

Delta Asia Securities Limited

客戶姓名 Name of Account Holder(s) : (1) _____ (2) _____

帳戶號碼 Account No.: _____

本人/吾等從以下途徑已獲得對衍生產品之認識(請選擇一項):

I/We have acquired knowledge of derivative products (Please choose one):

- 已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如由學術機構或金融機構所提供之網上課程或教室課程)
by undergoing training or attending course that provide general knowledge of the nature and risks of derivatives (e.g. relevant online or classroom courses offered by academic institution or financial institutions)

(請註明 Please specify : _____)

- 從本人/吾等以前與衍生產品有關之工作經驗
from my/our prior work experience related to derivative products

(請註明 Please specify : _____)

- 從本人/吾等相關之交易經驗，即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易)
from my/our relevant trading experience i.e. I/we have executed five or more transactions in derivative product (whether traded on an exchange or not) within the past three years

- 從本人/吾等**並未有**衍生產品之認識

I/we have **NOT** acquired knowledge of derivative products

本人/吾等確認上述資料完全真實及完整，並明白滙業證券有限公司將根據上述資料介定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人《操守準則》之有關規定。

I/we hereby confirm that the above information provided is true and complete. I/we also understand that Delta Asia Securities Limited will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

(1) _____

客戶簽署 Client's Signature

姓名 Name : _____

日期 Date : _____

(2) _____

客戶簽署 Client's Signature

姓名 Name : _____

日期 Date : _____

For Office Use	Signature checked by : _____	System Input by : _____	Approved by : _____
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