

Knowledge of Derivatives Assessment 對衍生工具的認識的評估

- A. *This form is designed to help KGI Asia Limited and KGI Futures (Hong Kong) Limited (collectively, "KGI" / "us" / "we") to understand your knowledge of derivatives and assess whether you are suitable for investing in the derivative products.*
本表格旨在協助凱基證券亞洲有限公司及凱基期貨(香港)有限公司(統稱「凱基」/「我們」)了解閣下對衍生工具的認識，並評估閣下是否適合投資於衍生產品。
- B. *For joint account, each of the persons who is going to place order or operate the joint account must complete this form respectively. The joint account will not be able to trade derivatives products if any one of the persons has not completed this form.*
如果此乃聯名帳戶，所有將會為此聯名帳戶下單或操作此聯名帳戶的持有人，均須各自完成此評估。若其中一位持有人尚未完成評估，該聯名帳戶將未能交易衍生產品。
- C. *For corporate account, depending on the firm type, investment process and management structure, this form shall be completed by the person(s) with whom the investment decisions of the Company rest.*
如果此乃公司帳戶，視乎公司類別、投資程序及管理架構，本問卷必須由負責為公司作出投資決定的個人填寫。

Submission 遞交方法

Please complete this form and return it to us by one of the following methods:

- Fax to Operations Department at (852) 2878-4932
- Email to ops.service@kqi.com
- Mail to Operations – Client Document and Data Management, KGI Asia Limited, 41/F Central Plaza, 18 Harbour Road, Wanchai, Hong Kong

請填妥本表格，並透過以下之任何一個方法交回給我們：

- 傳真至營運部：(852) 2878-4932
- 電郵至 ops.service@kqi.com
- 寄回至香港灣仔港灣道 18 號中環廣場 41 樓凱基證券亞洲有限公司「營運部 – 客戶資料管理部」

Part I – Assessment

第一部分 – 評估

1) Do you have knowledge of the nature and risks of derivatives?

閣下是否對衍生工具的性質及風險擁有相關的認識？

- No 否 → please go to Part II 請跳到「第二部分 – 就在交易所買賣的衍生產品所附帶的風險作出解釋」
- Yes 是 → please go to Question 2 請繼續回答問題 2

2) How did you acquire the knowledge of derivatives?

閣下如何獲得衍生工具的認識？

- I have executed five or more transactions in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Structured Products, etc. within the past three years.
(Please provide the relevant document as proof, e.g. Contract Notes, Statements, etc.)
本人於過去三年曾執行五次或以上衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、結構性產品等。
(請提供相關文件證明，例如：成交單據、戶口結單等等)

Trading Period 交易日期	Relevant Financial Institution(s) 相關金融機構	Product Type(s) 產品種類
From 從	To 至	

- I have current or previous work experience related to derivative products.
(Please provide the relevant information / document as proof, e.g. Licensed Persons Central Entity Number, name card, etc.)

本人於現時或過去擁有與衍生產品有關的工作經驗。
(請提供相關資料 / 文件證明，例如：持牌人中央編號名片等等)

Name of employer(s) 僱主名稱：	
Position 職位：	Years of experience 工作年期：
Job duties 工作職責：	

- I have attended training or courses or seminars on derivative products.
(Please provide the relevant document as proof, e.g. certificate etc.)

本人曾接受結構性或衍生產品的培訓或修讀相關課程。
(請提供相關文件證明，例如：證書等等)

Name of the courses / seminars 培訓或修讀課程的名稱：	
Date of attending the above courses / seminars 培訓或修讀以上課程的日期：	

If you could not provide the relevant document / information as proof, please read "General Knowledge on Derivative Products" carefully and complete "Derivatives Knowledge Questionnaire" to complete this assessment.

如果閣下未能提供相關文件 / 資料證明，請仔細閱讀「衍生產品基本常識」並填寫「衍生工具的認識問卷」以完成此評估。

Part II – Explanation of Risks Associated With Exchange – Traded Derivative Products
第二部分 – 就在交易所買賣的衍生產品所附帶的風險作出解釋

Please scan the QR code on the right to obtain the document entitled “Explanation of Risks Associated With Exchange – Traded Derivative Products” and read carefully. If you need a hardcopy, please obtain from our Licensed Representative.

請掃描右側二維碼獲取「就在交易所買賣的衍生產品所附帶的風險作出解釋」文件並仔細閱讀。如果閣下需要紙本文件，請向我們的持牌代表索取。



English version



中文版

Client Declaration 客戶聲明

- i. I hereby acknowledge and confirm that:
 本人謹此聲明及確認：
 - a. I have read and fully understood the document entitled “Explanation of Risk Associated with Exchange – Traded Derivatives Products” provided by KGI in a language of my choice (English or Chinese). I acknowledge that if I have any question in relation to such document, I should seek independent professional advice. I further acknowledge that such document may not cover all risks associated with such derivative products and I shall make my own assessment and ensures that I have sufficient net worth to assume the risks and bear the potential losses in respect of the derivative products I trade.
 本人已仔細閱讀及完全明白，由凱基提供，並以本人所選擇之語言（英文或中文）的「就在交易所買賣的衍生產品所附帶的風險作出解釋」。本人確認假若本人對該文件有任何疑問，本人應當尋求獨立專業意見。本人並且確認該文件不能披露投資衍生產品可能涉及的所有風險，與及本人須就投資這些產品作出本人自己的判斷，並確保本人擁有充分的淨資產以承擔風險及潛在的損失。
 - b. I am willing to accept the risk associated with exchange – traded derivative products.
 本人並願意承擔交易相關在交易所買賣的衍生產品所帶來的潛在風險。
- ii. If you answer to Part I Question 1 is “No”, or have not completed the assessment in Part I Question 2, we will characterize you as investor without knowledge of derivatives according to “Code of Conduct for Persons Licensed by or Registered with Securities and Futures Commission” Paragraph 5.1A – Know your client: investor characterization. We could only provide services in related to exchange – traded derivative products to you.
 如果閣下對第一部分問題 1 的回答為「否」，或未能完成第一部分問題 2 中的評估，我們將根據《證券及期貨事務監察委員會持牌人或註冊人行為守則》第 5.1A 段 — 認識你的客戶：投資者分類，將閣下分類為沒有衍生工具知識的投資者。我們只能為閣下提供在交易所買賣的衍生產品相關的服務。
- iii. If you answer to Part I Question 1 is “Yes”; and you have completed the assessment in Part I Question 2 with relevant document / information as proof provided, or completed “Derivative Knowledge Questionnaire”, we will characterize you as investor with knowledge of derivatives according to “Code of Conduct for Persons Licensed by or Registered with Securities and Futures Commission” Paragraph 5.1A – Know your client: investor characterization. We could provide services in related to all derivative products to you according to your circumstances.
 如果閣下對第一部分問題 1 的回答為「是」；並且閣下已完成第一部分問題 2 中的評估並提供相關文件 / 信息作為證明，或完成「衍生工具的認識問卷」，我們將根據《證券及期貨事務監察委員會持牌人或註冊人行為守則》第 5.1A 段 — 認識你的客戶：投資者分類，將閣下分類為有衍生工具知識的投資者。我們可根據閣下的情況為閣下提供所有衍生產品相關的服務。

Authorized Signature 簽署	
Signature 簽署	 S.V. <For joint client, please sign on additional form 若為聯名客戶，請簽署額外表格>
Print Name 姓名	
Date 日期	d/m/yyyy 日 / 月 / 年
Account No. 帳戶號碼	

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