

Assessment Questionnaire on Derivative Knowledge and Client Declaration

對衍生工具認識的評估問卷及客戶聲明

To: Tianda Securities Limited 致：天大証券有限公司

Client Name 客戶名稱：_____ Account No. 帳戶號碼：_____

Part 1: Questionnaire 第一部份：問卷

Please indicate whether you have knowledge of derivative products and if so, how you acquired the knowledge (Note: For joint account and corporate account, please complete the following questions to reflect the derivative knowledge of the person who operates the account or makes investment decision.).

請指出閣下是否對衍生工具具有認識。如有，請指出閣下如何獲得相關認識（注：就聯名帳戶及公司帳戶而言，請以發出指令或作出投資決定的人士對衍生工具的認識）。

I/We have acquired knowledge of derivative products:

本人/吾等從以下途徑獲得對衍生工具之認識：

I/we have executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

本人/吾等於過去三年曾執行五次或以上有關衍生工具之交易(不論是否於交易所進行交易)。

I have undergone relevant training or attended relevant courses on derivative products.

本人/吾等曾接受有關衍生工具的培訓或修讀相關課程。

I have current or previous work experience related to derivative products.

本人/吾等於現時或過去擁有與衍生工具有關的工作經驗。

Please state the derivative product(s) you have knowledge:

請提供您對下列哪些衍生工具有認識：

Derivative Warrants 衍生認股權證

Callable Bull/Bear Contracts (CBBC) 牛熊證

Exchange Traded Funds (ETF) 交易所買賣基金

Real Estate Investment Trusts (REIT) 房地產投資信託基金

Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品

Futures and Options 期貨或期權合約交易

Stock Options 股票期權

Others 其他：_____

I/We have NOT acquired knowledge of derivative products.

本人/吾等沒有衍生工具之認識。

Part 2: Client Declaration 第二部份：客戶聲明

1. I/We acknowledge and agree that Tianda Securities Limited does not provide me/us with any investment recommendation or advice regarding the suitability or profitability of any investment. I/We understand that this questionnaire and the results are for information purposes only and do not constitute investment advice or recommendation by Tianda Securities Limited of any kind.
本人/吾等承認並同意，天大証券有限公司並未就任何投資的合適性或盈利性向本人/吾等提供任何投資推薦或建議。本人/吾等理解，本問卷及結果僅供作參考之用，並不構成天大証券有限公司任何種類的投資建議或推薦。
2. I/We acknowledge and agree that this questionnaire and the results do not constitute any offer or solicitation to trade in any investment products.
本人/吾等承認並同意，本問卷及結果不構成對任何投資產品進行交易的任何要約或招徠。
3. I/We understand and agree that I /we am/are solely responsible for making my/our investment decisions based on my/our own independent judgment.
本人/吾等理解並同意，本人/吾等自行負責根據本人/吾等自身的獨立判斷作出本人/吾等的投資決定。
4. I/We agree that I/we will not hold Tianda Securities Limited liable for any loss or damage which I/we incur in connection with my/our investments and I/we am/are willing and able to assume the financial and other risks involved in my/our investments.
本人/吾等同意，本人/吾等不會要求天大証券有限公司負責本人/吾等投資所產生的任何損失或損害，本人/吾等願意並能夠承擔本人/吾等投資所涉及的金融及其他風險。
5. I/We acknowledge that I/we have read and understood this questionnaire. I/We confirm and warrant that the information contained in this questionnaire is true, accurate and complete, and undertake to promptly notify Tianda Securities Limited of any material changes affecting the information contained herein.
本人/吾等承認，本人/吾等已閱讀並理解本問卷。本人/吾等確認並保證，本問卷中的信息是真實無誤且完整的，並承諾及時將影響其中包含的信息的任何實質變更通知天大証券有限公司。
6. I/We understand that I/we may not be able to deal with certain derivative products if I/we do not have sufficient knowledge in such products.
本人/吾等明白如本人/吾等對衍生產品沒有足夠認識，本人/吾等可能未能買賣衍生產品。
7. I/We confirm that I/we have received, read and understood the “Risk Disclosure Statements for Exchange-Traded Derivative Products” in Appendix hereto. I/We acknowledge that the licensed representatives of Tianda Securities Limited have explained to me/us such risk disclosure statements. I/We also confirm that I/we have sufficient net worth to be able to assume the risks and bear the potential losses of trading in derivative products.
本人/吾等確認，本人/吾等已收到、閱讀並理解本問卷附件中的“在交易所買賣的衍生產品的風險披露聲明”。本人/吾等確認，天大証券有限公司的持牌代表已向本人/吾等解釋了該等風險披露聲明。本人/吾等還確認，本人/吾等有足夠的淨資產來承擔因買賣衍生產品而可能招致的風險和潛在損失。

(Individual/ Joint Account) (個人/聯名帳戶)

(Corporate Account) (公司帳戶)

(Signed by client)(Individual/ Joint Account Holder)

(客戶簽署)(個人/聯名帳戶持有人)

Name of Client 客戶姓名：

Date日期：

(Authorized Signatory and Company Chop)

(授權代表簽署及公司蓋章)

Name of Client 客戶姓名：

Date日期：