第一上海證券有限公司
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衍生工具知識評估問卷
Derivatives Knowledge Assessment Questionnaire

客戶姓名/名稱 (中文)
Client's Name (Chinese) _____ ("客戶") ("the Client")

帳戶號碼
Account No. _____

客戶姓名/名稱 (英文)
Client's Name (English) _____

本問卷旨在評估客戶對衍生工具的認識。
The purpose of this questionnaire is to access the Client's knowledge of derivatives.

(1) 客戶有沒有衍生工具知識? Does the Client have Derivatives Knowledge? ☐ 有 Yes ☐ 沒有 No

(2) 如有，客戶如何獲得有關衍生工具知識? If yes, how did the Client acquire the relevant knowledge of derivatives?

- ☐ 客戶擁有曾買賣衍生產品的經驗，例如最少在過去3年內進行5次或以上任何種類的衍生產品交易。The Client has trading experience in any kinds of derivatives products, for example at least 5 transactions of any derivatives products in the past three years.
- ☐ 客戶曾接受有關衍生產品的培訓或修讀相關課程。The Client has undergone training or attended courses on derivatives products.
- ☐ 客戶擁有涉及衍生工具的工作經驗。The Client has working experience involved in derivatives.
- ☐ 其他 Others (請註明 please specify _____)

<u>客戶聲明 Client Declaration</u>

客戶確認已閱讀過及理解《客戶帳戶協議－條款及細則》中《風險披露聲明》的內容，而《風險披露聲明》乃根據客戶所選擇的語言(中文或英文)提供，並由第一上海持牌代表解釋其內容及客戶已獲得邀請細閱及進行提問，如客戶有此意願，可就《風險披露聲明》徵求獨立意見，與及客戶謹此同意受可不時被修改的協議書(包括其標準條款及細則及附表)約束。

The Client hereby declares that the client has read and understood the contents of the Risk Disclosure Statements in the Client Account Agreement - Terms and Conditions, which have been provided in the client's language of choice (English or Chinese) and explained by the licensed representative of First Shanghai; and that the client was invited to read the Risk Disclosure Statements, to ask questions and if the client wishes, to take independent advice and the client hereby agrees to be bound by the Agreement including the Terms and Conditions and relevant schedule(s) as the same may be amended from time to time.

_____ _____ dd(日) mm (月) yyyy(年)

客戶簽署/公司蓋章 Client Signature(s) / Business Chop　　日期 Date

本公司專用			
核實簽署	審核者	批核者	輸入者