

## 投資者分類問卷 (個人/聯名賬戶使用)

### Investor Characterization Questionnaire (For Individual/Joint Account Use Only)

本問卷由中信期貨國際有限公司(“中信期貨國際”)設計,旨在評估閣下是否擁有關於衍生產品的認識。根據以下提供的信息,我們將會評估閣下是否了解衍生產品的性質和風險。請注意:閣下日後可能需要再次填寫這份問卷,以重新評估閣下的投資者分類。

This questionnaire is designed by CITIC Futures International Company Limited (“CFI”) for assessing your general knowledge of derivative products. Based on the information provided below, we will assess whether you understand the nature and risks of derivative products. Please note that you may be required to complete this questionnaire again in the future to re-assess your Investor Characterization.

#### 客戶資料 Client Information

客戶姓名 Client Name: \_\_\_\_\_ 賬戶號碼 Account Number: \_\_\_\_\_

#### 問卷 Questionnaire

請回答以下問題並剔選最符合閣下的陳述。

Please answer the following questions and tick the box that best describes you.

本人有意交易衍生產品。 I wish to trade derivatives products.	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
本人的教育程度達中學或以上。 My academic level is secondary or above.	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
本人有足夠穩定收入,投資損失(甚至損失全部本金)亦不會對本人日常生活/開支帶來重大影響。 I have adequate stable income. The investment loss (even whole principal) will not cause a material impact on my daily life/expenses.	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
本人曾經接受/參加由學術或金融機構所提供有關衍生產品及/或結構性產品的培訓課程,而本人亦完全了解這類投資產品的性質和風險。 I have undergone training/attended courses offered by academic or financial institutions on derivative and/or structured products and I am fully aware of the nature and risks of this kind of investment products.	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
本人擁有1年以上有關衍生產品及/或結構性產品的工作經驗。 I possess more than 1 year working experience related to derivative and/or structured products.	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
在過去3年中,本人曾執行過5宗或以上有關衍生產品及/或結構性產品的交易。 In the past 3 years, I have executed 5 or more transactions relating to derivative and/or structured products.	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No

#### 客戶聲明 Client Declaration

- 本人/吾等確認所提供的問卷資料在提供當時均屬真確。本人/吾等承諾於資料有任何變動時通知中信期貨國際。  
I/We hereby affirm that the information provided in this questionnaire is accurate as of the moment of provision. I/We undertake to inform CFI about any changes in the mentioned information.
- 本人/吾等已明白倘若問卷內容不實,中信期貨國際將不能夠評估所要求服務對本人/吾等的適合性。  
I/We understood that CFI will be unable to assess the suitability of the requested service to my/our interest if I/we fill in the questionnaire incorrectly.
- 本人/吾等確認已收受《風險披露聲明》,並進一步確認本人/吾等了解當中內容。  
I/We hereby acknowledge my/our receipt of the “Risk Disclosure”. I/We further confirm that I/We understand the content thereof.
- 本人/吾等明白本人/吾等若對此文件或對買賣結構性或衍生產品的性質及風險有不明白之處,本人/吾等應取得獨立專業意見。  
I/We Acknowledge that should I/We have difficulties in understanding the Document or the nature and risks of trading derivative products, I/We should seek independent professional advice.

客戶簽署 Client Signature

日期 Date

#### 責任聲明 Disclaimer

此問卷結果根據閣下所提供的資料而制定,並只供閣下作個人投資決定的參考。此問卷內容及結果不可視為對任何金融產品及服務的銷售要約或購買邀請,亦不應當作投資建議。中信期貨國際對上述有關資料的準確性或完整性概不負責或承擔法律責任。中信期貨國際會將此問卷內收集的個人資料保密。閣下提供的資料只會在保密的情況下,按我們已交付予閣下的有關開戶文件資料內隨附的私隱政策所載,供中信期貨國際旗下任何實體使用。

The results of this questionnaire are derived from information that you have provided to us, and only serve as a reference for your consideration when making your own investment decisions. 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. CFI 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 CFI. The information may only be used by any entity of CFI under a duty of confidentiality to CFI, for the purposes set out in our Data Privacy Policy that has been delivered to you with the relevant account opening documents.