



Customer Investor Characterization Form (For Corporate)
客戶投資者分類表格(公司客戶)

Corporate Account Name: 公司帳戶名稱:	Corporate Account Number: 公司帳戶號碼:
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Assessment criteria
評估準則

Corporate type
公司類別

- Customer is a substantial company with a dedicated investment function.
客戶是一家設有專屬投資職能的大型公司
- Customer is a small private company where the investment decision rests with the owner or authorized representative.
客戶是由有關擁有人或獲授權代表作出投資決定的小型私人公司
- Other relevant information directly related to the Customer: _____
其他與客戶直接有關之相關資料: _____

Investment process and management structure
投資程序及管理架構

- investment decision which includes dealing with derivative products is made by the directors or authorized representative only.
只有董事或獲授權代表能作出投資決定(包括進行衍生產品交易)
- Customer is properly organized to have a specialized function or designated person responsible for making investment decision which includes dealing with derivative products.
客戶已作出妥善安排由特設職能或專責人員來負責作出投資決定
- Other relevant information directly related to the Customer: _____
其他與客戶直接有關之相關資料: _____

Past investment experience and knowledge in derivative products (can choose more than 1 item)
過往投資衍生產品的經驗及對衍生產品的認識(可選擇多項)

- Customer's specialized function or designated person, directors or authorized representative responsible for making investment decision has undergone training or attended courses on derivative products¹
客戶負責作出投資決定的特設職能或專責人員、董事或獲授權代表曾接受有關衍生產品的培訓或修讀相關課程¹
- Corporate Customer's specialized function or designated person responsible for making investment decision has current or previous work experience related to derivative products²
客戶負責作出投資決定的特設職能或專責人員、董事或獲授權代表現時或過去有從事與衍生產品有關的工作經驗²
- Customer has executed five or more transactions in any derivative product (whether traded on an exchange or not), within the past three years.
客戶在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

¹The training or courses 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.
有關培訓或課程可採用不同形式,例如可以由學術或金融機構舉辦的網上或教室課程,只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。

²For 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。



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:

(by authorized representative)

客戶簽署：

(獲授權代表)

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：