

***若閣下沒有適當地填寫及提交此問卷予大眾証券有限公司，則會被視作不明白下列衍生產品之性質及風險，而不能作出對下列衍生產品的買入指示。**

致：大眾証券有限公司(“大眾証券”)

客戶姓名: _____ 客戶號碼: _____ AE code: _____

客戶對衍生產品之認識及經驗

有關衍生產品是包括(1)衍生權證(俗稱窩輪)(Derivative Warrants)、(2)牛熊證(CBBC)及(3)交易所買賣基金(ETF)。(請參閱附件之風險披露聲明。)

- 閣下明白可不時在大眾証券的網址下載衍生產品之風險披露聲明書，或不時要求大眾証券提供風險披露聲明書之副本？
 是。
 否，但本人(等)有需要時會向大眾証券客戶服務部查詢。
- 閣下是否在過去三年曾買賣過五次或以上之衍生產品？
 是，本人(等)有足夠經驗評估衍生產品的性質和相關風險。請填寫下列的《客戶聲明及簽署》。
 否，請繼續作答。
- 閣下是否曾接受有關衍生產品之培訓或課程，不論是網上、課堂、或研討會形式？
 是，本人(等)有足夠經驗評估衍生產品的性質和相關風險。請填寫下列的《客戶聲明及簽署》。
 否，請繼續作答。
- 閣下是否瞭解衍生產品之性質和相關風險？
 是，本人(等)明白衍生產品之性質和對相關風險有足夠的知識。
若閣下要求大眾証券執行閣下的買賣衍生產品指示，請填寫《客戶聲明及簽署》。
 否，本人(等)同意大眾証券有權拒絕執行本人(等)有關買賣衍生產品的指示。

本人(等)現聲明及確認上述所提供之資料是正確無誤，並知悉及明白大眾証券有限公司將根據以上的資料以評估客戶是否對衍生工具產品有認識，此問卷內容及結果不可視為對任何投資產品及服務的銷售或購買之邀請，亦不應當為投資建議。

客戶簽署

日期:

客戶簽署(聯名戶口適用)

日期:

客戶聲明及簽署

本人(等) _____ (身份證號碼: _____) 現聲明及確認已獲得提供按本人(等)選擇的語言之風險披露聲明書，包括列明衍生產品中的衍生權證、牛熊證及一些投資於旨在模擬指數表現的交易所買賣基金的各種風險，本人(等)已獲邀閱讀此風險披露聲明書、提出問題及徵求獨立意見，本人(等)明白衍生產品有可能變成沒有價值及損失全部資金，本人(等)現要求大眾証券執行本人(等)所提出的買賣衍生產品指示。

客戶簽署

日期:

客戶簽署(聯名戶口適用)

日期:

公司專用

Verify signature	Responsible officer	Dealing Director	Input	Check
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*** If you do not complete this questionnaire properly and sent to PSL, you will be treated as no knowledge on the risk and nature of the following derivative products and cannot execute the buy order for such products.**

To : Public Securities Limited (“PSL”)

Client Name: _____ Client Number: _____ AE code: _____

Client’s knowledge and experience on Derivative Products

The derivative products include (1) derivative warrants, (2) callable bull/ bear contracts (CBBC), and (3) exchange-traded funds (ETF). (Please refer to the attached Risk Disclosure Statements.)

1. Do you know that you can download the Risk Disclosure Statement explaining the risks of derivative products from time to time or you can request our company to provide a copy of the Risk Disclosure Statement to you from time to time?
 - Yes.
 - No, but I/we will contact the Customer Services Department of PSL when I/we need.

2. Have you executed at least five transactions in any derivative products within the past three years?
 - Yes, I/we have knowledge and experience to understand the natures and to assess the risks of derivative products. Please complete the following 《Client Declaration》 .
 - No, please answer the following questions.

3. Have you joined any training, such as on-line program, course or workshop, on derivative products?
 - Yes, I/we have knowledge and experience to understand the natures and to assess the risks of derivative products. Please complete the following 《Client Declaration》 .
 - No, please answer the following questions.

4. Have you had the knowledge to understand the natures and to assess the risk of derivative products?
 - Yes, I/we have knowledge and experience to understand the natures and to assess the risks of derivative products. If you request PSL to execute your order(s) in derivative products, please complete the 《Client Declaration》 .
 - No, I/we agree PSL has the right to refuse my/our order(s) to buy/sell any derivative products.

I/We hereby confirm and declare the provide information are true and correct, and acknowledge and understand PSL will assess whether I/we have adequate knowledge on derivative products according to the above information I/we provided. This questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice.

 Client Signature
 Date:

 Client Signature (joint account applicable)
 Date:

Client Declaration

I/We _____ (ID No: _____) hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statement, including the risks of derivative products of (1) derivative warrants, (2) callable bull/ bear contracts, and (3) those exchange-traded funds that invest in derivative instruments designed to replicate the performance of an index, in the language of my/our choice. I/We have been invited to read the risk disclosure statement, and to ask questions and take independent advice. I/We understood that the derivatives products may become no value and my/our invested money will be totally loss. I/We hereby request the PSL execute my/our order(s) to buy/sell the derivative products.

 Client Signature
 Date:

 Client Signature (joint account applicable)
 Date:

For Official Use Only

Verify signature	Responsible officer	Dealing Director	Input	Check
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