

衍生產品認識問卷調查

如客戶過去並未對衍生產品有認識，並已接受好盈證券有限公司(「好盈證券」)就各類衍生產品的相關風險作出解釋，請完成以下的衍生工具問卷：

衍生權證部份

1. 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 否
2. 槓桿風險是否買賣衍生權證(窩輪)的其中一項風險？ 是 否
3. 引伸波幅風險是否買賣衍生權證(窩輪)的其中一項風險？ 是 否

牛熊證部份

4. 牛熊證於強制回收後，其價值是否有機會等於零？ 是 否
5. 時間值損耗風險是否買賣牛熊證的其中一項風險？ 是 否
6. 牛熊證於強制回收後，投資者是否不可繼續進行買賣？ 是 否

交易所買賣基金部份

7. 交易所買賣基金(ETF)的發行商是否被視為失責或者破產的金融機構？ 是 否
8. 外匯風險是否交易所買賣基金(ETF)的其中一項風險？ 是 否
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 否

本人/吾等 _____ (賬戶號碼： _____) 現簽署確認好盈證券已經就各類衍生產品的相關風險作出解釋。本人/吾等 完全明白各類衍生產品的相關風險及可以接受交易相關衍生產品所帶來的潛在風險。

客戶簽署： _____ 日期： _____

好盈證券有限公司

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12/2022



Questionnaire on Derivative Products Knowledge

For clients who did not have knowledge of derivative products and have already accepted Hooray Securities Limited (“Hooray Securities”) the explanation on the risk associated with derivatives products, please complete the questionnaire below:

Derivative Warrants

1. Is issuer default risk one of the risks for trading derivative warrants? Yes No
2. Is gearing risk one of the risks for trading derivative warrants? Yes No
3. Is implied volatility risk one of the risks for trading derivative warrants? Yes No

Callable Bull/Bear Contracts (CBBCs)

4. Can the residual value of CBBCs be zero after it was mandatory called? Yes No
5. Is time decay risk one of the risks for trading callable bull/bear contracts (CBBCs)? Yes No
6. Are investors not allowed to continue to trade the callable bull/bear contracts (CBBCs) after it was mandatory called? Yes No

Exchange Traded Funds (ETFs)

7. Would the issuer of Exchange Traded Funds (ETFs) be classified as a financial institution that would default or bankrupt? Yes No
8. Is foreign exchange risk one of the risks of Exchange Traded Funds (ETFs)? Yes No
9. Is counterparty risk with different replication strategies one of the risks of Exchange Traded Funds (ETFs)? Yes No

I/We _____ (Account No.) _____ hereby sign and confirm that I/We accept Hooray Securities’ explanation 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.

Signature of Client: _____ Date: _____

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