Investor Characterization Survey

投資者分類評估問卷

To: Celestial Securities Limited
致：時富證券有限公司

Please post your completed form to **Client Services Department, 22/F, Manhattan Place, 23 Wang Tai Road, Kowloon Bay, Hong Kong**, by fax to **(852) 2820 0900,** or by visiting the Services Centres of CASH Financial Services Group**.** Your request will be processed within 2 working days upon receipt of the duly completed form. For inquiries, please do not hesitate to contact us at **(852) 2663 8888**. 請將已填妥的表格郵寄至**香港九龍灣宏泰道 23 號 Manhattan Place 22 樓客戶服務部**、傳真至**(852) 2820 0900** 或交回時富金融服務集團各服務中心。本公司將在收到填妥的表格後兩個工作天內處理您的申請。如欲查詢，請致電**(852) 2663 8888** 與客戶服務部聯絡。

In order to enhance protection for you, the Securities and Futures Commission ("SFC") issues an "Investor Characterization" requirement to assess a client's knowledge of derivatives and to characterize the client based on such knowledge. In due course, client, who wishes to purchase derivative products traded on an exchange but without knowledge of derivatives, shall read and accept the contents of the relevant risks associated with the product to understand the nature and risks of the product prior to a transaction is entered into. Otherwise, the account will be suspended from trading the derivative products where the Company shall not be liable for any losses of potential gains from the restriction. Please answer the following questions and indicate your answer by checking the appropriate box.

為加強對　閣下的保障，證監會向中介人發出「投資者分類」規定，此規定旨在評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類。若　閣下沒有衍生工具知識，但有意認購在交易所買賣的衍生產品，　閣下需於進行交易前詳細閱讀及接受就該等產品所附帶的相關風險之全文，以了解該等產品之性質及風險。否則，　閣下將不得透過賬戶進行衍生產品買賣，而本公司無需就有關限制引起之任何潛在利潤之損失負責。現請回答以下問題，並在適當方格內加上✓號。

1. Have you ever undergone training or attended courses on derivative products with general knowledge of the nature and risks of derivatives?
   您／您們是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程？

   ☐ Yes 是　　☐ No 否

2. Are you currently or previously working in relation to derivative products?
   您／您們現時或過去是否從事與衍生產品有關的工作？

   ☐ Yes 是　　☐ No 否

3. Have you traded at least 5 transactions in any derivative product (whether traded on an exchange or not) within the past 3 years?
   您／您們是否在過去三年曾買賣過至少五次任何衍生產品的交易（不論是否在交易所買賣）？

   ☐ Yes 是　　☐ No 否

Client Declaration 客戶聲明

I/We confirm that the answers stated in this form are true and correct and I/we authorize the company to verify such information from any source the company may choose.
本人／吾等確認本人／吾等於表格所提供的答案均屬真實及正確。本人／吾等授權貴公司透過貴公司選擇的渠道核證該等資料。

I/We have been invited to read the risk disclosure statements of derivative products traded on an exchange in a language of my choice, ask questions and take independent advice if I/we wish.
本人／吾等已被邀請閱讀按照本人／吾等所選擇的語言提供之衍生工具的風險披露聲明之全文、提出問題及徵求獨立的意見（如本人／吾等有此意願）。

Client Signature(s) 客戶簽署	× Please use the signature(s) field with our company 請用留存本公司之印鑑式樣	Account No. 戶口號碼	
Client Name 客戶名稱		Date 日期	Day 日 / Month 月 / Year 年

For official use only 僅供職員填寫				
☐ Original ☐ Face to face	Phone verified by	Phone number	Date	Time
Handled by	Verified by	Approved by	Inputted by	Checked by