



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 1803-07 室

電話：(852) 3971 3668

傳真：(852) 3971 3600

客戶對衍生產品認識之確認書

賬戶號碼：_____

客戶名稱：_____

第一部份：客戶對衍生產品之知識 (請在適當空格加上✓號)

1. 本人/吾等確認本人/吾等對衍生產品 有 認識 (如選擇此項請回答第二部份問題)

2. 本人/吾等確認本人/吾等對衍生產品 沒有 認識 (如選擇此項請直接到第三部份)

第二部份：客戶對衍生產品的認識途徑 (請在適當空格加上✓號)

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。

第三部份：客戶簽署



客戶簽署

日期



富國證券有限公司
ASA Securities Limited

To: ASA Securities Limited

Address: Rm 1803-07, 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: _____

PART I: CLIENT'S KNOWLEDGE ON DERIVATIVE PRODUCTS (please tick the appropriate box(es))


- I/We hereby confirm that I/We **HAVE** knowledge of derivatives as I/we fulfill the following assessing criterion/criteria
(Please go to part II)
- I/We hereby confirm that I/we are **DO NOT HAVE** knowledge of derivatives (Please go direct to part III)

PART II : APPROACH OF CLIENT'S KNOWLEDGE ON DERIVATIVE PRODUCTS (please tick the appropriate box(es))

- 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.

PART III : Client's Signature

<p>_____</p> <p>Client's Signature</p>	<p style="text-align: center;"></p> <p>_____</p> <p>Date</p>
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