



衍生工具認識評估問卷  
Derivative Knowledge Assessment Questionnaire

戶口持有人姓名 Name of Account Holder(s) : (1) \_\_\_\_\_  
(2) \_\_\_\_\_

戶口號碼 Account No.: \_\_\_\_\_

本人/吾等從以下途徑已獲得對衍生產品之認識(請只選擇其中一項):  
I/We have acquired knowledge of derivative products (Please choose one of the options):

- 曾接受有關衍生產品的培訓或修讀相關課程  
undergone training or attended courses on derivatives products  
(請註明 Please specify: \_\_\_\_\_)
- 現時或過去與衍生產品有關的工作經驗  
current or previous work experience related to derivative products  
(請註明 Please specify: \_\_\_\_\_)
- 於過去兩年內已進行了五次或以上衍生產品之買賣(不論是否於交易所進行交易)  
executed 5 or more transactions in derivative product (whether traded on an exchange or not) within the past two years
- 本人/吾等並未有衍生產品之認識  
I/we have **NOT** acquired knowledge of derivative products.

客戶確認 Customer Acknowledgement:

為遵從適用法律及規管性之規定，上述關於此“衍生工具認識評估問卷”之資料必須真實及完整。本人/吾等明白元富證券(香港)有限公司將根據上述資料介定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持人或註冊人操守準則之有關要求。

The above information provided in connection with this “Derivative Knowledge Assessment Questionnaire” should be true and complete for compliance with applicable legal and regulatory requirements. I/we understand that MasterLink Securities (Hong Kong) Corporation Limited will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

同意並簽署如下# Agreed by the undersigned#:

(1) \_\_\_\_\_ (2) \_\_\_\_\_

日期 Date: \_\_\_\_\_

日期 Date: \_\_\_\_\_

#必須與之前提供本公司的授權簽署式樣相同 This should be the same as the specimen authorized signature(s) that you previously provided to us.

只供內部使用 For Office Use Only

Signature verified by:	Input by:	Checked by:
Date:	Date:	Date: