



衍生產品之認識 Knowledge of Derivative Products

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 courses that provide general knowledge of the nature and risks of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions).
- 本人/吾等以前曾有衍生產品之相關工作經驗
from my/our prior work experience related to derivative products
 - 1) 本人/吾等於金融機構(例如銀行、證券公司等)擁有相關工作經驗
I/we have prior relevant work experience in financial institution(s) (e.g. banks, securities companies, etc).
 - 2) 或其他相關工作經驗(請註明):
Or other relevant work experience (please specify): _____
- 本人/吾等曾有相關之交易經驗，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.
- 本人/吾等沒有衍生產品之認識
I/we have **NO** knowledge of derivative products.

本人/吾等確認上述資料完全真實及完整，並明白高富金融有限公司將根據上述資料評估本人/吾等是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要求。本人/吾等確認已獲高富金融有限公司清楚解釋買賣衍生產品可能帶來損失全部投資之風險，但本人/吾等仍然堅持冒此風險。

I/We hereby confirm that the above information provided is true and complete, I/we also understand that GT Capital 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. I/We confirm that GT Capital Limited has clearly explained the risks of derivative products trading may lead to total loss of the investments but I/we still insist to undertake such risks.

客戶簽名Client Signature(s)

客戶名稱Client Name: _____

證券帳號Account No.: _____

日期 Date: _____