

Client Confirmation Form

Instructions

Please complete this form and return it to us by one of the following methods:

- (a) Fax to our Customer Service Department at (852)2586-8412 / 0080-1855985(For Taiwanese Clients only)
- (b) Email to cs.asia@sinopac.com
- (c) Mail to our Customer Service Department, SinoPac Securities (Asia) Limited, 21/F One Peking, 1 Peking Road, Tsim Sha Tsui, Kowloon, Hong Kong

To: SinoPac Securities (Asia) Limited

Section 1: Criteria for Assessing a Client's Knowledge of Derivatives

Criterion 1

I have executed five or more transactions in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc. within the past three years.

Criterion 2

I have current or previous work experience related to derivative products[†].

Position: _____ No. of years of experience: _____

Name(s) of Ultimate Person: (For corporate clients only) _____

Other information: _____

Criterion 3

I have undergone relevant training or attended relevant courses on derivative products^{*}

Name(s) of Ultimate Person: (For corporate clients only) _____

Please provide details: _____

Section 2: Client Declaration

I/We acknowledge that I/we have read and fully understood the document entitled "Risk Disclosures Statement for Derivative Products Traded on Specified Stock Exchanges[†]" provided by SinoPac Securities (Asia) Limited in a language of my/our choice (English or Chinese). I/We am/are willing to accept the risks associated with trading derivative products. I/We hereby declare that I/we have fulfilled the above-mentioned assessment criterion/criteria as indicated above and provided the relevant information and supporting documents (if any).

Authorized Signature :

(All account holders of joint account must sign jointly; Corporate account must sign with company chop)

Account No:

Account Name:

Authorized Signatory Name (for Corporate clients only):

Date:

* For corporate client, please provide the name(s) and information relevant to the ultimate person(s) who control(s) the account or make(s) investment decision.

† "specified stock exchange" means a stock exchange specified in Part 3 Schedule of Securities and Futures Ordinance (Cap 571)

客戶確認表單

指示

請填妥本表單，並透過以下之任何一個方法交回給我們：

- (a) 傳真至客戶服務部：(852)2586-8412 / 0080-1855985(限台灣地區使用)
- (b) 電郵至cs.asia@sinopac.com
- (c) 寄回至香港九龍尖沙咀北京道一號21樓 永豐金證券(亞洲)有限公司「客戶服務部」

致：永豐金證券(亞洲)有限公司

第一部份 - 評估閣下對衍生工具的認識的條件

條件 1

本人/吾等於過去三年，曾執行五次或以上有關衍生產品的交易，例如：衍生權證、股票期權及結構性產品等。

條件 2

本人/吾等於現時或過去擁有與衍生產品有關的工作經驗。^{*}

職位：_____ 工作年期：_____

最終擁有人之姓名(公司戶適用)：_____

其他資訊：_____

條件 3

本人/吾等曾接受有關衍生產品的培訓或修讀相關課程。^{*}

最終擁有人之姓名(公司戶適用)：_____

請提供詳情：_____

第二部份 - 客戶聲明

本人/吾等謹此聲明本人/吾等確認已仔細閱讀及完全明白，由永豐金證券(亞洲)有限公司提供的「指明證券交易所^{*}買賣之衍生產品風險披露聲明」。本人/吾等並願意承擔交易相關衍生產品所帶來的潛在風險。本人/吾等已符合如下所示之上述評估條件並已提供相關資料及證明文件(如適用)：

客戶簽署

(所有聯名客戶必須簽署；公司戶須由負責人或董事或授權人其中一人簽署，且必須蓋上公司印)

帳戶號碼：

帳戶姓名：

授權代表姓名(公司戶適用)：

簽署日期：

^{*} 對於企業客戶，請提供負責掌管帳戶或作出投資決策的最終控制者之姓名及相關資料或公司投資決策之相關規模性文件。

^{*} “指明證券交易所”指現行香港法例第 571 章附表 1 第 3 部指明的證券交易所