

## Knowledge of Derivatives 衍生產品的認識

To 致： Changjiang Securities Brokerage (HK) Limited  
 長江證券經紀(香港)有限公司

**Account Information 帳戶資料** Account Number 帳戶號碼： \_\_\_\_\_  
 Account Name 帳戶名稱： \_\_\_\_\_  
 Effective Date 生效日期： \_\_\_\_\_

**Instructions 指示：**

- Please fax or e-mail this form to the fax no. or e-mail address below. Requests made after the cut-off time (i.e. 16:30 HK time on a working day) or on a Saturday, Sunday and public holiday will be processed on the next working day. 請將本表格傳真至以下傳真號碼或電郵至以下電郵地址。如在截數時間(即香港工作天時間 16:30) 後或是在星期六、日及公眾假期遞交的客戶指示將於隨後的一個工作天辦理。
- Your request will normally be processed within 3 working days after our receipt of this form duly completed and signed. 本行一般於收到客戶已填妥並簽署的此申請表後三個工作天內處理客戶的申請。

**Fax 傳真： (852) 2823-0402 E-mail 電郵：[brokeragecs@cisc.com.hk](mailto:brokeragecs@cisc.com.hk)**

I/We have acquired knowledge of derivative products (Please choose one):

本人/吾等從以下途徑獲得對衍生產品之認識(請選擇一項)：

- By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions)  
 已接受有關介紹一般 生產品之性質及風險的培訓或課程(例如由學術機構或金融機構所提供之網上課程或教室課程)  
 Please specify 請註明 \_\_\_\_\_
- From my/our current or previous work experience related to derivative products  
 從本人/吾等現時或過去與衍生產品有關的工作經驗  
 Please specify 請註明 \_\_\_\_\_
- From my/our relevant trading experience i.e. I/we have executed five or more transactions in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, commodity structured product and Exchange Trade Fund etc. whether traded on an exchange or not) within the past three years 從本人/吾手相關之交易經驗，即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易(例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等、不論是否於交易所進行交易)
- I/We have NOT acquired knowledge of derivative products  
 本人/吾等沒有衍生產品之認識

**Declarations By Client 客戶聲明：**

I/we hereby confirm that the above information provided in relation to "Knowledge of Derivatives" is true and complete. I/we also understand that Changjiang Securities Brokerage (HK) 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.

本人/吾等確認上述有關“衍生產品的認識”之資料完全真實及完整，並明白安長江證券經紀(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牌人或註冊人操守準則之有關要求。

**Authorized Signature(s)**

客戶簽署

**X**

(All account holders of joint account must sign jointly. 所有聯名客戶必須簽名)

|      |                   |  |
|------|-------------------|--|
| S.V. | Signatory Name(s) |  |
|------|-------------------|--|

**For Office Use Only 本公司專用**

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| Handled By:<br>Name: | Data Input By:<br>Name: | Checked By :<br>Name: | Approved By :<br>Name: |
|----------------------|-------------------------|-----------------------|------------------------|