

## ASSESSMENT ON DERIVATIVES KNOWLEDGE

### 衍生工具知識評估

- 1 This form is designed to help Eddid Securities and Futures Limited (collectively, “EDDID” / “us” / “we”) to understand your knowledge of derivatives and assess whether you are suitable for investing in the derivative products.  
本表格旨在協助艾德證券期貨有限公司（統稱「艾德」／「我們」）了解閣下對衍生工具的知識，並評估閣下是否適合投資於衍生產品。
- 2 For joint account, each of the persons who is going to place order or operate the joint account must complete this form respectively. The joint account will not be able to trade derivatives products if any one of the persons has not completed this form.  
如果此乃聯名帳戶，所有將會為此聯名帳戶下單或操作此聯名帳戶的持有人，均須各自完成此評估。若其中一位持有人尚未完成評估，該聯名帳戶將未能交易衍生產品。
- 3 For corporate account, depending on the firm type, investment process and management structure, this form should be completed by the person(s) with whom the investment decisions of the Company rest.  
如果此乃公司帳戶，視乎公司類別、投資程序及管理架構，本問卷必須由負責為公司作出投資決定的個人填寫。

### PART I – ASSESSMENT

#### 第一部分 – 評估

- 1 Have you executed five or more transactions in derivatives products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Structured Products, etc. within the past three years??  
閣下是否曾於過去三年曾執行五次或以上衍生工具的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、結構性產品等？  
☐ No 否  
☐ Yes 是  
(Please provide the relevant document as proof, e.g. Contract Notes, Statements, etc.)  
(請提供相關文件證明，例如：成交單據、戶口結單等等)

Trading Period 交易時期	Relevant Financial Institution(s) 相關金融機構	Product Type(s) 產品種類

Have you ever obtained any work experience related to derivatives products?

閣下是否曾經取得衍生工具的工作經驗？

☐ No 否

☐ Yes 是

(Please provide the relevant information / document as proof, e.g. Licensed Persons Central Entity Number, name card, etc.)

(請提供相關資料／文件證明，例如：持牌人中央編號名片等等)

Name of employer(s) 僱主名稱			
Position 職位		Years of experience 工作年期	
Job duties 工作職責			

Have you ever attended any training, courses or seminars on derivatives products?

閣下是否曾經接受衍生工具的培訓或修讀相關課程？

☐ No 否

☐ Yes 是

(Please provide the relevant document as proof, e.g. certificate etc.)

(請提供相關文件證明，例如：證書等等)

Name of the courses / seminars 培訓或修讀課程的名稱	
Date of attending the above courses / seminars 培訓或修讀以上課程的日期	

If you could not provide the relevant documentation proof, please read “General Knowledge on Derivatives Products” carefully and fill-in “Part II - Derivatives Knowledge Questionnaire” to complete this assessment.

如果閣下未能提供相關證明文件，請仔細閱讀「衍生產品基本知識」並填寫「第二部分 - 衍生工具知識問卷」以完成此評估。

## Part II – DERIVATIVES KNOWLEDGE QUESTIONNAIRE

### 第二部分 – 衍生工具知識問卷

Please tick ☒ the appropriate box to select the best answer. 請在適當方格內填上 ☒ 號以選擇最適合的答案。

1	<p>Which of the following are not derivatives products?</p> <p>以下哪些不是衍生產品？</p> <p><input type="checkbox"/> Futures 期貨</p> <p><input type="checkbox"/> Warrants 權證</p> <p><input type="checkbox"/> CBBC 牛熊證</p> <p><input type="checkbox"/> Stocks 股票</p>
2	<p>What are the uses of derivatives?</p> <p>衍生產品的用途有哪些？</p> <p><input type="checkbox"/> Insuring against price movements (Hedging) 用於對沖</p> <p><input type="checkbox"/> Providing leverage on the movement of underlying asset 為標的資產的變動提供槓桿</p> <p><input type="checkbox"/> All of the above 以上皆是</p>
3	<p>Is it a must for investors to pay initial margin when they open a new futures position?</p> <p>投資者進場建定期貨合約部位時，必須繳納初始保證金嗎？</p> <p><input type="checkbox"/> Only when the investor open a long position 只在建立長倉時需要</p> <p><input type="checkbox"/> Only when the investor open a short position 只在建立短倉時需要</p> <p><input type="checkbox"/> Required no matter long or short 建立長倉或短倉時均需要</p> <p><input type="checkbox"/> Not required in any situation 任何時候都不需要</p>
4	<p>Which of the following factors will determine the price of an option?</p> <p>期權價格會受以下哪些因素影響？</p> <p><input type="checkbox"/> Expiration date of the option contract 期權合約的期限</p> <p><input type="checkbox"/> Volatility of the underlying assets 標的資產的波動性</p> <p><input type="checkbox"/> All of the above 以上皆是</p> <p><input type="checkbox"/> None of the above 以上皆不是</p>

5	<p>When the strike price of the call option contract is lower than the current price of the underlying asset, the option contract is considered to be</p> <p>當執行價格低於標的資產的當前價格時，認購期權是處於以下哪個狀態？</p> <p><input type="checkbox"/> In-the-money (ITM) 價內</p> <p><input type="checkbox"/> At-the-money (ATM) 等價</p> <p><input type="checkbox"/> Out-of-the-money (OTM) 價外</p>
6	<p>What is an Option Premium?</p> <p>期權金由哪些部份組成？</p> <p><input type="checkbox"/> Intrinsic Value 只有內在價值</p> <p><input type="checkbox"/> Time value 只有時間價值</p> <p><input type="checkbox"/> Both intrinsic value and time value 同時由內在價值和時間價值組成</p> <p><input type="checkbox"/> None of the above 以上皆不是</p>
7	<p>How will the time value of an option contract change when it draws near its expiration date?</p> <p>如果期權愈接近合約到期日，它的時間價值會有什麼變化？</p> <p><input type="checkbox"/> Increase 增加</p> <p><input type="checkbox"/> Decrease 減少</p>
8	<p>Which of the following derivative products have mandatory call risk?</p> <p>以下哪些衍生產品有收回機制？</p> <p><input type="checkbox"/> Futures 期貨</p> <p><input type="checkbox"/> Warrants 權證</p> <p><input type="checkbox"/> CBBC 牛熊證</p> <p><input type="checkbox"/> All of the above 以上皆是</p>
9	<p>Which of the following derivatives have expiration date?</p> <p>以下哪些衍生產品設有到期日？</p> <p><input type="checkbox"/> Futures 期貨</p> <p><input type="checkbox"/> Warrants 權證</p> <p><input type="checkbox"/> CBBC 牛熊證</p> <p><input type="checkbox"/> All of the above 以上皆是</p>
10	<p>Which of the following risks do warrants or CBBCs have?</p> <p>權證或牛熊證有以下哪些風險？</p> <p><input type="checkbox"/> Leverage risk 槓桿風險</p> <p><input type="checkbox"/> Credit risk 信貸風險</p> <p><input type="checkbox"/> Liquidity Risk 流通量風險</p> <p><input type="checkbox"/> All of the above 以上皆是</p>

**SECTION III – CLIENT CONFIRMATION AND DECLARATION**
**第三部分 – 客戶確認及聲明**
**CLIENT CONFIRMATION 客戶確認**

I/We hereby confirm that the above information provided is true and complete. I/We also understand that EDDID 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/吾等確認上述資料完全真實及完整，並明白艾德將根據上述資料評估本人/吾等是否擁有對衍生產品之知識，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。

I/We understand that the provision of information in this form is voluntary for the purpose of my/our derivative knowledge assessment. If I/we fail to provide the information, the current assessment will not be processed.

本人/吾等明白於本表格上提供資料為評估本人/吾等對衍生工具的知識是自願的。倘本人/吾等未能提供有關資料，是次之評估將不獲處理。

**CLIENT DECLARATION 客戶聲明**

I/We hereby acknowledge and confirm that:

本人/吾等謹此聲明及確認：

- a. I/We have read and fully understood the document entitled “Explanatory Note - Risk Associated with Exchange Traded Derivatives Products” provided by EDDID in a language of my choice (English or Chinese). I/We acknowledge that if I/we have any question in relation to such document, I/we should seek independent professional advice. I/We further acknowledge that such document may not cover all risks associated with such derivative products and I/we shall make my own assessment and ensures that I/we have sufficient net worth to assume the risks and bear the potential losses in respect of the derivative products I/we trade.

本人/吾等已仔細閱讀及完全明白，由艾德提供，並以本人/吾等所選擇之語言（英文或中文）的「交易所買賣衍生產品風險說明」。本人/吾等確認假若本人對該文件有任何疑問，本人/吾等應當尋求獨立專業意見。本人/吾等並且確認該文件不能披露投資衍生產品可能涉及的所有風險，與及本人/吾等須就投資這些產品作出本人自己的判斷，並確保本人/吾等擁有充分的淨資產以承擔風險及潛在的損失。

- b. I/We am/are willing to accept the risk associated with exchange-traded derivative products.

本人/吾等並願意承擔交易相關在交易所買賣的衍生產品所帶來的潛在風險。

Client Signature (with Company Chop for Corporate A/C)

客戶簽署 (如公司客戶，請蓋章) \*

Account No. 帳戶編號

Client's Name 客戶姓名

Date 日期

\*Please use the signature(s) on file with us. 請用留存本行記錄的簽署式樣

<b>For Internal Use Only:</b> 只供內部使用：		
Part I – Assessment 第一部分 – 評估		
Assessment Result 評估結果	<input type="checkbox"/> Have Derivatives Knowledge and provided relevant documentation proof 擁有衍生工具知識，並提供相關證明文件  <input type="checkbox"/> Unable to provide relevant documentation proof or Do Not Have Derivative Knowledge 未能提供相關證明文件或沒有衍生工具知識，需要填寫「第二部分 – 衍生工具知識問卷」	
Part II – Derivatives Knowledge Questionnaire 第二部分 – 衍生工具知識問卷		
Client is required to answer at least 7 multiple choice questions correctly in order to pass the assessment. 客戶必須正確回答至少 7 條多項選擇題才能通過評估。		
Client's Result 客戶答題結果： (     / 10)	<input type="checkbox"/> Passed 合格 <input type="checkbox"/> Failed 不合格	
<b>Final Assessment Result</b> <b>評估結果</b>	<input type="checkbox"/> Have Derivatives Knowledge, could provide services in relation to all derivative products 擁有衍生工具知識，可提供所有衍生產品相關的服務  <input type="checkbox"/> Do Not Have Derivative Knowledge 沒有衍生工具知識，只能提供在交易所買賣衍生產品相關的服務	
Signature of Account Executive / Salesperson / CS 客戶經理/銷售或客服人員簽署		CE No. 中央編號
Name of Account Executive / Salesperson / CS 客戶經理/銷售或客服人員姓名		Date 日期
Reviewed by Responsible Officer 負責人員審查		Date 日期
Signature Verified by 簽名核對人：	Data Inputted by 資料輸入人：	Data Checked by 資料核對人