



Customer Investor Characterization Form (For Individual)
客戶投資者分類表格(個人客戶)

Account Name 帳戶名稱:	Account Number 帳戶號碼:
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The customer is assessed as having (can choose more than 1 item):
客戶被評估為有(可選擇多項):

- undergone training or attended courses on derivative products¹
曾接受有關衍生產品的培訓或修讀相關課程¹
- current or previous work experience related to derivative products²
現時或過去與衍生產品有關的工作經驗²
- prior trading experience in derivative products³
曾買賣衍生產品的經驗³
- No understanding in derivative products
沒有衍生產品的相關認識

¹ The training or courses on derivative products may take different forms, for instance online or classroom courses offered by academic institutions or financial institutions, so long as they provide the customer with general knowledge of the nature and risks of derivatives.
有關衍生產品的培訓或課程可以採用不同的形式，例如可以是由學術或金融機構舉辦的網上或教室課程，祇要這些課程可為客戶提供有關衍生工具的性質和風險的一般知識。

² For current work experience, the customer has at least 1 year of relevant experience. For previous work experience, the customer has at least 1 year over past 3 years of relevant experience.
有關現時工作經驗，客戶有至少一年有關經驗。有關過去工作經驗，客戶在過去三年有至少一年有關經驗。

³ The customer has executed five or more transactions in any derivative product (whether traded on an exchange or not), within the past three years as from the date of this assessment.
客戶自此評估開始過去三年曾執行過五次或以上有關任何衍生產品(不論是否在交易所買賣)的交易。

Note Dealing in derivative products include but are not limited to the following: real estate investment trusts (REITs) / exchange traded funds (ETFs) / debt securities / real estate investment trusts (REITs), equity linked notes, currency linked notes/ investment contracts, structured notes, warrants, future contracts and option contracts and unit trusts/mutual funds other than exchange traded funds.

附註：買賣衍生產品包括(但不限於)以下產品：房地產投資信託基金及交易所買賣基金/債券、股票掛鈎票據、貨幣掛鈎票據/投資合約、結構性票據、認股權證、期貨合約及期權合約及交易所買賣基金以外的單位信託/互惠基金。

Customer's Declarations
客戶聲明

I hereby declare and confirm that an Investor Characterization was conducted on _____ (date/time) by your staff _____ (Name of staff) and accept and agree that the above Assessment Result is my Investor Characterization. I acknowledge receipt of a copy of this Customer Investor Characterization Form.

本人現聲明及確認於_____ (日期/時間)，貴公司職員_____ (職員姓名)為本人進行投資者分類，本人接受及同意以上為本人投資者分類的評估結果。本人已收訖此客戶投資者分類表格的副本。

I hereby declare and confirm that the above information relating to my knowledge of derivatives is true and correct.

本人現聲明及確認以上關於本人對衍生工具認識的資料均屬真實及正確。

Signature of Customer:

客戶簽署：

Date:

日期：

Assessment Result (after taking into account the above and the individual circumstances of the Corporate Customer):

評估結果(已考慮上述及客戶的個別因素)

Investor Characterization with knowledge of derivatives without knowledge of derivatives

投資者分類: 對衍生工具有認識 對衍生工具沒有認識

Internal Use Only 只供內部使用

文件於_____ (日期) _____ (時間) _____ (地點) 或以電話錄音(內線: _____) 完成。

錄音人員: