

Under the SFC Code of Conduct, we are required to assess your knowledge of derivative products and characterizing you as an investor with or without the knowledge of derivatives. For holders of joint accounts, each account holder that is anticipated to make investment decisions is required to complete this assessment.

**Personal Information**

Client Name:	Date:
--------------	-------

**Experience in Derivatives Investments**

Have you invested into any of the product(s) below for more than 5 times in the past 3 years?			
<input type="checkbox"/> No			
<input type="checkbox"/> Yes (please select more than one option if applicable)			
<input type="checkbox"/> Equity Linked Deposit / Note	<input type="checkbox"/> Credit Linked Deposit / Note	<input type="checkbox"/> Structured Deposit / Note	
<input type="checkbox"/> Currency Linked Deposit / Premium Deposit	<input type="checkbox"/> Index Future (e.g. Hang Seng Index Future)		
<input type="checkbox"/> Currency Forward (e.g. RMB Non Deliverable Forward (NDF))			
<input type="checkbox"/> SFC Authorised Fund which requires derivatives knowledge assessment			
<input type="checkbox"/> Warrant	<input type="checkbox"/> Stock Option	<input type="checkbox"/> Unauthorised Hedge Fund	<input type="checkbox"/> SFC Authorised Hedge Fund

**Work Experience in the Financial Industry**

Have you ever been a person licensed by the Securities and Futures Commission or a relevant individual registered with Hong Kong Monetary Authority?	
<input type="checkbox"/> No	<input type="checkbox"/> Yes

**Derivatives Knowledge acquired from training with assessment**

Have you ever obtained any financial qualification(s) or completed any training with assessment?	
<input type="checkbox"/> No	
<input type="checkbox"/> Yes (please select more than one option if applicable)	
<input type="checkbox"/>	Passed Licensing Examination for Securities and Futures Intermediaries Paper 9
<input type="checkbox"/>	Passed Chartered Financial Analyst (CFA) Examination - Level 1, 2 or 3
<input type="checkbox"/>	Passed Financial Risk Manager (FRM) Examination
<input type="checkbox"/>	Passed Chartered Alternative Investment Analyst (CAIA) Examination
<input type="checkbox"/>	Certified Financial Planner (CFP) - Investment Module
<input type="checkbox"/>	Assessment or examination on derivatives which you passed (please specify below):

**INVESTOR CHARACTERIZATION**

Based on the above assessment, we conclude that	
<input type="checkbox"/>	you are characterized as an investor WITH the knowledge of derivatives
<input type="checkbox"/>	you are characterized as an investor WITHOUT the knowledge of derivatives

Name of representative: \_\_\_\_\_