



## Select Investment Services Limited

弘富投資服務有限公司

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SFC CE No: AXU865

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### “Assess a Client’s Knowledge of Derivatives” Form

#### To: Select Investment Services Limited

##### Criteria for Assessing a Client’s Knowledge of Derivatives

1. I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc. within the past three years.

2. I have current or previous work experience related to derivative products\*.

(\* 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)

Position: \_\_\_\_\_

No. of years of experience: \_\_\_\_\_

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

Other information: \_\_\_\_\_

3. I have undergone relevant training or attended relevant courses on derivative products\*.

(\* 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)

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

Please provide details: \_\_\_\_\_

4. I/We acknowledge that I/we have read and fully understood the RISK OF TRADING DERIVATIVE PRODUCTS annexed in the RISK DISCLOSURE STATEMENT provided by Select Investment Services 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.

##### Client Declaration

I/We hereby declare that I/we have fulfilled the above-mentioned assessment criterion/criteria as indicated below and provided the relevant information.

Criterion 1

Criterion 2

Criterion 3

Criterion 4

Authorized Signature :

(All account holders of joint account must sign jointly)

Signatory  
Name(s)

S.V.

Account No:

Account Name:

Date:

For Office Use Only

Prepared By IR/CSO

Checked By OPP

Date:

Date: