立鼎證券
LEADING SECURITIES CO. LTD

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個人/聯名投資取向問卷 Client Investment Profile Questionnaire (Individual/Joint)

姓名 Name:________________________________ 賬戶號碼 Account No: _________________________

本問卷旨在幫助我們確定和評估閣下的風險取向、投資經驗和是否具備衍生工具知識。我們將會根據閣下所提供的資料，評估閣下是否了解個別投資產品的性質和風險。**聯名賬戶的賬戶持有人只須合共填妥一份問卷，並對本問卷之所有問題的答案達成共識**。

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.**

重要事項: 閣下的風險取向是根據您/閣下在此問卷所有問題的答案整合得出，而非基於閣下就任何個別問題給予的答案(第 3 條除外)。在回答閣下的財務或投資資料的問題時，例如可投資資產金額或交易資料，閣下的答案應基於您/閣下在本行、其他證券行、銀行及金融機構所持全部資產及交易，而不單限於本行持有資產及交易。

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：風險取向 Risk Profile

此部分收集 閣下之財務狀況、投資態度及投資經驗以評估閣下對風險的承受能力。請在適當的方格內加上(✓)並回答全部 13 條問題。
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	您的年齡是？/閣下當中年齡最大為多少歲？What is your age? /What is the age of the oldest person among the account holders?			
	☐	A	65 歲或以上 65 or above	(0)
	☐	B.	50-64 歲 50-64 years old	(1)
	☐	C	35 – 49 歲 35-49 years old	(2)
	☐	D	25 – 34 歲 25-34 years old	(3)
	☐	E	18 – 24 歲 18-24 years old	(4)
2	您/閣下現時有否供養家庭成員? 如有, 請問多少名家庭成員需要閣下供養? 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.	沒有No	(3)
3	投資產品價值下跌對閣下有何影響？How would a decline in the value of your investments affect you/you all?			
	☐	A.	我/我們只願意接受損失本金的最低風險。我/我們明白回報波動性是低，以盡力減少本金虧損的可能性。(請注意投資涉及風險。若閣下選擇此答案，則只能選擇低風險產品。)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，請直接到第 5 題。If A, please go to Question 5.）	(0)
	☐	B.	我/我們願意接受於投資期限內有輕微虧損，但對投資有中度至大幅虧損感到不安。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/我們願意接受於投資期限內有中度虧損，但會對投資有大幅虧損感到不安。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/我們願意接受於投資期限內有大幅波動及投資價值虧損，以獲得最高長期潛在回報。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	閣下願意投資於波幅多大的投資產品？Which of the following potential fluctuations would you/you all generally be most comfortable with?			
	☐	A.	介乎–5%至+5%之間的波幅 Fluctuates between –5% and +5%	(1)
	☐	B.	介乎–10%至+10%之間的波幅 Fluctuates between –10% and +10%	(2)
	☐	C.	介乎–20%至+20%之間的波幅 Fluctuates between –20% and +20%	(3)
	☐	D.	介乎–20%以上至+20%以上之間的波幅 Fluctuates between > –20% and > +20%	(4)

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5	平均來說，您/閣下每月可動用的資金有多少？[可動用資金的定義：可動用資金指扣除稅項、退休金供款及必需開支（例如按揭供款或租金、汽車貸款、保險、食品、衣履、照顧兒童或長者和水、電、煤、差餉等開支）後剩餘的金額（包括銀行存款、工資、股息、花紅等）] 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.	超過 60,000 港元 Over HK$60,000	(4)
6	您/閣下是否依靠投資回報以應付您/閣下供養家庭成員的日常開支? Do you/you all rely on the investment return to support your Dependent's daily expenses?			
	☐	A.	是，超過 Yes, 20% Over 20%	(0)
	☐	B.	是，超過Yes, 10%至 20% Between > 10% and 20%	(1)
	☐	C.	是，超過Yes, 0%至 10% Between > 0% and 10%	(2)
	☐	D.	否 No	(3)
7	您/閣下可用作投資的金額佔每月收入百分比為多少？What is the percentage of monthly income available for investment?			
	☐	A.	0%至 10% Between 0% and 10%	(1)
	☐	B.	超過 10%至 25% Between > 10% and 25%	(2)
	☐	C.	超過 25%至 50% Between > 25% and 50%	(3)
	☐	D.	超過 50% Over 50%	(4)
8	您/閣下的儲備金額大約可應付多少個月的基本家庭開支及滿足額外的抵押要求？ How many months could your savings meet your basic family expenses and extra collateral requirements?			
	☐	A.	少於 3 個月 Less than 3 months	(1)
	☐	B.	3 個月至少於 6 個月 Between 3 months and < 6 months	(2)
	☐	C.	6 個月至少於 9 個月 Between 6 months and < 9 months	(3)
	☐	D.	9 個月或以上 9 months or above	(4)
9	買賣投資產品時，您/閣下可以接受的投資年期是多少? When trading in investment products, how long will your acceptable investment horizon be?			
	☐	A.	少 於 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 過 10 年 Over 10 years	(3)
10	在過往一年，您/閣下曾執行過多少次交易？In the past year, how many transactions did you/you all execute?			
	☐	A.	少於 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.	超過 50 次交易 Over 50 transactions	(3)
11	您/閣下對金融市場和投資的認識有多少？What is your knowledge of financial markets and investments?			
	☐	A.	沒有認識：我/我們對金融市場和投資完全沒有任何認識。None: I /We have no knowledge of financial markets and Investments.	(0)
	☐	B.	低水平：我/我們對金融市場只有一些基本知識，例如股票和債券的分別。Low: I /We have only some basic knowledge of financial markets such as differences between stocks and bonds.	(1)
	☐	C.	中等水平：達基本知識以上的水平，明白分散投資的重要性，並作出分散投資（即把資金配置於不同類別的投資，以 分散風險）。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/我們懂得閱讀一家公司的財務報告（即損益表及資產負債表），並明白影響股票和債券價格的因素。 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/我們熟悉大部分金融產品（包括債券、股票、認股權證、期權及期貨），並明白可能影響這些金融產品的風險和表現的各項因素。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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結果 Result

根據您/閣下對以上所有問題的回答，您/閣下的投資風險取向為：According to your answers to all questions above, the risk aptitude of you/you all is:

	分數 Score	投資風險取向分類 Risk Aptitude Classification	參考投資策略 Reference Investment Strategy
☐	4-13	低風險 Low Risk	您/閣下是一個保守型的投資者，而您/閣下的投資主要目的為保本，您/您們會偏向收取固定穩定回報。You/You all are a conservative investor with capital protection as your main objective. You prefer receiving fixed and stable returns.
☐	14-26	中風險 Medium Risk	您/閣下是一個能接受中風險的投資者，您/閣下的投資主要目的為尋求長期平穩增長。您/閣下願意接受中度波動及風險以取得回報和資本增長。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	高風險 High Risk	您/閣下是一個進取型的投資者，以追求最大回報為主要目標。您/閣下願意接受極大波動以取得最高回報。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/我們確認，上述投資風險取向分類和投資策略與我/我們的投資風險要求和投資目標相符。I/We hereby acknowledge that the above Risk Aptitude Classification and Investment Strategy are consistent with my/our investment risk requirements and investment objective.		
☐	上述投資風險取向分類和投資策略與我/我們的投資風險要求和投資目標不符，我/我們認為以下由我/我們自行選定以下風險取向更能反映我/我們的實際情況 (註：為保障閣下利益，風險調整只能下調：例如，若從上述結果得知風險取為中風險，閣下只能將結果調為低風險而非高風險)：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) ☐ 低風險 Low Risk ☐ 中風險 Medium Risk 原因/Reason: ______________________________		

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12. 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):
12. 以便本公司進行內部評估客戶對投資之認識、專業知識、財務背景及投資經驗，請回答下列問題（並同時在你選取的產品列出相關市場名稱）：

Q1. Does client have experience dealing in the relevant markets?
閣下在相關市場上，有多少年之投資經驗？

Q2. Does client have knowledge and expertise in the relevant product(s)?
閣下是否擁有對有關產品的認識和專業知識？

Q3. If client's answer to Q2 is yes, how does client acquire the knowledge and expertise in the relevant product?
如第二條答案為「是」，請問閣下如何獲得有關產品的認識和專業知識？

(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
閣下現時或過去曾從事相關金融行業，並就有關產品任職至少 1 年

(b) Client has undergone training or studied courses which are related to the relevant product?
閣下曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程

(c) Others (Please specify)
其他 (請列明):

Q4. Is the client aware of the risks involved in trading in the relevant product(s) and market(s)?
閣下是否對在相關市場進行交易所涉及的風險有所認知？

Table A – Listed of Developed and Emerging Markets
表格 A - 發達 國家 和新興市場名單

Developed Markets 發達國家	**Emerging Markets 新興市場**	
Australia 澳洲	China 中國	Sri Lanka 斯里蘭卡
Canada 加拿大	Brazil 巴西	Taiwan 臺灣
Eurozone 歐元區	India 印度	Thailand 泰國
Hong Kong 香港	Indonesia 印尼	Vietnam 越南
Japan 日本	South Korea 南韓	Other (please specify) 其他 (請列明):
New Zealand 紐西蘭	Malaysia 馬來西亞	________________
Singapore 新加坡	Pakistan 巴基斯坦	
United Stated 美國	Philippines 菲律賓	
United Kingdom 英國	Russia 俄羅斯	

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Product 產品	Invested in the below Relevant Markets 曾參與投資的相關市場 (Developed / Emerging Markets: please refer to page 8 Table A) (發達國家/新興市場; 見第 4 頁表格 A)	Answer to Q 1-4 (refer to page 4) 回答 1 至 4 題 (參考第 4 頁)	Whether the Client has related knowledge in regards to the investment (For internal Use Only) 客戶有否相關投資知識 (只供內部填寫)
❑ Equity Securities 股本證券	❑ Developed Markets 發達國家 ❑ Emerging Markets 新興市場	Q1 Investment Experience 投資經驗 ❑ 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 每年平均交易次數 :__________ Q2 ❑ Yes 有 ❑No 沒有 Q3 ❑ (a) ❑(b) ❑(c)__________ Q4 ❑ Yes 有 ❑No 沒有	YES / NO
❑ Futures and Options 期貨及期貨期權	❑ Developed Markets 發達國家 ❑ Emerging Markets 新興市場	Q1 Investment Experience 投資經驗 ❑ 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 每年平均交易次數 :__________ Q2 ❑ Yes 有 ❑No 沒有 Q3 ❑ (a) ❑(b) ❑(c)__________ Q4 ❑ Yes 有 ❑No 沒有	YES / NO
❑ Warrants, CBBC and Stock Options 認股權證、牛熊證及股票期權	❑ Developed Markets 發達國家 ❑ Emerging Markets 新興市場	Q1 Investment Experience 投資經驗 ❑ 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 每年平均交易次數 :__________ Q2 ❑ Yes 有 ❑No 沒有 Q3 ❑ (a) ❑(b) ❑(c)__________ Q4 ❑ Yes 有 ❑No 沒有	YES / NO
❑ Fixed Income Securities (e.g. Bonds, Convertible Bonds) 固定收益證券(如債券、 轉換債)	❑ Developed Markets 發達國家 ❑ Emerging Markets 新興市場	Q1 Investment Experience 投資經驗 ❑ 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 每年平均交易次數 :__________ Q2 ❑ Yes 有 ❑No 沒有 Q3 ❑ (a) ❑(b) ❑(c)__________ Q4 ❑ Yes 有 ❑No 沒有	YES / NO
❑ Mutual Fund/ Unit Trusts 互惠基金/單位信託	❑ Developed Markets 發達國家 ❑ Emerging Markets 新興市場	Q1 Investment Experience 投資經驗 ❑ 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 每年平均交易次數 :__________ Q2 ❑ Yes 有 ❑No 沒有 Q3 ❑ (a) ❑(b) ❑(c)__________ Q4 ❑ Yes 有 ❑No 沒有	YES / NO

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❑ Structured Products (e.g. Equity Linked, Deposit/Note, Currency Linked Deposit) 結構性投資產品(股票掛鉤 存款／票據，貨幣掛鉤存款等)	❑ Developed Markets 發達國家 ❑ Emerging Markets 新興市場	Q1 Investment Experience 投資經驗 ❑ 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 每年平均交易次數 :__________ Q2 ❑ Yes 有 ❑No 沒有 Q3 ❑ (a) ❑(b) ❑(c)__________ Q4 ❑ Yes 有 ❑No 沒有	Yes / No
❑ other (please Specify) 其他 (請例明)	❑ Developed Markets 發達國家 ❑ Emerging Markets 新興市場	Q1 Investment Experience 投資經驗 ❑ 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 每年平均交易次數 :__________ Q2 ❑ Yes 有 ❑No 沒有 Q3 ❑ (a) ❑(b) ❑(c)__________ Q4 ❑ Yes 有 ❑No 沒有	Yes / No

Your financial profile and education background
閣下的財務及學歷背景

Estimated Annual Income (HK$) 估計年薪(港元) ❑ 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$1,500,000 以上 ❑ Other Income Source 其他收入來源: ________________________________	Approximate Net Asset Value (HK$)(Total Asset - Total Liabilities) 大約淨資產（港元）(總資產 – 總負債） ❑ 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 小學 ❑ Secondary School 中學 ❑ University or above 大學或以上 ❑ Others 其他：__________	

Total asset
總資產：____________________________

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第二部分 Part 2：衍生工具知識評估 Assessment on Knowledge of Derivatives

此部分旨在協助評估/閣下是否具備衍生工具知識。本公司將根據您/閣下所提供資料，評估閣下是否了解衍生產品的性質和風險。請回答以下問題並在最符合閣下的陳述的方格加上(✓)號。
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 閣下對金融衍生工具的認知？What is your knowledge of financial derivatives?

- ☐ 沒有：我/我們不具備金融衍生工具的知識，亦沒有興趣了解這方面的知識。None: I/ We have no knowledge of financial derivatives and have no interest in understanding them.
- ☐ 少許認知：我/我們只具備金融衍生工具的一些基本知識，例如傳統投資工具如股票等與衍生工具屬於不同類型資產。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.
- ☐ 中等認知：我/我們具備基本以上的知識及明白金融衍生工具的價值可因應相關資產的價值而波動及其升跌幅度可大於傳統投資工具。我/我們懂得如何閱讀金融衍生工具合約或銷售文件的條款及細則及明白影響金融衍生工具價格的一般因素。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.
- ☐ 非常認知：我/我們熟悉大部分金融衍生工具及在過往多年經常買賣金融衍生工具。Advanced： I am/We are familiar with most financial derivatives and have been a frequent trader in financial derivatives for many years.

2 閣下對以下金融衍生工具的投資經驗（可選擇多於一項）？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（如期貨合約、商品合約、期權及認股權證等）Listed financial derivatives in Hong Kong or overseas exchanges (e.g. futures contracts, commodity contracts, options and warrants, etc.)
- ☐ 場外結構性產品或金融衍生工具（如結構性／可換股債券、信貸掛鈎票據、商品掛鈎票據及股票掛鈎票據等）OTC structured products or financial derivatives (e.g. structured/convertible bonds, credit-linked, commodity-linked and equity-linked notes, etc.)
- ☐ 對沖基金或廣泛地投資於金融衍生工具以達到投資目的的基金 Hedge funds or funds employing financial derivatives extensively for investment purpose
- ☐ 其他 Others（請註明 please specify）:____________________
- ☐ 沒有 None（如答沒有，請直接到第 4 題。If None, please go to Question 4.）

3 閣下有否在過去 3 年間就問題 2 所述產品（不論是否於交易所買賣）執行 5 項或以上交易？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；請註明 Yes; please specify:
  金融機構名稱 Name of financial institution ______________________________ 及 and
  總交易金額 total transaction amount: ______________________________
- ☐ 沒有 No

4 閣下有否曾經接受及／或參加由學術機構或金融機構所提供有關上述衍生工具及／或結構性產品的在線或面授形式培訓及／或課程，而閣下亦完全了解這類投資產品的性質和風險？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/我們已透過貴公司網站有關債券、場內及場外衍生工具之培訓短片了解相關產品的性質和風險 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，有關培訓及／或課程由以下提供機構提供 Yes, the training / course is offered by the following institution:機構名稱 Institution name :____________________ 及 課 程 名 稱 Course name: ________________
  日期Date: ____________________
- ☐ 沒 有 No

5 閣下有否擁有 1 年以上有關上述衍生工具及／或結構性產品的工作經驗？Do you/you all possess more than 1 year work experience related to the aforesaid derivatives and/or structured products?

- ☐ 有；請註明Yes; please specify:
  公司名稱 Company name：____________________ 部門名稱 Department name：________________
  工作性質 Job nature：____________________及任職年期 and Period of employment：由 from Year ______________年 至 to Year __ __________ _年
- ☐ 沒 有 No

評估結果 Assessment Result

- ☐ 具備金融衍生工具的知識（問題1 達到「中等或以上水平」及問題3、4 或5 至少有一條的答案是「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).
- ☐ 不具備金融衍生工具的知識。Without knowledge of financial derivatives.

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客戶聲明 Declaration by Client

1 本人/吾等確認在本問卷提供的資料在提供當下是真確、正確和準確。如上述資料有任何變動，本人/吾等承諾知會立鼎證券有限公司（「立鼎證券」）。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/吾等明白如問卷內填寫的內容不實，立鼎證券將不能評估所要求服務是否適合本人/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/吾等確認收到、填妥並簽署本問卷。I /We acknowledge the receipt of a copy of this questionnaire and I / We have duly completed and signed the same.

4 本人/吾等聲明本人/吾等已收取及閱讀《衍生產品特點及風險披露》並明白衍生工具及結構性產品交易涉及高投資風險，而立鼎證券員工已 向本人/吾等提出有關投資衍生工具及／或結構性產品的警告。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.

客戶簽署 Client Signature ________________ 日 期 Date ________________

持牌人聲明 Declaration by Licensed Person

本人已按照客戶所選擇語言（中文或英文）向客戶提供《衍生產品特點及風險披露》並已就有關衍生產品交易向客戶提出警告。此外本人亦已邀請客戶細閱該風險披露聲明、提問及尋求獨立意見（如客戶有此意願）。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).

☐ 面 談 Face to Face
☐ 電 話 By Phone
（內線 Extension: ________時間 Time:________）

持牌人簽署 Signature of Licensed Person ________________ 日 期 Date ________________

持牌人姓名 Name of Licensed Person ________________ 中央編號 CE Nc ________________

責任聲明 Disclaimer

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