

虛擬資產知識及經驗問卷 Virtual Assets ("VA") Knowledge and Experience Questionnaire

戶口持有人 Name of Account Holder: _____

輝立證券(香港)有限公司賬戶號碼 Phillip Securities (Hong Kong) Limited Account No.: _____

輝立商品(香港)有限公司賬戶號碼 Phillip Commodities (HK) Limited Account No.: _____

身份證號碼/ 護照號碼 Identity Card Number/ Passport Number: _____

☐ 個人/聯名戶口主要持有人
Individual/Primary Joint Account Holder

☐ 聯名戶口第二持有人
Secondary Joint Account Holder

就虛擬資產¹而言，閣下是否有下列知識及經驗？

For virtual asset¹, do you have any of the following knowledge and experience?

- ☐ 本人從以下途徑已獲得對虛擬資產之知識及經驗：
I have acquired knowledge and experience of virtual asset: (請於 1,2,3,4 選擇一項並完成其中的 I 及 II 如適用，可選多於一項)
(Please choose 1, 2, 3 or 4 and complete its I and II if applicable, can choose more than one option)

注意：填寫有虛擬資產之知識及經驗，即選項 1、2、3 或 4，必需提供證明，如受訓紀錄、證書、過往工作證明或有關交易紀錄結單。

Notice: Choosing option 1, 2, 3 or 4 indicating you have acquired knowledge and experience of virtual asset, you are required to provide supporting documents such as training proof, previous working proof or relevant trading statement.

1. ☐ 接受有關虛擬資產或虛擬資產相關產品²的培訓或出席有關課程。
Has undergone training or attended courses on virtual assets or VA-related products².
- | | | | | | |
|---|---|--|--|--|---|
| I | <input type="checkbox"/> 監管機構
Regulatory Authority | <input type="checkbox"/> 交易所
Exchange | <input type="checkbox"/> 金融機構
Financial Institution | <input type="checkbox"/> 進修學院
Education Institution | <input type="checkbox"/> 大專院校
Tertiary Institution |
|---|---|--|--|--|---|
2. ☐ 現時或過往的工作經驗是與虛擬資產或虛擬資產相關產品有關。
Has current or previous work experience related to virtual assets or VA-related products.
- | | | | |
|----|---|--|--|
| II | <input type="checkbox"/> 受監管持牌人士
Regulated Licensed Person | <input type="checkbox"/> 與虛擬資產或資產相關產品相關後勤
Back Office related to Virtual Asset or VA-related products | <input type="checkbox"/> 管理層
Management |
|----|---|--|--|
3. ☐ 有曾進行虛擬資產或虛擬資產相關產品交易的經驗，即過去三年內曾就任何虛擬資產或虛擬資產相關產品進行五項或以上的交易(不論是否於交易所進行交易)，並清楚明白其風險。
Has prior trading experience in virtual assets or VA-related products, i.e. has executed five or more transactions in any virtual asset or VA-related product within the past three years (whether traded on an exchange or not) and understand the risk in relating to virtual assets or VA-related products.
4. ☐ 其它(請說明):
Others (please specify): _____

☐ 本人並未有虛擬資產或虛擬資產相關產品之認識。(選此項將不批准買賣虛擬資產相關產品)

I have NO knowledge of virtual assets or VA-related products. (Trading in VA-related products would not be approved if this option is chosen)

本人確認上述資料完全真實及完整。

本人確認輝立證券以客戶選擇的語言(英文或中文)提供證券/期貨客戶協議包括其附表 3 的風險披露聲明及免責聲明。我進一步確認輝立證券已經遵照風險披露聲明，提出問題及徵求獨立的意見(如我有此意願)。

I hereby confirm that the above information provided is true and complete.

I acknowledge that the Securities /Futures Client Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 3 attached were provided in a language (English or Chinese) of my choice. I further acknowledge that I was invited to read the risk disclosure statements, ask questions and take independent advice, if I wished.

戶口持有人 / 聯名戶口第二持有人簽署

Account Holder / Secondary Joint Account Holder Signature _____ (Date: _____/_____/_____)

¹ 對“虛擬資產”的提述指以數碼形式來表達價值的資產，其形式可以是數碼代幣(如功能型代幣、穩定幣，或以證券或資產作為支持的代幣)、任何其他虛擬商品、加密資產或其他本質相同的資產，不論該等資產是否構成《證券及期貨條例》所界定的“證券”或“期貨合約”，但不包括由中央銀行發行以數碼形式來表達的貨幣。

“Virtual assets” refers to digital representations of value which may be in the form of digital tokens (such as utility tokens, stablecoins or security- or asset-backed tokens) or any other virtual commodities, crypto assets or other assets of essentially the same nature, irrespective of whether or not they amount to “securities” or “futures contracts” as defined under the Securities and Futures Ordinance (SFO), but excludes digital representations of fiat currencies issued by central banks.

² “虛擬資產相關產品”指符合以下說明的投資產品：(a)其主要投資目標或策略為投資於虛擬資產；(b)其價值主要源自虛擬資產的價值及特點；或(c)跟蹤或模擬與虛擬資產的表現緊密吻合或相應的投資結果或回報。

“VA-related products” refers to investment products which: (a) have a principal investment objective or strategy to invest in virtual assets; (b) derive their value principally from the value and characteristics of virtual assets; or (c) track or replicate the investment results or returns which closely match or correspond to virtual assets.

Assessment of Virtual Assets knowledge:

☐ Nationality Check of Client

☐ Address Check of Client

From the above information and supporting provided by client, the derivative knowledge of the client is classified as:

Signature checked by:

System Input by:

Reviewed by:

虛擬資產知識測試 Virtual Assets Knowledge Test

以下什麼可讓加密貨幣安全？

- ☐ 伺服器
- ☐ 密碼學
- ☐ 中央銀行
- ☐ 保險公司

一旦記錄標記在區塊鏈上，這些記錄可否被他人更改？

- ☐ 可 - 可以隨時更改記錄
- ☐ 可 - 但僅限於特定時間範圍內
- ☐ 否 - 記錄不能被改變
- ☐ 否 - 因為記錄已發送到中央銀行

由於供應有限，比特幣將隨著時間的推移一定會保持其價值並會上漲？

- ☐ 是
- ☐ 否

為什麼比特幣有風險？

- ☐ 因為創建的人仍然是匿名的
- ☐ 因為它可能被嚴重高估了
- ☐ 因為它不受監管
- ☐ 因為它是最近才發明的，只有傳統的法定貨幣才能保持信任

什麼是區塊鏈？

- ☐ 點對點網絡上的分散式賬本
- ☐ 一種加密貨幣
- ☐ 交易所
- ☐ 中心化賬本

加密貨幣和加密資產之間沒有分別，這些詞彙可否互換？

- ☐ 是
- ☐ 否

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Score: /6

Checker name:

Checker date:

What makes cryptocurrency secure?

- ☐ Servers
- ☐ Cryptographic Math
- ☐ Government Banks
- ☐ Insurance Companies

Once records are submitted on a blockchain, can they be altered?

- ☐ Yes- the parties can go back in and alter them at any time
- ☐ Yes – but only within a certain time frame
- ☐ No- they cannot be altered
- ☐ No- because the records are sent to central bank

Bitcoin will retain its value and rise in price over time because there's a limited supply?

- ☐ True
- ☐ False

Why might bitcoin be risky?

- ☐ Because the person or people that created remain anonymous
- ☐ Because it may be enormously overvalued – we just do not know yet
- ☐ Because it is unregulated
- ☐ Because it was invented only recently and only traditional fiat currencies will retain trust

What is blockchain?

- ☐ A distributed ledger on a peer to peer network
- ☐ A type of cryptocurrency
- ☐ An exchange
- ☐ A centralized ledger

There is no difference between cryptocurrencies and crypto assets, these terms are interchangeable?

- ☐ True
- ☐ False

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Score: /6

Checker name:

Checker date: