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个人/联名投资取向问卷 Client Investment Profile Questionnaire (Individual/Joint)

姓名 Name:_____CHAN TAI MAN________________ 账户号码 Account No: ____________________________

本问卷旨在帮助我们确定和评估阁下的风险取向、投资经验和是否具备衍生工具知识。我们将会根据阁下所提供的资料，评估阁下是否了解个别投资产品的性质和风险。**联名账户的账户持有人只须合共填妥一份问卷，并对本问卷之所有问题的答案达成共识**。

This Questionnaire aims to help us establish and assess your risk profile, investment experience and knowledge of the derivatives. Based on the information provided, we can assess whether you/you all are knowledgeable about the characteristics and risk of relevant investment products. Joint account holders are required to submit only one questionnaire, on which each account holder agrees for the answer for each specific question.

重要事项: 阁下的风险取向是根据您/阁下在此问卷所有问题的答案整合得出，而非基于阁下就任何个别问题给予的答案(第 3 条除外)。在回答阁下的财务或投资资料的问题时，例如可投资资产金额或事务数据，阁下的答案应基于您/阁下在本行、其他证券行、银行及金融机构所持全部资产及交易，而不单限于本行持有资产及交易。Important notes: your risk profile is based on your overall responses to all questions respectively of this questionnaire (except for question 3), rather than your answer to any individual question. When answering questions about your financial or investment information such as the amount of investable assets, or transaction information, please refer to all of your holdings and transactions in our company, as well as, those in other securities firms and financial institutions, and not solely those in our company.

第一部分 Part 1：风险取向 Risk Profile

此部分收集 阁下之财务状况、投资态度及投资经验以评估阁下对风险的承受能力。请在适当的方格内加上(✓)并回答全部 13 条问题。This part collects information about you including your financial situation, investment attitude and investment experience in order to help you assess your risk tolerance level. Please check (√) the appropriate box and complete all 13 questions.

1	您的年龄是？/阁下当中年龄最大为多少岁？What is your age? /What is the age of the oldest person among the account holders?			
	☐	A	65 岁或以上 65 or above	(0)
	☐	B.	50-64 岁 50-64 years old	(1)
	☑	C	35 – 49 岁 35-49 years old	(2)
	☐	D	25 – 34 岁 25-34 years old	(3)
	☐	E	18 – 24 岁 18-24 years old	(4)
2	您/阁下现时有否供养家庭成员? 如有, 请问多少名家庭成员需要阁下供养? Do you have any dependable household members? If yes, how many?			
	☐	A.	4 名或以上Four or more	(0)
	☑	B.	3 名Three	(1)
	☐	C.	1 至 2 名One to Two	(2)
	☐	D.	没有No	(3)
3	投资产品价值下跌对阁下有何影响？How would a decline in the value of your investments affect you/you all?			
	☐	A.	我/我们只愿意接受损失本金的最低风险。我/我们明白回报波动性是低，以尽力减少本金亏损的可能性。(请注意投资涉及风险。若阁下选择此答案，则只能选择低风险产品。)I am willing to accept the lowest possibility of losing capital. I understand that the return volatility is expected to be low in order to minimize possibility of losing capital. . (Please note all investments involve risks. By choosing this answer you will only be suitable for Low Risk products.) （如答 A，请直接到第 5 题。If A, please go to Question 5.）	(0)
	☐	B.	我/我们愿意接受于投资期限内有轻微亏损，但对投资有中度至大幅亏损感到不安。I am/We are willing to accept some declines over the course of my/our investment horizon but I am/ We are not comfortable with moderate to extreme drops in the value of my/our investments.	(1)
	☐	C.	我/我们愿意接受于投资期限内有中度亏损，但会对投资有大幅亏损感到不安。I am/We are willing to accept moderate declines over the course of my/our investment horizon but I am/We are not comfortable with extreme drops in the value of my/our investments.	(2)
	☑	D.	我/我们愿意接受于投资期限内有大幅波动及投资价值亏损，以获得最高长期潜在回报。I am/We are willing to accept large fluctuations over the course of my/our investment horizon and take loss in the value of my/our investments in order to maximize my/our long term potential returns.	(3)
4	阁下愿意投资于波幅多大的投资产品？Which of the following potential fluctuations would you/you all generally be most comfortable with?			
	☐	A.	介乎–5%至+5%之间的波幅 Fluctuates between –5% and +5%	(1)
	☐	B.	介乎–10%至+10%之间的波幅 Fluctuates between –10% and +10%	(2)
	☐	C.	介乎–20%至+20%之间的波幅 Fluctuates between –20% and +20%	(3)
	☑	D.	介乎–20%以上至+20%以上之间的波幅 Fluctuates between > –20% and > +20%	(4)

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5	平均来说，您/阁下每月可动用的资金有多少？[可动用资金的定义：可动用资金指扣除税项、退休金供款及必需开支（例如按揭供款或租金、汽车 贷款、保险、食品、衣履、照顾儿童或长者和水、电、煤、差饷等开支）后剩余的金额（包括银行存款、工资、股息、花红等）] On average, what is your monthly available capital? [Definition of available capital: Available capital is the amount of capital (including bank deposit, wages, dividends, bonus, etc.) after taxes, pension contributions, and essential expenditures such as mortgage payment or rental, car loans, insurance, food, clothes, child or elderly care, utilities, etc.]			
	☐	A.	4,000 至 15,000 港元 HK$4,000 to HK$15,000	(1)
	☐	B.	15,001 至 30,000 港元 HK$15,001 to HK$30,000	(2)
	☐	C.	30,001 至 60,000 港元 HK$30,001 to HK$60,000	(3)
	☑	D.	超过 60,000 港元 Over HK$60,000	(4)
6	您/阁下是否依靠投资回报以应付您/阁下供养家庭成员的日常开支? Do you/you all rely on the investment return to support your Dependent's daily expenses?			
	☐	A.	是，超过 Yes, 20% Over 20%	(0)
	☐	B.	是，超过Yes, 10%至 20% Between > 10% and 20%	(1)
	☐	C.	是，超过Yes, 0%至 10% Between > 0% and 10%	(2)
	☑	D.	否 No	(3)
7	您/阁下可用作投资的金额占每月收入百分比为多少？ What is the percentage of monthly income available for investment?			
	☐	A.	0%至 10% Between 0% and 10%	(1)
	☐	B.	超过 10%至 25% Between > 10% and 25%	(2)
	☑	C.	超过 25%至 50% Between > 25% and 50%	(3)
	☐	D.	超过 50% Over 50%	(4)
8	您/阁下的储备金额大约可应付多少个月的基本家庭开支及满足额外的抵押要求？ How many months could your savings meet your basic family expenses and extra collateral requirements?			
	☐	A.	少于 3 个月 Less than 3 months	(1)
	☐	B.	3 个月至少于 6 个月 Between 3 months and < 6 months	(2)
	☐	C.	6 个月至少于 9 个月 Between 6 months and < 9 months	(3)
	☑	D.	9 个月或以上 9 months or above	(4)
9	买卖投资产品时，您/阁下可以接受的投资年期是多少? When trading in investment products, how long will your acceptable investment horizon be?			
	☐	A.	少 于 1 年 Less than 1 year	(0)
	☑	B.	1 年 至 5 年 Between 1 and 5 years	(1)
	☐	C.	5 年 至 10 年 Between 5 and 10 years	(2)
	☐	D.	超 过 10 年 Over 10 years	(3)
10	在过往一年，您/阁下曾执行过多少次交易？ In the past year, how many transactions did you/you all execute?			
	☐	A.	少于 10 次交易 Less than 10 transactions	(0)
	☑	B.	10 至 30 次交易Between 10 and 30 transactions	(1)
	☐	C.	31 至 50 次交易Between 31 and 50 transactions	(2)
	☐	D.	超过 50 次交易 Over 50 transactions	(3)
11	您/阁下对金融市场和投资的认识有多少？ What is your knowledge of financial markets and investments?			
	☐	A.	没有认识：我/我们对金融市场和投资完全没有任何认识。None: I /We have no knowledge of financial markets and Investments.	(0)
	☐	B.	低水平：我/我们对金融市场只有一些基本知识，例如股票和债券的分别。Low: I /We have only some basic knowledge of financial markets such as differences between stocks and bonds.	(1)
	☐	C.	中等水平：达基本知识以上的水平，明白分散投资的重要性，并作出分散投资（即把资金配置于不同类别的投资，以 分散风险）。Medium: I /We have above basic knowledge and understand the importance of diversification (i.e., I/We have my money in different types of investment to spread the risks).	(2)
	☑	D.	高水平：我/我们懂得阅读一家公司的财务报告（即损益表及资产负债表），并明白影响股票和债券价格的因素。 High: I/We know how to read a company's financial reports (i.e., profit and loss statements and balance sheet) and understand the factors affecting the prices of stocks and bonds.	(3)
	☐	E.	精通：我/我们熟悉大部分金融产品（包括债券、股票、认股权证、期权及期货），并明白可能影响这些金融产品的风险和表现的各项因素。Advanced: I am/We are familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand various factors that may affect the risk and performance of these financial products.	(4)

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结 果 Result

根据您/阁下对以上所有问题的回答，您/阁下的投资风险取向为：According to your answers to all questions above, the risk aptitude of you/you all is:

	分数 Score	投资风险取向分类 Risk Aptitude Classification	参考投资策略 Reference Investment Strategy
☐	4-13	低风险 Low Risk	您/阁下是一个保守型的投资者，而您/阁下的投资主要目的为保本，您/您们会偏向收取固定稳定回报。You/You all are a conservative investor with capital protection as your main objective. You prefer receiving fixed and stable returns.
☐	14-26	中风险 Medium Risk	您/阁下是一个能接受中风险的投资者，您/阁下的投资主要目的为寻求长期平稳增长。您/阁下愿意接受中度波动及风险以取得回报和资本增长。 You /You all are a moderate investor with the main objective as stable long term growth. To achieve income and capital growth, you/you all are willing to accept a moderate level of volatility and risk.
☑	27-39	高风险 High Risk	您/阁下是一个进取型的投资者，以追求最大回报为主要目标。您/阁下愿意接受极大波动以取得最高回报。You /You all are an aggressive investor with a primary aim to seek highest potential returns. To maximize your returns, You/You all are willing to accept extreme fluctuations.
☑	我/我们确认，上述投资风险取向分类和投资策略与我/我们的投资风险要求和投资目标相符。I/We hereby acknowledge that the above Risk Aptitude Classification and Investment Strategy are consistent with my/our investment risk requirements and investment objective.		
☐	上述投资风险取向分类和投资策略与我/我们的投资风险要求和投资目标不符，我/我们认为以下由我/我们自行选定以下风险取向更能反映我/我们的实际情况 (注：为保障阁下利益，风险调整只能下调：例如，若从上述结果得知风险取为中风险，阁下只能将结果调为低风险而非高风险)：The above Risk Aptitude Classification and Investment Strategy are not consistent with my/our investment risk requirement and investment objective. Therefore, I/We hereby choose the below Investment Strategy (Note: To safeguard your interest, the investment strategy can only be revised downward. For instance, if you are classified as Medium Risk from the above result, you will only be able to revise the result as Low Risk instead of High Risk) ☐ 低风险 Low Risk ☐ 中风险 Medium Risk 原因/Reason: ______________________________		

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13. Internal assessment on client's knowledge, expertise, financial profile investment experience, please answer the following questions (and state the relevant market(s) for each of the product(s) selected):

13. 以便本公司进行内部评估客户对投资之认识、专业知识、财务背景及投资经验，请回答下列问题(并同时在你选取的产品列出相关市场名称)：

Q1. Does client have experience dealing in the relevant markets?
阁下在相关市场上，有多少年之投资经验？

Q2. Does client have knowledge and expertise in the relevant product(s)?
阁下是否拥有对有关产品的认识和专业知识？

Q3. If client's answer to Q2 is yes, how does client acquire the knowledge and expertise in the relevant product?
如第二条答案为「是」，请问阁下如何获得有关产品的认识和专业知识？

(a) Client is currently working or have previously worked in the relevant financial sector for at least one year in a professional position that involves the relevant product
阁下现时或过去曾从事相关金融行业，并就有关产品任职至少 1 年

(b) Client has undergone training or studied courses which are related to the relevant product?
阁下曾接受有关衍生产品性质和风险的一般知识培训或修读相关课程

(c) Others (Please specify)
其他 (请列明):

Q4. Is the client aware of the risks involved in trading in the relevant product(s) and market(s)?
阁下是否对在相关市场进行交易所涉及的风险有所认知？

Table A – Listed of Developed and Emerging Markets
表格 A - 发达国家和新兴市场名单

Developed Markets 发达国家	**Emerging Markets 新兴市场**	
Australia 澳洲 Canada 加拿大 Eurozone 欧元区 Hong Kong 香港 Japan 日本 New Zealand 新西兰 Singapore 新加坡 United Stated 美国 United Kingdom 英国	China 中国 Brazil 巴西 India 印度 Indonesia 印度尼西亚 South Korea 南韩 Malaysia 马来西亚 Pakistan 巴基斯坦 Philippines 菲律宾 Russia 俄罗斯	Sri Lanka 斯里兰卡 Taiwan 台湾 Thailand 泰国 Vietnam 越南 Other (please specify) 其他 (请列明): ________________

Product 产品	Invested in the below Relevant Markets 曾参与投资的相关市场 (Developed / Emerging Markets: please refer to page 8 Table A) (发达国家/新兴市场; 见第 4 页表格 A)	Answer to Q 1-4 (refer to page 8) 回答 1 至 4 题 (参考第 8 页)	Whether the Client has related knowledge in regards to the investment (For internal Use Only) 客户有否相关投资知识 (只供内部填写)
☑ Equity Securities 股本证券	☑ Developed Markets 发达国家 ☑ Emerging Markets 新兴市场	Q1 Investment Experience 投资经验 ❑ 1-3 years 年 ☑ 5-10 years 年 ❑ 3-5 years 年 ❑ Overs 10 years 十年以上 Approx.no.of trade per year 每年平均交易次数 :_> 15 __________ Q2 ☑ Yes 有 ❑ No 没有 Q3 ❑ (a) ☑ (b) ❑ (c)__________ Q4 ❑ Yes 有 ❑ No 没有	YES / NO
❑ Futures and Options 期货及期货期权	❑ Developed Markets 发达国家 ❑ Emerging Markets 新兴市场	Q1 Investment Experience 投资经验 ❑ 1-3 years 年 ❑ 5-10 years 年 ❑ 3-5 years 年 ❑ Overs 10 years 十年以上 Approx.no.of trade per year 每年平均交易次数 :__________ Q2 ❑ Yes 有 ❑ No 没有 Q3 ❑ (a) ❑ (b) ❑ (c)__________ Q4 ❑ Yes 有 ❑ No 没有	YES / NO
❑ Warrants, CBBC and Stock Options 认股权证、牛熊证及股票期权	❑ Developed Markets 发达国家 ❑ Emerging Markets 新兴市场	Q1 Investment Experience 投资经验 ❑ 1-3 years 年 ❑ 5-10 years 年 ❑ 3-5 years 年 ❑ Overs 10 years 十年以上 Approx.no.of trade per year 每年平均交易次数 :__________ Q2 ❑ Yes 有 ❑ No 没有 Q3 ❑ (a) ❑ (b) ❑ (c)__________ Q4 ❑ Yes 有 ❑ No 没有	YES / NO
☑ Fixed Income Securities (e.g. Bonds, Convertible Bonds) 固定收益证券(如债券、转换债)	☑ Developed Markets 发达国家 ☑ Emerging Markets 新兴市场	Q1 Investment Experience 投资经验 ❑ 1-3 years 年 ☑ 5-10 years 年 ❑ 3-5 years 年 ❑ Overs 10 years 十年以上 Approx.no.of trade per year 每年平均交易次数 :____> 10 ______ Q2 ☑ Yes 有 ❑ No 没有 Q3 ❑ (a) ☑ (b) ❑ (c)__________ Q4 ☑ Yes 有 ❑ No 没有	YES / NO
❑ Mutual Fund/ Unit Trusts 互惠基金/单位信托	❑ Developed Markets 发达国家 ❑ Emerging Markets 新兴市场	Q1 Investment Experience 投资经验 ❑ 1-3 years 年 ❑ 5-10 years 年 ❑ 3-5 years 年 ❑ Overs 10 years 十年以上 Approx.no.of trade per year 每年平均交易次数 :__________ Q2 ❑ Yes 有 ❑ No 没有 Q3 ❑ (a) ❑ (b) ❑ (c)__________ Q4 ❑ Yes 有 ❑ No 没有	YES / NO

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❑ Structured Products (e.g. Equity Linked, Deposit/Note, Currency Linked Deposit) 结构性投资产品(股票挂钩存款 / 票据，货币挂钩存款等)	❑ Developed Markets 发达国家 ❑ Emerging Markets 新兴市场	Q1 Investment Experience 投资经验 ❑ 1-3 years 年 ❑ 5-10 years 年 ❑ 3-5 years 年 ❑ Overs 10 years 十年以上 Approx.no.of trade per year 每年平均交易次数 :__________ Q2 ❑ Yes 有 ❑ No 没有 Q3 ❑ (a) ❑ (b) ❑ (c)__________ Q4 ❑ Yes 有 ❑ No 没有	Yes / No
❑ other (please Specify) 其他 (请例明)	❑ Developed Markets 发达国家 ❑ Emerging Markets 新兴市场	Q1 Investment Experience 投资经验 ❑ 1-3 years 年 ❑ 5-10 years 年 ❑ 3-5 years 年 ❑ Overs 10 years 十年以上 Approx.no.of trade per year 每年平均交易次数 :__________ Q2 ❑ Yes 有 ❑ No 没有 Q3 ❑ (a) ❑ (b) ❑ (c)__________ Q4 ❑ Yes 有 ❑ No 没有	Yes / No

Your financial profile and education background
阁下的财务及学历背景

Estimated Annual Income (HK$) 估计年薪(港元)	**Approximate Net Asset Value (HK$)(Total Asset - Total Liabilities)** 大约净资产（港元）(总资产 – 总负债)
❑ Under HK$500,000 以下 ❑ HK$500,000 - HK$800,000 ❑ HK$800,001 - HK$1,000,000 ❑ HK$1,000,001 - HK$1,500,000 ☑ Above HK$1,500,000 以上 ❑ Other Income Source 其他收入来源: ______________________	❑ Under HK$500,000 以下 ❑ HK$500,000 - HK$3,000,000 ❑ HK$3,000,001 - HK$5,000,000 ❑ HK$5,000,001 - HK$30,000,000 ❑ Above HK$30,000,000 以上
Educational Background 教育程度： ❑ Primary School 小学 ❑ Secondary School 中学 ☑ University or above 大学或以上 ❑ Others 其他：__________	

Total asset
总资产：_____HKD 5,000,000 (只作参考, 请按个人情况填写)____

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第二部分 Part 2：衍生工具知识评估 Assessment on Knowledge of Derivatives

此部分旨在协助评估/阁下是否具备衍生工具知识。本公司将根据您/阁下所提供资料，评估阁下是否了解衍生产品的性质和风险。请回答以下问题并在最符合阁下的陈述的方格加上(✓)号。This part assesses whether you/you all have knowledge of derivatives. Based on the information provided below, we will assess whether you/you all understand the nature and risks of derivative products. Please complete the each question and check the box that best describes you/you all.

1 阁下对金融衍生工具的认知？What is your knowledge of financial derivatives?

- ☑ 没有：我/我们不具备金融衍生工具的知识，亦没有兴趣了解这方面的知识。None: I/ We have no knowledge of financial derivatives and have no interest in understanding them.
- ☐ 少许认知：我/我们只具备金融衍生工具的一些基本知识，例如传统投资工具如股票等与衍生工具属于不同类型资产。Low: I /We have only some basic knowledge of financial derivatives such as differences between traditional investment products like stocks and derivatives as different asset classes.
- ☐ 中等认知：我/我们具备基本以上的知识及明白金融衍生工具的价值可因应相关资产的价值而波动及其升跌幅度可大于传统投资工具。我/我们懂得如何阅读金融衍生工具合约或销售文件的条款及细则及明白影响金融衍生工具价格的一般因素。Medium: I /We have above basic knowledge and understand that the value of financial derivatives can fluctuate following that of the underlying assets and hence its performance can vary to a larger extent than traditional investment products in both directions. I /We know how to read terms and conditions for a financial derivative contract or offering documents and understand the factors affecting the prices of financial derivatives in general.
- ☐ 非常认知：我/我们熟悉大部分金融衍生工具及在过往多年经常买卖金融衍生工具。Advanced： I am/We are familiar with most financial derivatives and have been a frequent trader in financial derivatives for many years.

2 阁下对以下金融衍生工具的投资经验（可选择多于一项）？ What is the investment experience(s) that you/you all have for the following types of financial derivatives (You can check more than one box)?

- ☐ 香港或海外上市的金融衍生工具（如期货合约、商品合约、期权及认股权证等）Listed financial derivatives in Hong Kong or overseas exchanges (e.g. futures contracts, commodity contracts, options and warrants, etc.)
- ☐ 场外结构性产品或金融衍生工具（如结构性 / 可换股债券、信贷挂钩票据、商品挂钩票据及股票挂钩票据等）OTC structured products or financial derivatives (e.g. structured/convertible bonds, credit-linked, commodity-linked and equity-linked notes, etc.)
- ☐ 对冲基金或广泛地投资于金融衍生工具以达到投资目的的基金 Hedge funds or funds employing financial derivatives extensively for investment purpose
- ☐ 其他 Others（请注明 please specify）:____________________
- ☑ 没有 None（如答没有，请直接到第 4 题。If None, please go to Question 4.）

3 阁下有否在过去 3 年间就问题 2 所述产品（不论是否于交易所买卖）执行 5 项或以上交易？Have you/ you all executed five or more transactions in relation to those products (whether traded on exchange or not) as stated in Question 2 within the past three years?

- ☐ 有;请注明 Yes; please specify:

  金融机构名称 Name of financial institution ____及 and
  总 交 易 金 额 total transaction amount: ______________________________
- ☐ 没 有 No

4 阁下有否曾经接受及 / 或参加由学术机构或金融机构所提供有关上述衍生工具及 / 或结构性产品的在线或面授形式培训及 / 或课程，而阁下亦完全了解这类投资产品的性质和风险？Have you/you all undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on the aforesaid derivatives and/or structured products and that you/you all are fully aware of the nature and risks of this kind of investment products?

- ☐ 有，我/我们已透过贵公司网站有关债券、场内及场外衍生工具之培训短片了解相关产品的性质和风险 Yes, I/We have learned about the nature and risks of related products through training videos on bonds, exchange traded derivatives and OTC derivatives on your company website. 。
  日期Date: ______________________
- ☐ 有，有关培训及 / 或课程由以下提供机构提供 Yes, the training / course is offered by the following institution:机构名称 Institution name :____________________及 课 程 名 称 Course name: ____________________
  日期Date: ______________________
- ☑ 没 有 No

5 阁下有否拥有 1 年以上有关上述衍生工具及 / 或结构性产品的工作经验？Do you/you all possess more than 1 year work experience related to the aforesaid derivatives and/or structured products?

- ☐ 有；请注明Yes; please specify:
  公司名称 Company name：______________________ 部门名称 Department name：______________
  工作性质 Job nature：______________________及任职年期 and Period of employment：由 from Year ______________年 至 to Year ______________年
- ☑ 没 有 No

评估结果 Assessment Result

- ☐ 具备金融衍生工具的知识（问题1 达到「中等或以上水平」及问题3、4 或5 至少有一条的答案是「有」）。With knowledge of financial derivatives (“medium or above level” as indicated in Question 1 and at least one “yes” indicated in Question 3, 4 or 5).
- ☑ 不具备金融衍生工具的知识。Without knowledge of financial derivatives.

立鼎證券
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客户声明 Declaration by Client

1 本人/吾等确认在本问卷提供的数据在提供当下是真确、正确和准确。如上述资料有任何变动，本人/吾等承诺知会立鼎证券有限公司（「立鼎证券」）。I/We hereby confirm that the information provided in questionnaire is true, correct and accurate as of the moment of provision. I/We undertake to keep relevant subsidiaries of LEADING Securities Company Limited (“LEADING”) informed of any changes in the above-mentioned information.

2 本人/吾等明白如问卷内填写的内容不实，立鼎证券将不能评估所要求服务是否适合本人/吾等。I/We understand that LEADING will be unable to assess the suitability of the requested service to my/our interest if the information provided in the questionnaire by me is incorrect.

3 本人/吾等确认收到、填妥并签署本问卷。I /We acknowledge the receipt of a copy of this questionnaire and I / We have duly completed and signed the same.

4 本人/吾等声明本人/吾等已收取及阅读《衍生产品特点及风险披露》并明白衍生工具及结构性产品交易涉及高投资风险，而立鼎证券员工已向本人/吾等提出有关投资衍生工具及 / 或结构性产品的警告。I /We hereby declare that I /We have received and read the “Derivative Products Features and Risk Disclosures” and understand that the investment risks associated with derivatives and structured products are HIGH. Moreover, the staff of LEADING has cautioned me/us about investing in derivatives and/or structured products.

客户签署 Client Signature ______________________ 日 期 Date ______________________

持牌人声明 Declaration by Licensed Person

本人已按照客户所选择语言（中文或英文）向客户提供《衍生产品特点及风险披露》并已就有关衍生产品交易向客户提出警告。此外本人亦已邀 请客户细阅该风险披露声明、提问及寻求独立意见（如客户有此意愿）。I have provided the “Derivative Products Features and Risk Disclosures” to the Client in a language of his/her/their choice (English or Chinese) and have cautioned the Client about the derivative products transaction. I have also invited the Client to read the Risk Disclosure Statement carefully, raise questions and seek independent advice if he/she/they wish(es).

持牌人签署 Signature of Licensed Person ______________________

日 期 Date ______________________

☐ 面 谈 Face to Face

☐ 电 话 By Phone

（内线 Extension: ________时间 Time:________）

持牌人姓名 Name of Licensed Person ______________________ 中央编号 CE No ______________________

责任声明 Disclaimer

本问卷结果乃根据阁下所提供的资料制定，并仅供您/阁下作为个人投资决定的参考。本问卷内容及结果并非任何金融产品及服务的销售要约或购买邀请，亦不应视作投资建议。立鼎证券对上述有关资料的准确性或完整性并不负责或承担任何责任。立鼎证券确保本问卷内的个人资料将予保密。阁下提供的资料只会在保密的情况下，按我/我们已交付阁下的有关开户文件资料内随附的私隐政策所载，供立鼎证券使用。The results of this questionnaire are derived from the information that you/you all have provided to us, and are for your reference only when making your own investment decisions. This questionnaire and the results are neither an offer to sell nor a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. LEADING accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in this questionnaire will be kept confidential by LEADING. The information may be used by LEADING under a duty of confidentiality to LEADING, for the purposes setout in our Data Privacy Policy that has been delivered to you with the relevant account opening documents.