

Virtual Assets ("VA") and VA-Related Products Knowledge Assessment Questionnaire
對虛擬資產和虛擬資產相關產品知識及經驗評估問卷

To : Fubon Securities (Hong Kong) Limited

致：富邦證券(香港)有限公司

Account Number 帳戶號碼：_____ Account Name 客戶名稱：_____

In the event of any conflict between any provisions of the Chinese and English versions of the Questionnaire, the English version shall prevail.

如本問卷的中、英文版本出現分歧，一切皆以英文藍本為準。

I. This questionnaire is designed to help Fubon Securities (Hong Kong) Limited ("Fubon Securities") to understand your knowledge in VA and VA-Related Products and assess whether you are suitable to invest the VA Related Products.

本問卷旨在協助富邦證券(香港)有限公司(「富邦證券」)了解閣下對虛擬資產和虛擬資產相關產品的認識，並評估閣下是否適合投資虛擬資產相關產品。

II. Please read the "General Knowledge and Risks of Virtual Asset and Related Product" designed by Fubon Securities to understand the nature, applications and key risks of VA and VA-Related Products. Upon finishing this Questionnaire, Fubon Securities will inform you the assessment result. After successful completion of this assessment, you will be characterized by Fubon Securities as having general knowledge of VA and VA-Related Products and may purchase the VA-Related Products.

請閣下細閱由富邦證券設計的「虛擬資產和虛擬資產相關產品基本知識和相關風險」，以了解虛擬資產和虛擬資產相關產品的性質、應用及主要風險。當完成此問卷，富邦證券將通知閣下此次評估結果。成功通過評估後，閣下將被富邦證券分類為「對虛擬資產和虛擬資產相關產品有一般認識的客戶」，並可認購虛擬資產相關產品。

III. For joint account, each person who operates the joint account must complete this questionnaire. The joint account will not be able to trade VA-Related Products if anyone has not completed this questionnaire.

如果此乃聯名帳戶，所有於此聯名帳戶操作的持有人，各自均須完成此評估。若其中一位持有人尚未完成評估，該聯名帳戶將未能交易虛擬資產相關產品。

IV. For corporate account, depending on the firm type, investment process and management structure, this questionnaire shall be completed by the person(s) with whom the investment decisions of the Company rest. The company should ensure all investment decision makers have fulfilled anyone of the below criteria.

如果此乃公司帳戶，視乎公司類別、投資程序及管理架構，本問卷必須由負責為公司作出投資決定的個人/下單授權人填寫。公司需確保所有作出投資決定的個人/下單授權人擁有以下任何一項評估條件。

Part 1 - Criteria for Assessing Knowledge of VA and VA-Related Products (Please ✓ the appropriate box.)

第一部份 - 評估對虛擬資產和虛擬資產相關產品的認識的條件(請在適當的空格填上✓號。)

Q : You have knowledge of the nature and risks of VA and VA-Related Products? 閣下是否對虛擬資產和虛擬資產相關產品的性質及風險擁有相關的認識?

☐ No 否 (Please read General Knowledge on VA and VA-Related Products before go to Part 2.

請詳閱「虛擬資產和虛擬資產相關產品基本知識」後繼續回答第二部份。)

☐ Yes 是 (Please go to Question 1. 請繼續回答問題 1。)

How did you acquire the knowledge of VA and VA-Related Products ? (Can Select ALL if applicable). 閣下如何獲得對虛擬資產和虛擬資產相關產品的認識?(可選擇全部，如適用)。

1) ☐ I have executed **five or more transactions** in VA or VA-Related Products, e.g. cryptocurrency (e.g. Bitcoin, Ethereum, etc.), utility token, non-fungible tokens (NFTs), virtual asset futures, virtual asset futures ETF, etc. **within the past three years.**

(Please provide the relevant document as supporting proof, e.g. Contract Notes, Statements, etc.)

本人於過去三年曾執行五次或以上虛擬資產和虛擬資產相關產品的交易，例如：加密貨幣（例如：比特幣、以太幣等）、功能型代幣、非同質化代幣（NFT）、虛擬資產期貨、虛擬資產期貨 ETF 等。

(請提供相關文件證明，例如：成交單據、戶口結單等。)

Relevant Financial Institution 金融機構名稱	Product Type 產品種類	Trading Period 交易期間

2) ☐ I have attended **training or courses or seminars on VA or VA-Related Products.**

(Please provide the relevant document as supporting proof, e.g. certificate etc.)

本人曾接受虛擬資產和虛擬資產相關產品的培訓或修讀相關課程。(請提供相關文件證明，例如：證書等。)

Name of Training/ Courses 相關培訓或課程名稱	Name of Organized Institution 舉辦機構名稱	Attendance Date 出席日期

- 3) ☐ I have current or previous **work experience related to VA or VA-Related Products.**
 (Please provide the relevant information / document as supporting proof, e.g. Licensed Persons Central Entity Number, name card, etc.)
 本人於現時或過去擁有與虛擬資產和虛擬資產相關產品有關的工作經驗。
 (請提供相關資料 / 文件證明，例如：持牌人中央編號、名片等。)

Name of Employer 公司名稱	Department 部門名稱	Position 職位	Working Year 工作年期

Part 2 - VA and VA-Related Products Knowledge Assessment 第二部份 - 虛擬資產和虛擬資產相關產品知識評估

The VA and VA-Related Products Knowledge Assessment enables Fubon Securities to understand whether you have general knowledge of the nature and risks of VA and VA-Related Products under the regulatory requirement pursuant to the "Joint circular on intermediaries' virtual asset-related activities" issued by the Securities and Futures Commission (SFC). Upon finishing this Assessment, Fubon Securities will inform you the assessment result. After successful completion of this assessment, you will be characterized by Fubon Securities as having general knowledge of VA and VA-Related Products and may purchase the VA-Related products.

虛擬資產和虛擬資產相關產品知識評估是為符合證券及期貨事務監察委員會（證監會）於「有關中介人的虛擬資產相關活動的聯合通函」所載的監管要求，以讓富邦證券了解閣下是否對虛擬資產和虛擬資產相關產品的性質及風險有基本知識。當完成此評估，富邦證券將通知閣下此次評估結果。成功通過評估後，閣下將被富邦證券分類為「對虛擬資產和虛擬資產相關產品有一般認識的客戶」，並可認購虛擬資產相關產品。

(Please ✓ the appropriate box. 請在適當的空格填上 ✓ 號。)+

1) What is cryptocurrency? 什麼是加密貨幣？	<input type="checkbox"/> A. A physical currency 一種實體貨幣 <input type="checkbox"/> B. A digital or virtual currency that uses cryptography for security 一種使用密碼學進行安全保護的數位或虛擬貨幣 <input type="checkbox"/> C. A government-issued currency 政府發行的貨幣 <input type="checkbox"/> D. A type of stock 一種股票
2) What technology underpins most cryptocurrencies? 大多數加密貨幣的基礎技術是什麼？	<input type="checkbox"/> A. Cloud computing 雲計算 <input type="checkbox"/> B. Blockchain 區塊鏈 <input type="checkbox"/> C. Artificial intelligence 人工智慧 <input type="checkbox"/> D. Internet of Things (IoT) 物聯網 (IoT)
3) Which of the following is a popular cryptocurrency? 以下哪一項是流行的加密貨幣？	<input type="checkbox"/> A. Bitcoin 比特幣 <input type="checkbox"/> B. Gold 黃金 <input type="checkbox"/> C. US Dollar 美元 <input type="checkbox"/> D. Euro 歐元
4) What is a digital wallet? 什麼是數位錢包？	<input type="checkbox"/> A. A physical wallet for cash 用於現金的實體錢包 <input type="checkbox"/> B. A software application that stores cryptocurrency keys 一個存儲加密貨幣密鑰的軟體應用程序 <input type="checkbox"/> C. A bank account for cryptocurrencies 一個加密貨幣的銀行帳戶 <input type="checkbox"/> D. A type of credit card 一種信用卡
5) What is the main risk of investing in cryptocurrencies? 投資加密貨幣的主要風險是什麼？	<input type="checkbox"/> A. Guaranteed returns 保證回報 <input type="checkbox"/> B. High volatility and potential for loss 高波動性和潛在損失 <input type="checkbox"/> C. Fixed interest rates 固定利率 <input type="checkbox"/> D. Government backing 政府支持
6) What does it mean to 'mine' cryptocurrency? 加密貨幣挖礦是什麼意思？	<input type="checkbox"/> A. To create new coins by solving complex mathematical problems 通過解決複雜的數學問題來創造新幣 <input type="checkbox"/> B. To buy coins from an exchange 從交易所購買幣 <input type="checkbox"/> C. To store coins in a wallet 將幣存儲在錢包中 <input type="checkbox"/> D. To sell coins for profit 出售幣以獲取利潤

7) What is a centralized exchange? 什麼是集中交易所?	<input type="checkbox"/> A. A platform where users trade directly with each other 用戶之間直接交易的平台 <input type="checkbox"/> B. A platform that facilitates trading and holds user funds 促進交易並持有用戶資金的平台 <input type="checkbox"/> C. A type of digital wallet 一種類型的數位錢包 <input type="checkbox"/> D. A government-regulated trading platform 政府監管的交易平台
8) What does 'HODL' mean in the cryptocurrency community? 在加密貨幣社群中，「HODL」的意思是什麼?	<input type="checkbox"/> A. Buy and sell frequently 頻繁買賣 <input type="checkbox"/> B. Hold onto your investments for the long term 長期持有你的投資 <input type="checkbox"/> C. Invest in multiple currencies 投資多種貨幣 <input type="checkbox"/> D. Sell all your holdings 出售所有持有的幣
9) Why is market capitalization important in cryptocurrency? 為什麼市場資本化在加密貨幣中重要?	<input type="checkbox"/> A. It determines the price of Bitcoin 它決定比特幣的價格 <input type="checkbox"/> B. It helps assess the size and value of a cryptocurrency 它有助於評估加密貨幣的大小和價值 <input type="checkbox"/> C. It indicates how many coins are mined 它顯示有多少幣已被挖掘 <input type="checkbox"/> D. It shows the number of users 它顯示使用者的數量
10) What is a common reason for the volatility of cryptocurrency prices? 加密貨幣價格波動的常見原因是什麼?	<input type="checkbox"/> A. Stable demand 穩定的需求 <input type="checkbox"/> B. Low trading volume 低交易量 <input type="checkbox"/> C. Market speculation and news events 市場投機和新聞事件 <input type="checkbox"/> D. Government regulation 政府監管

Part 3 - Client Declaration 第三部份 - 客戶聲明

I hereby acknowledge and confirm that :

本人謹此聲明及確認：

I hereby confirm that the above information provided is true and complete. I also understand that Fubon Securities rely on the above information provided to assess whether I have acquired knowledge of VA and VA-Related Products, in order to comply with relevant requirements issued by the SFC.

本人確認上述資料完全真實及完整，並明白富邦證券將根據上述資料評估本人是否擁有對虛擬資產和虛擬資產相關產品之認識，以符合證監會之要求。

I understand that the provision of information in this Questionnaire is voluntary for the purpose of my VA and VA-Related Products knowledge assessment. If I fail to provide the required information, the current assessment will not be processed.

本人明白及自願於本問卷上提供資料，目的為評估本人對虛擬資產和虛擬資產相關產品的認識。倘本人未能提供有關資料，本次評估將不獲處理。

I have read and fully understood the context of "General Knowledge on VA and VA-Related Products" provided by Fubon Securities. I acknowledge that if I have any question in relation to such document, I should seek independent professional advice. I further acknowledge that such document may not cover all risks associated with such VA and VA-Related Products and I shall make my own assessment and ensures that I have sufficient net worth to assume all the risks and bear the potential losses in respect of the VA and VA-Related Products trades.

本人已仔細閱讀及完全明白，由富邦證券提供的「虛擬資產和虛擬資產相關產品基本知識」。本人確認如本人對該文件有任何疑問，本人應當尋求獨立專業意見。本人確認該文件只披露投資虛擬資產和虛擬資產相關產品可能涉及的一般風險，及本人須就投資這些商品作出本人自主的判斷，並確保本人擁有充分的淨資產以承擔所有風險及潛在的損失。

I am willing to accept the risk associated with VA and VA-Related Products (Local and Oversea Market), if applicable.

本人願意承擔交易在本港及海外市場之虛擬資產和虛擬資產相關產品所帶來的相關潛在風險，如適用。

I am not Mainland investors, and understand that the sale of VA-related products to Mainland investors may be prohibited.

本人並非中國內地投資者，明白富邦證券禁止向內地投資者銷售虛擬資產相關產品。

I hereby affirm and understand that :

本人謹此確認及明白：

- (1) If I have not completed the assessment successfully, Fubon Securities will characterize me as **investor without knowledge of VA and VA-Related Products**. Fubon Securities **could not provide me services in related to VA and VA-Related Products**.

如果本人未能成功完成評估，富邦證券將把本人分類為**沒有虛擬資產和虛擬資產相關產品知識的投資者**。富邦證券**將未能為本人提供虛擬資產相關產品的服務**。

- (2) If I have completed the assessment successfully, Fubon Securities will characterize me as **investor with knowledge of VA and VA-Related Products**. Fubon Securities **could provide me services in related to VA and VA-Related Products according to circumstances**.

如果本人已成功完成評估，富邦證券將把本人分類為**有虛擬資產和虛擬資產相關產品知識的投資者**。富邦證券**可根據本人的情況為本人提供虛擬資產相關產品的服務**。

- (3) I understand and follow Fubon Securities to **adherence the selling restrictions in Hong Kong and other jurisdictions which may be applicable to a particular VA-related product**.

本人了解並配合富邦證券**遵守香港及其他司法管轄區可能適用於某特定虛擬資產相關產品的銷售限制**。

Signature of Account Holder 帳戶持有人簽署

Client Name 客戶名稱：

Date 日期：_____

(DD/MM/YY)(日/月/年)

Part 4 - VULNERABLE CLIENT 專榮關懷客群* (Witness Only 見證人專用)

Please select one as follows 以下由客戶自行勾選參與人士屬性：

- ☐ a. Family members or relatives 家庭成員、近親參與 (Please specify the relationship 請註明關係：_____)。
☐ b. Independent professionals 專業獨立第三方或專業顧問陪同 (Please state the position 請註明職稱：_____)。
☐ c. Representatives from Fubon Securities 富邦證券持牌員工

Signature(s) of Witness 見證人簽署：

Name 姓名：

Date 日期：_____

(DD/MM/YY)(日/月/年)

*People who aged 65 or above, or with lower educational level, or have less investment experiences, or are disabilities

65歲或以上長者、或教育程度較低、或投資經驗及知識較淺者、或明顯可辨認為殘障者

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<input type="checkbox"/> Without knowledge of VA and VA-Related Products 沒有虛擬資產和虛擬資產相關產品知識 (<80%) <input type="checkbox"/> With knowledge of VA and VA-Related Products 有虛擬資產和虛擬資產相關產品知識 (>/=80%) <input type="checkbox"/> Not Mainland investors 非中國內地投資者	S.V. Check:	Handled by:	Checked by:
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