

虛擬資產知識評估問卷

Assessment on Knowledge of Virtual Assets Questionnaire

本問卷為協助評估有意投資人士是否具備虛擬資產的相關知識。安信國際金融控股有限公司、其子公司及/或聯營公司(包括但不限於 安信國際證券(香港)有限公司 及 安信期貨(香港)有限公司) (統稱“安信國際”) 將根據閣下所提供資料，評估閣下是否了解虛擬資產的相關性質和風險。The Questionnaire is designed for assessing whether the prospective investor has knowledge of virtual assets related nature and risk. Based on the information provided below, **Essence International Financial Holdings Limited**, its subsidiaries and/or associated companies (including but not limited to **Essence International Securities (Hong Kong) Limited** and **Essence Futures (Hong Kong) Limited**) (collectively “**Essence International**”) will assess whether you understand the nature and risks of virtual assets related products.

客戶資料 Client Information

客戶名稱 Client Name: _____ 帳戶號碼 Account No: _____

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 choose the answer that best described you.

1. 虛擬資產相關產品知識評估 Assessment on knowledge of virtual assets related products

問題一：在極端情況下，閣下可能會因為虛擬資產相關產品的風險而損失全部的投資本金。閣下是否清楚虛擬資產相關產品的風險並在了解其風險後仍願意投資？

Question 1: Under extreme circumstances, you may suffer 100% capital loss due to the risk of virtual assets related products. Do you understand the risk of virtual assets related products and are you still willing to invest in view of the risks involved?

- 是，清楚了解。
Yes, I understand.
- 否，不清楚了解。
No, I do not understand.

問題二：閣下是否可接受相關虛擬資產涉及的風險（例如流通性不足、價格高度波動及潛在的市場操縱行為），可能會因相關虛擬資產的投機性質及/或期貨合約固有的槓桿作用(如有)而加劇？

Question 2: Can you accept the risk of the underlying virtual assets (e.g., insufficient liquidity, high price volatility and potential market manipulation) may be magnified by the speculative nature of the underlying virtual assets and/or the leverage inherent in futures contracts (if applicable)?

- 是，可接受。
Yes, I can accept.
- 否，不可接受。
No, I cannot accept.

問題三：閣下是否清楚由於相關虛擬資產難以估值，因此為投資者在對虛擬資產及/或虛擬資產期貨合約進行可靠估值方面會帶來重大挑戰？

Question 3: Are you aware of the difficulty of valuing the underlying virtual assets poses significant challenges for investors in reliably valuing virtual assets and/or virtual asset futures contracts?

- 是，清楚了解。
Yes, I understand.
- 否，不清楚了解。
No, I do not understand.

問題四：下列哪一項回報目標，最為貼近閣下的投資目標？

Question 4: Which of the following return objective most closely reflect your investment goal?

- 資本保障，同時賺取貼近銀行存款利率的回報
Capital preservation with a return similar to bank deposit rate
- 穩定、均衡的收益及資本增長
Stable, balanced income and capital growth
- 逐步累積的長線資本增長
Gradual long-term capital growth
- 儘快賺取最高的資本增長
Maximize capital growth as soon as possible

問題五：閣下有否從以下途徑獲得對虛擬資產之認識？

Question 5: Have you acquired virtual assets related knowledge from the following method(s)?

- 有，已接受有關介紹一般虛擬資產之性質及風險的培訓或課程(例如由學術機構或金融機構所提供之在線或教室形式培訓及/或課程，而閣下亦完全了解這類虛擬資產相關產品的性質和風險)；
Yes, by undergoing training or attending courses that provide general knowledge of the nature and risk of virtual assets (e.g., relevant online or classroom courses offered by academic institutions or financial institutions on the aforesaid virtual assets related products and that you are fully aware of the nature and risks of this kind of virtual assets related products);
- 有，從閣下現時或過去與虛擬資產有關的工作經驗；
Yes, from your current or previous work experience related to virtual assets;
- 有，從閣下相關之交易經驗，即閣下於過去3年內已進行了5次或以上有關虛擬資產之交易(不論是否於交易所進行的交易)；
Yes, from your relevant trading experience, i.e., you have executed 5 or more virtual assets related transactions (whether traded on an exchange or not) within the past 3 years;
- 沒有，閣下沒有虛擬資產之認識。
No, you have NOT acquired knowledge of virtual assets.

2. 評估結果 Assessment Result

- 具備虛擬資產的知識(問題一至三回答「是」及問題五至少回答一項「有」)。
With knowledge on virtual assets (answered “Yes” in questions 1 to 3 and chose at least one “Yes” item in question 5).
- 不具備虛擬資產的知識。
Without knowledge on virtual assets.

If the Client answered “No” in one of the questions 1 to 3; unless the Client thereafter receives training on virtual assets related products and the personal circumstances of the Client (e.g. if there is sufficient net worth) has been enquired into by Essence International, otherwise the Client will not be eligible for trading virtual asset-related products.

如客戶於問題 1 至 3 中曾選取「否」，除非客戶之後接受虛擬資產相關產品的培訓及安信國際已查詢客戶的個人狀況(如是否有足夠的淨資產)，否則客戶將不可進行虛擬資產相關產品交易。

3. 客戶聲明 Declaration by Client

1. 本人/吾等確認在本問卷提供的資料在提供當下真確無誤。本人/吾等承諾如上述資料有任何變動將知會安信國際。I/We hereby affirm that the information provided in questionnaire is accurate as of the moment of provision. I/We undertake to inform Essence International about any changes in mentioned information.
2. 本人/吾等明白如問卷內填寫的內容不實，安信國際將不能評估本人/吾等所要求的服務/產品的適合性。I/We understood that Essence International will be unable to assess the suitability of the requested service(s)/product(s) to my interest if I/We fill in the questionnaire incorrectly.
3. 本人理解並同意，聯名帳戶的每名帳戶持有人必須分別填寫場虛擬資產知識評估問卷。本人進一步同意，安信國際會參考聯名帳戶持有人當中不具備虛擬資產的知識作為有關聯名帳戶的評估結果。I understand and agree that each account holder of joint account is required to complete the Assessment on Knowledge of Virtual Assets Questionnaire separately. I further agree that without knowledge on virtual assets for any account holder would be adopted as the result of the relevant joint account.
4. 本人/吾等聲明本人/吾等已接獲及閱讀關於《虛擬資產相關產品的風險披露聲明》(“風險披露聲明”)並明白虛擬資產相關產品交易涉及高投資風險，而安信國際員工已向本人/吾等提出有關虛擬資產相關產品的警告。I/We hereby declare that I/We have received and read the “RISK DISCLOSURE STATEMENT FOR VIRTUAL ASSETS RELATED PRODUCTS” (“Risk Disclosure Statements”) and understand that the investment risks associated with virtual assets related products is HIGH. Moreover, the staff of Essence international has cautioned me/us about investing in virtual assets related products.

客戶簽署 Client Signature(s)

日期 Date

持牌人聲明 Declaration by Licensed Person

本人已按照客戶所選擇語言 (中文或英文) 向客戶提供風險披露聲明並已就有關擬資產相關產品交易向客戶提出警告。此外本人亦已邀請客戶細閱該風險披露聲明、提問及尋求獨立意見 (如客戶有此意願)。I have provided the Risk Disclosure Statements to the Client in a language of his/ her/their choice (English or Chinese) and have cautioned the Client about the transaction. I have also invited the Client to read the Risk Disclosure Statements carefully, raise questions and take independent advice if he/ she/they wish(es).

持牌人簽署 Signature of Licensed Person

日期 Date

面談 Face to Face

電話 By Phone

(內線 Extension: _____ 時間 Time: _____)

持牌人姓名 Name of Licensed Person

中央編號 CE No.

責任聲明 Disclaimer

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