

Client Confirmation Form

客戶確認表單

Instructions 指示

Please complete this form and return it to us by one of the following methods:

請填寫本表單，並透過以下之任何一個方法交回給我們：

(a) Fax to our Customer Service Department at (852)2586-8412 傳真至客戶服務部: (852)2586-8412

(b) Email to cs.asia@sinopac.com 電郵至cs.asia@sinopac.com

(c) Mail to our Customer Service Department, SinoPac Securities (Asia) Limited, 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong 香港銅鑼灣新寧道一號利園三期七樓永豐金證券(亞洲)有限公司「客戶服務部」

To: SinoPac Securities (Asia) Limited 致：永豐金證券(亞洲)有限公司

Section 1: Criteria for Assessing a Client's Knowledge of Derivatives

第一部份 - 評估客戶對衍生工具的認識的條件

(For individual/joint account) I/We / (for corporate account) the authorised person(s)* of us has/have satisfied one or more of the following criteria (please select and complete the relevant field(s)):

(個人/聯名帳戶適用) 本人/吾等 / (公司帳戶適用) 本公司的獲授權人士* 已符合以下一個或多個條件 (請勾選並填寫相關欄位) :

Criterion 1 條件 1

(For individual/joint account) I/We have / (for corporate account) the authorised person(s) has/have executed five or more transactions in the following derivative products within the past three years:

(個人/聯名帳戶適用) 本人/吾等 / (公司帳戶適用) 獲授權人士於過去三年，曾執行五次或以上下述衍生產品的交易：

(Please Specify 請列明)

Criterion 2 條件 2

(For individual/joint account) I/We have / (for corporate account) the authorised person(s)* has/have current or previous work experience related to derivative products (please provide the details below).

(個人/聯名帳戶適用) 本人/吾等 / (公司帳戶適用) 獲授權人士*於現時或過去擁有與衍生產品有關的工作經驗 (請提供下列資料)。

Name of employer/previous employer 僱主/前僱主名稱: _____

Position 職稱: _____

No. of years of experience which relates to derivative products 與衍生產品有關工作經驗之年資: _____

Please briefly state how your / the authorised person(s)** work experience relates to derivative products 請簡述閣下/獲授權人士*的上述工作如何與衍生產品有關:

Criterion 3 條件 3

(For individual/joint account) I/We have / (for corporate account) the authorised person(s)* has/have undergone relevant training or attended relevant courses on derivative products (please provide the details below).

(個人/聯名帳戶適用) 本人/吾等 / (公司帳戶適用) 獲授權人士*曾接受有關衍生產品的培訓或修讀相關課程 (請提供下列資料)。

Name(s) of course or training and name of course or training provider 培訓或相關課程之名稱及提供培訓或相關課程之機構名稱: _____

Type(s) of derivative products relevant to the training or course 培訓或相關課程之有關投資產品種類: _____

Whether the training or course provides you / the authorised person(s)* with general knowledge of the nature and risks of derivative products 培訓或相關課程是否為閣下/獲授權人士*提供衍生工具的性質和風險的一般知識:

No 否 Yes 是

Section 2: Client Declaration 第二部份 – 客戶聲明

I/We hereby confirm that the above information is true, complete and correct. Based on the above-mentioned assessment and the relevant information and supporting documents provided (if any), (for individual/joint account) I/we / (for corporate account) the authorised person(s)* of us has/have the knowledge or experience on derivative products and I/we can transact derivative products.

本人/吾等/本公司確認上述資料屬真實、完整及為正確無誤。根據上述評估條件及所提供的相關資料及證明文件（如適用），（個人/聯名帳戶適用）本人/吾等 / （公司帳戶適用）本公司的獲授權人士*對投資衍生產品已有認識或經驗，本人/吾等/本公司可以買賣衍生產品。

I/We acknowledge that I/we have read and fully understood the document entitled “Additional Risk for Derivative Products Traded on Specified Stock Exchanges⁺” (as contained in SinoPac Securities (Asia) Limited Terms and Conditions) provided by SinoPac Securities (Asia) Limited in a language of my/our choice (English or Chinese). I/We am/are willing to accept the risks associated with trading derivative products.

本人/吾等/本公司謹此聲明本人/吾等/本公司確認已仔細閱讀及完全明白由永豐金證券(亞洲)有限公司提供的「指明證券交易所⁺買賣之衍生產品額外風險披露」（載於永豐金證券(亞洲)有限公司條款及條件內）。本人/吾等並願意承擔交易相關衍生產品所帶來的風險。

(1) For Individual / Joint Account 個人/聯名帳戶

Signature of Client

客戶簽署

Name 姓名：

Date 日期：

Signature of Client (for secondary joint account holder only)

客戶簽署(只適用第二聯名帳戶持有人)

Name 姓名：

Date 日期：

(2) For Corporate Account 公司帳戶

Signature of Director/Authorized Signature(s)
with Company Chop 董事或獲授權代表簽署並蓋章
Name and Title 姓名及職銜：

Date 日期：

Signature of Director/Authorized Signature(s)
with Company Chop 董事或獲授權代表簽署並蓋章
Name and Title 姓名及職銜：

Date 日期：

* The authorised person(s) shall be the person(s) authorised by your company to give any trading instructions to us on behalf of your company in our record.

獲授權人士為於永豐金證券(亞洲)有限公司紀錄中獲 貴公司授權代表 貴公司向永豐金證券(亞洲)有限公司下達交易指示之人士。

+ Specified Stock Exchanges shall have the same meaning as that defined in Securities and Futures Ordinance (Cap.571 of the Laws of Hong Kong).

指名證券交易所的定義等同於該詞於證券及期貨條例(香港法例第571章)所界定之定義。