

聯名戶口第二持有人  
 Secondary Joint Account Holder

本人從以下途徑已獲得對衍生產品之認識： (請於 1, 2 或 3 選擇一項，其中可剔多於一格)  
 I have acquired knowledge of derivative products: (Please choose 1, 2 or 3, can tick more than one box)

1. 已接受有關衍生產品之性質及風險的培訓或課程。  
 by undergoing training or attending courses that provide general knowledge of the nature and risks of derivatives.

監管機構  交易所  金融機構  進修學院  大專院校  
 Regulatory Authority Exchange Financial Institution Education Institution Tertiary Institution

2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。  
 by gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.

受監管持牌人士  與衍生工具相關後勤  管理層  
 Regulated Licensed Person Derivatives Related Back Office Management

3. 本人相關之交易經驗，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)，並清楚明白其風險。  
 from my relevant trading experience i.e. I have executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years and understand the risk in relating to derivative products.

牛熊證 / 窩輪  期貨或期權  槓桿式外匯  槓桿及反向產品  
 CBBC/Warrants Futures or Options Leveraged Foreign Exchange Product Leveraged and Inverse

本人並未有衍生產品之認識。(選此項將不批准開衍生工具相關帳戶)  
 I have NO knowledge of derivative products. (Derivative related accounts would not be approved if this option is chosen)

本人確認上述衍生產品知識及資料全屬真確完整。  
 I confirm that my knowledge of derivative products and all information provided are accurate and complete.

戶口持有人 / 聯名戶口第二持有人簽署 \_\_\_\_\_ 日期 \_\_\_\_\_  
 Account Holder / Secondary Joint Account Holder Signature (Date: \_\_\_\_/\_\_\_\_/\_\_\_\_)

請注意：有關產品的風險，請參閱 客戶協議 或 <http://www.phillip.com.hk> 內的「風險披露聲明」。  
 Note: Please refer to the Risk Disclosure Statements in Client Agreement or <http://www.phillip.com.hk>.

For Office Use only :

Assessment of derivatives knowledge:  
 From the above information provided by client, the derivative knowledge of the client is classified as: \_\_\_\_\_

Signature checked by: _____	System Input by: _____	Reviewed by: _____
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