

# 健康理財分析問卷 — 衍生工具知識及經驗

## Financial Health Check Questionnaire – Derivatives Knowledge and Experience

賬戶姓名 Account Name \_\_\_\_\_ 電郵 Email \_\_\_\_\_

賬戶號碼 Account No. \_\_\_\_\_ 聯絡電話 Tel No. \_\_\_\_\_  
國家編號 country code \_\_\_\_\_ 電話號碼 tel no \_\_\_\_\_

本問卷旨在評估您／您公司對衍生工具投資的認識，以及您／您公司在投資組合加入帶有衍生工具成分之金融產品的合適性。您／您公司必須完成本問卷，如您／您公司未能通過此評估，您／您公司將會受到限制而不能投資於若干基金，以及於「摩根網上交易」系統的使用權將受到限制。網上交易權限。

This questionnaire is designed to assist you/your company in assessing your/your company's knowledge of derivatives investment and the suitability of certain financial products with derivatives exposures in your/your company's investment portfolio. You/your company are required to complete this questionnaire, as you/your company will be restricted from investing in certain funds and will have limited access within the eTrading system if you do not pass this assessment.

您／您公司曾否透過以下至少一項途徑認識或投資於衍生工具？

**Do you/your company have knowledge and/or experience in derivative investments, which may have been acquired through one or more of the followings?**

- 您／公司決策人曾投資於衍生工具或結構性產品，並完全清楚明白相關投資風險。  
You/the decision maker of your company have/had invested into derivatives or structured products and fully understand the underlying risks of such investments.
- 您／公司決策人是香港證券及期貨事務監察委員會（「證監會」）之持牌人或香港金融管理局（「金管局」）之註冊機構有關人士。  
You/the decision maker of your company have/had been either a licensed person under Hong Kong Securities and Futures Commission (SFC) or a relevant individual with Hong Kong Monetary Authority (HKMA).
- 您／公司決策人於具信譽之機構取得金融學歷或完成金融課程。例如：  
You/the decision maker of your company have obtained financial qualification(s) or have completed a finance course from a reputable institute. For example,
  - i. 通過香港證券專業學會 (HKSI) 考卷7/8  
Passed Hong Kong Securities Institute (HKSI) Paper 7/8
  - ii. 通過保險中介人資格考試 (IIQE) 卷5  
Passed Insurance Intermediaries Qualifying Examination (IIQE) Paper 5
  - iii. 通過特許財務分析師 (CFA) 考試 1/2/3級  
Passed Chartered Financial Analyst (CFA) Exam - Level 1/2/3
  - iv. 通過金融風險管理師 (FRM) 考試  
Passed Financial Risk Manager (FRM) Exam
  - v. 通過特許另類投資分析師 (CAIA) 考試  
Passed Chartered Alternative Investment Analyst (CAIA) Exam
  - vi. 認可財務策劃師 (CFP) 課程之投資單元  
Certified Financial Planner (CFP) - Investment Module
  - vii. 金融學碩士  
Master in Finance
  - viii. 金融學學士  
Degree in Finance
  - ix. 金融學文憑／高級文憑  
Diploma/Higher Diploma in Finance
- 您／公司投資決策人確認已親自完成由摩根基金（亞洲）有限公司提供之網上課程「認識衍生工具投資」及明白其全部內容。  
You/the investment decision maker(s) of your company have personally completed and understand the entire content of the online training "Understanding Derivatives Investments" provided by JPMorgan Funds (Asia) Limited. ([www.jpmorganam.com.hk/dt](http://www.jpmorganam.com.hk/dt))

重要事項：您（如屬聯名賬戶則指各聯名賬戶持有人或聯名賬戶之唯一決策人）必須親自完成整項「認識衍生工具投資」網上課程。該課程不得由其他人代替完成或代替其他人完成。

本人／我們（如屬聯名賬戶則指各聯名賬戶持有人或聯名賬戶之唯一投資決策人）確認本人／我們已親自完成由摩根基金（亞洲）有限公司提供之網上課程「認識衍生工具投資」及明白其全部內容。

Important Note: You (or if the account is a joint account, either all joint accountholders or the sole investment decision maker for the joint account) must personally complete the entire Online Training on "Understanding Derivatives Investments". Asking another person to complete it for you or taking the training on behalf of another person is not permitted.

I/we (or if the account is a joint account, either all joint accountholders or the sole investment decision maker for the joint account) confirm that I/we have personally completed and understand the entire content of the online training "Understanding Derivatives Investments" provided by JPMorgan Funds (Asia) Limited.

是  否  
Yes No

內部填寫  
For Internal Use

多謝您撥出寶貴時間完成本問卷。  
*Thank you for taking the time to complete our questionnaire.*

聲明：本問卷僅供摩根基金（亞洲）有限公司及其聯屬機構之用。有關衍生工具投資的進一步資料，請諮詢您的財務顧問並獲取專業意見。衍生工具投資相關之知識應從具信譽之機構獲取。

**Disclaimer:** This questionnaire is for use by JPMorgan Funds (Asia) Limited and its affiliates only. Please consult your usual financial adviser and obtain professional advice for further information on derivatives investments. Derivatives investment related knowledge should be acquired from a reputable institute.

客戶簽署  
Client Signature

日期  
Date

第二客戶簽署（聯名賬戶適用）  
2nd Client Signature (for Joint Accountholders)

日期  
Date

第三客戶簽署（聯名賬戶適用）  
3rd Client Signature (for Joint Accountholders)

日期  
Date

第四客戶簽署（聯名賬戶適用）  
4th Client Signature (for Joint Accountholders)

日期  
Date

D : Y / N  
BDM/CSO :