

衍生工具認識問卷調查 Questionnaire on Derivatives' Knowledge

如客戶過去並未對衍生產品有認識，並已接受龍匯證券有限公司(“龍匯”)就相關衍生產品作出之風險解釋，請完成以下的衍生工具問卷：

For clients who did not have knowledge of derivative products and have already accepted Topper Dragon Securities Ltd (“TDSL”)’s explanation on the risk associated with derivatives products, please complete the questionnaire below:

牛熊證部份 Derivative Warrants

1. 牛熊證於強制回收後，其價值是否有機會等於零？ ☐是Yes ☐否No
Is issuer default risk one of the risks for trading derivative warrants?
2. 時間值損耗風險是否買賣牛熊證的其中一項風險？ ☐是Yes ☐否No
Is gearing risk one of the risks for trading derivative warrants?
3. 牛熊證於強制回收後，投資者是否仍能進行買賣？ ☐是Yes ☐否No
Is implied volatility risk one of the risks for trading derivative warrants?

衍生權證部份 Callable bull/bear contracts (CBBCs)

4. 發行商失責風險是否買賣衍生權證(窩輪)的其中一項風險？ ☐是Yes ☐否No
Can the residual value of CBBCs be zero after it was mandatory called?
5. 槓桿風險是否買賣衍生權證(窩輪)的其中一項風險？ ☐是Yes ☐否No
Is time decay risk one of the risks for trading callable bull/bear contracts?
6. 引伸波幅風險是否買賣衍生權證(窩輪)的其中一項風險？ ☐是Yes ☐否No
Can investors continue to trade the callable bull/bear contracts (CBBCs) after it was mandatory called?

ETF 部份 Exchange Traded Funds (ETFs)

7. 交易所買賣基金(ETF)的發行商是否被視為不會失責或者破產的金融機構？ ☐是Yes ☐否No
Would the issuer of Exchange Traded Funds (ETFs) be classified as a financial institution that would not default nor bankrupt?
8. 外匯風險是否交易所買賣基金(ETF)的其中一項風險？ ☐是Yes ☐否No
Is foreign exchange risk one of the risks of Exchange Traded Funds?
9. 不同複製策略涉及對手風險是否交易所買賣基金(ETF)的其中一項風險？ ☐是Yes ☐否No
Is counterparty risk with different replication strategies one of the risks of Exchange Traded Funds?

本人/ 吾等_____ (帳戶號碼_____) 現簽署確認龍匯就本人/ 吾等對衍生產品之認識所作出的評估。如本人/吾等未有衍生產品之認識，本人/吾等已接受龍匯就相關衍生產品作出之風險認識。本人/吾等清楚明白相關衍生產品的各類風險及願意承擔交易相關衍生產品所帶來的潛在風險。

I/ We, _____ (Account number _____) hereby sign and confirm that I/ We accept the explanation of TDSL on the risk associated with derivative products. I/We fully understand different types of risks associated with derivative products and I/ We accept the potential risks arising from trading derivative products.

客戶簽署

(如客戶為實體，請蓋上機構印章)：

Signature of Client

(For entity client, please sign with chop)



日期

Date