

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：
 I have acquired knowledge of derivative products :
 (請於 1,2,3 選擇一項並完成其中的 I 及 II, 可選多於一項)
 (Please choose 1, 2 or 3 and complete its I and II, can choose more than one)

注意：填寫有衍生產品認識，即選項 1、2 或 3，需同時提供證明，如受訓紀錄、證書、過往工作證明或有關交易紀錄結單，如不能提供有關證明將需要額外參加本公司的課程或完成測試。

Notice: Choosing option 1, 2 or 3 indicating you have acquired knowledge of derivative products, you are required to provide supporting documents such as training proof, previous working proof or relevant trading statement, if you failed to provide supporting would be required to attend our course or complete our test.

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.

I	<input type="checkbox"/> 監管機構 Regulatory Authority	<input type="checkbox"/> 交易所 Exchange	<input type="checkbox"/> 金融機構 Financial Institution	<input type="checkbox"/> 進修學院 Education Institution	<input type="checkbox"/> 大專院校 Tertiary Institution
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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.

I	<input type="checkbox"/> 受監管持牌人士 Regulated Licensed Person	<input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office	<input type="checkbox"/> 管理層 Management
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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.

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)

本人確認上述資料完全真實及完整。
 I hereby confirm that the above information provided is true 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 and supporting provided by client, the derivative knowledge of the client is classified as:

Signature checked by:	System Input by:	Reviewed by:
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衍生工具認識測試 Derivatives Knowledge Test



請以手機掃描此二維碼，詳閱本公司為你準備的衍生工具訓練文件，以加強你對衍生工具的認識。

Please scan the QR code with your mobile phone to read the training material in relation to derivatives we prepared for you, to enhance your derivatives knowledge.

以下哪一項是牛熊証的特點？

- 損失無上限
- 需追補按金
- 收回後一定沒有淨餘價值
- 有時間限制

沽出認購期權(short call) 及沽出認沽期權(short put)是否需要按金？

- 都需要按金
- 只有 short call
- 只有 short put
- 都不需要按金

哪一項有可能追補按金？

- 牛熊証
- 期貨合約
- 窩輪
- 全部不需要

投資認購權證(call 輪)時, 哪一項可能導至損失？

- 正股價格下跌
- 時間值損耗
- 引伸波幅下跌
- 以上皆是

相關資產(如“正股”)停牌會導至哪樣相關的衍生工具停牌？

- 牛熊証
- 全部停牌
- 窩輪
- 期權

以下哪項影響到牛熊証的價格？

- 相關資產價格
- 牛熊証行使價
- 牛熊証年期長短
- 以上皆是

Which of the following is a characteristic of CBBC?

- Unlimited losses
- Margin call exist
- No residual value in any situation after call back
- There is a time limit

Is margin deposit needed for short call and short put?

- Both require a deposit
- Only short call
- Only short put
- No deposit is required

Which of the followings may have margin call?

- CBBC
- Futures contracts
- Warrants
- None required

Which of the followings may result in a loss when investing in Call Warrants ?

- The price of the underlying stock falls
- Depreciation of time value
- Decline in implied volatility
- All of the above

What kind of derivatives will be suspended when the related underlying assets (e.g. the underlying stocks) are suspended?

- CBBC
- All will be suspended
- Warrants
- Option

What of the following affects the price of a CBBC?

- The price of the underlying asset
- Strike price of CBBC
- Duration of CBBC
- All of the above

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Score: /6

Checker name:

Checker date: