

iTrade Securities Investment Limited ("iTrade Securities") is licensed (CE No. BHL021) under the Securities and Futures Ordinance (Chapter 571 of Laws of Hong Kong) to carry out the regulated activities in Hong Kong.

美信證券投資有限公司（美信證券）是根據證券及期貨條例（香港法例第 571 章）獲認可之持牌法團（中央編號：BHL021）於香港進行受規管活動。

Derivative Product Knowledge Questionnaire 衍生產品知識問卷

CLIENT DETAILS 客戶資料：	
Name of the Client: 客戶名稱：	(In English) 英文 (In Chinese) 中文
iTrade Sec Account No.: 美信證券賬戶號碼：	
Date of Completion : 完成日期：	

This questionnaire serves to help iTrade Securities Investment Limited understand your knowledge in derivatives and assess whether the chosen product is suitable for you.

衍生產品問卷幫助美信證券投資有限公司瞭解你對衍生工具的認識，並確認你是否能夠認購具有衍生工具的產品。

1. Do you read carefully and understand the features of and Risks associated with the derivative products as documented in the Account Agreement-Schedule 2-Explanation of Risks associated with Exchange-Traded Derivative Products? 你已經仔細閱讀及明白載於[帳戶協議-附表2-就在交易買賣的衍生產品所附帶的風險作出解釋]所述的衍生工具的特性及風險？	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
2. Which is/are common type(s) of derivative in the market? 哪一些項目為常見的衍生工具產品？	<input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Forwards 遠期合約 <input type="checkbox"/> Options 期權 <input type="checkbox"/> All of the above 上述各項皆是
3. What is/are the main function of derivatives in portfolio management? 在投資產品中，衍生工具的主要用途是什麼？	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Changing asset mix of investment portfolio 調配投資組合內的資產分配 <input type="checkbox"/> Income enhancement 提升收益 <input type="checkbox"/> All of the above 上述各項皆是
4. Which is/are the key Risk(s) of using derivatives? 哪一些項目是使用衍生工具涉及的主要風險？	<input type="checkbox"/> Market Risk 市場風險 <input type="checkbox"/> Liquidity Risk 流動性風險 <input type="checkbox"/> Counterparty credit Risk 交易對手信貸風險 <input type="checkbox"/> All of the above 上述各項皆是
5. Which will cause derivatives to magnify loss in adverse conditions? 哪一項會令衍生工具在市況欠佳時將損失增大？	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Leverage 槓桿 <input type="checkbox"/> Redemption/Switching 贖回轉換

I/We acknowledge and confirm that I/we have received and read the Personal Data Protection Statement attached to the Client Agreement entered into by me/us. I/We understand and agree that the information collected from me/us in this form together with any subsequent alterations or supplements to it can be used and/or transferred in accordance with any of the uses and purposes (including in relation to direct marketing) and/or to any of the transferees as fully described in the Personal Data Protection Statement and agreed by me/us pursuant to the Client Agreement.

本人／吾等進一步確認及確定，本人／吾等已明白及閱讀載於客戶資料中的個人資料保障聲明（不時作出修訂）。本人／吾等確認及同意從本人／吾等在本表格上收集的資料及日後之任何改動或補充，可根據個人資料保障聲明內的使用及目的（包括直接促銷）及／或轉交予受讓人的描述，而作使用及轉交。

Client Signature 客戶簽名:	Client Signature: (Joint Account Holder) 客戶簽名: (聯名帳戶持有人)
Client Name 客戶姓名:	Client Name 客戶姓名:
Date 日期:	Date 日期:
For Joint Account Only 聯名帳戶適用	<input type="checkbox"/> All written instruction of the account should be jointly signed by both account holders 所有帳戶書面指示須由兩位帳戶持有人同時簽署

FOR INTERNAL USE ONLY	
Name of Account Executive:	Responsible Officer:
Documents Checked by: Date:	Documents Approved by: Date:
Input by: Date:	Data Checked by: Date: