

FIRST SECURITIES (HK) LIMITED
第一證券(香港)有限公司

Client Characterization Questionnaire
客戶分類問卷

Account Name
 賬戶名稱： _____

Account Number
 賬戶號碼： _____

Client Characterization - Derivative Product 客戶分類- 衍生工具產品

For Individual/ Principal Client (Joint Account) and Corporate Client^ 個人/主要客戶(聯名帳戶)及公司客戶^適用						
Derivative Type 衍生工具種類	Investment Experience* 投資經驗*		Working Experience 工作經驗		Training Program# 培訓課程#	
	Inexperienced 無	Experienced 有	Inexperienced 無	Experienced 有	Inexperienced 無	Experienced 有
Exchange Traded Derivatives (e.g. ETF, Warrants, Stock Options, Futures & Options, Callable Bull/Bear Contracts) 交易所買賣衍生工具 (例如：交易所買賣基金、窩輪、股票期權、期貨及期權、牛熊證)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-Exchange Traded Derivatives (e.g. Hedge Funds, Structured Products) 非交易所買賣衍生工具 (例如：對沖基金、結構性產品)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

^ For corporate client, investment experience, working experience and training program refer to that of authorized person(s) to operate the corporate client's account. 就公司客戶而言，投資經驗、工作經驗及培訓課程指操作公司帳戶的被授權人的投資經驗、工作經驗及培訓課程。

For Joint Account Holder 聯名帳戶持有人適用						
Derivative Type 衍生工具種類	Investment Experience* 投資經驗*		Working Experience 工作經驗		Training Program# 培訓課程#	
	Inexperienced 無	Experienced 有	Inexperienced 無	Experienced 有	Inexperienced 無	Experienced 有
Exchange Traded Derivatives (e.g. ETF, Warrants, Stock Options, Futures & Options, Callable Bull/Bear Contracts) 交易所買賣衍生工具 (例如：交易所買賣基金、窩輪、股票期權、期貨及期權、牛熊證)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-Exchange Traded Derivatives (e.g. Hedge Funds, Structured Products) 非交易所買賣衍生工具 (例如：對沖基金、結構性產品)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note 注意事項

- * Client is considered as having investment experience in the event that he/she/it has executed 5 or more relevant derivative transactions within the past 3 years.
如客戶於過去3年內曾執行5次或以上有關任何衍生工具的交易將被視作有衍生工具投資經驗。
- # Training Program means those training program(s) provide(s) Client with general knowledge of derivative so as to assist him/her/it in understanding the nature and risk of derivative product.
培訓課程指在為客戶提供對衍生工具的一般知識，以協助其了解衍生工具產品的性質和風險。

Client's Declaration 客戶聲明

I/We further confirm and acknowledge that I/we have been advised by you in respect of the risks associated with the listed derivative/ structured products and over the counter derivative/ structured products and fully understand the nature and the risks thereof. I/We determine to make investment in the listed derivative/ structured products or over the counter derivative/ structured products and shall be personally liable to all loss and damages arising out of the investment in the same. I/We understand you accept no liability for any loss and damages suffered or sustained by me/us in relation to the investment in the relevant products.

我/吾等進一步確認及承認，貴司已向我/吾等解釋涉及交易所買賣的衍生/結構性產品及非交易所買賣的衍生/結構性產品的風險。我/吾等完全明白其性質及風險。我/吾等決定投資於交易所買賣的衍生/結構性產品或非交易所買賣的衍生/結構性產品，並自行承擔所有投資於上述產品的損失及損害。我/吾等明白，貴司對我/吾等投資有關產品而蒙受的任何損失及損害毋須承擔任何責任。

Client's Signature(s) and Company Chop (if any) 客戶簽署及公司圖章(如有)

Dated 日期： _____
 (DD/MM/YY) (日/月/年)

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Handled By	Approved By
Date	Date