



富國證券有限公司  
ASA Securities Limited

致：富國證券有限公司

地址：香港中環德輔道中 141 號中保集團大廈 18 樓 1803-10 室

電話：(852) 3971 3668

傳真：(852) 3971 3600

**證券衍生產品認識之確認書**

賬戶號碼：\_\_\_\_\_

客戶名稱：\_\_\_\_\_

本人/吾等確認本人/吾等對衍生產品**有認識**並符合以下條件：

曾接受有關衍生產品的培訓或修讀相關課程。(請列明課程名稱及主辦機構：\_\_\_\_\_ )

現時或過去有與衍生產品相關的工作經驗。

職位：\_\_\_\_\_ 工作年期：\_\_\_\_\_

公司名稱：\_\_\_\_\_

於過去三年內曾執行五次或以上買賣衍生產品的交易。

其他 (請註明：\_\_\_\_\_ )

本人/吾等清楚知悉買賣衍生產品的性質及風險，貴公司的持牌人/客戶經理替本人/吾等執行買賣衍生產品指令前，貴公司的持牌人/客戶經理無須向本人/吾等作出解釋。

\_\_\_\_\_

客戶簽署

\_\_\_\_\_

日期

(必須選擇上述其中一項條件方可生效)

本人/吾等確認本人/吾等對衍生產品**沒有認識**，現時亦無意認購或買賣任何交易所或非交易所之衍生產品

\_\_\_\_\_

客戶簽署

\_\_\_\_\_

日期



富國證券有限公司  
ASA Securities Limited

To: ASA Securities Limited

Address: Rm 1803-10, 18/F., China Insurance Group Building, 141 Des Voeux Road C, Hong Kong

Telephone: (852) 3971 3668

Fax: (852) 3971 3600

**Acknowledgment of Client's knowledge of Derivatives**

A/C No.: \_\_\_\_\_

Client Name: \_\_\_\_\_

I/We hereby confirm that I/We have knowledge of derivatives as I/we fulfill the following assessing criterion/criteria:-

I/We have undergone relevant training or attended relevant courses on derivative products. (Please provide the course name(s) and the course organizers: \_\_\_\_\_ )

I/We have current or previous work experience related to derivative products.

Position: \_\_\_\_\_ No. of years of experience: \_\_\_\_\_

Company Name: \_\_\_\_\_

I/We have executed five or more transactions in derivative products in the past three years.

Others (Please specific: \_\_\_\_\_ )

I/We fully understand the nature and risks of derivatives. No explanation in relation to derivatives is needed to be conducted by your Company/Account Executive before executing my/our orders regarding derivatives

\_\_\_\_\_  
Client's Signature

\_\_\_\_\_  
Date

(Please tick the appropriate box(es))

I/We hereby confirm that I/we are without knowledge of derivatives, and I/we do not intend to purchase any derivatives traded on the HKEx nor not traded on the HKEx at this moment.

\_\_\_\_\_  
Client's Signature

\_\_\_\_\_  
Date