

Financial Health Check Questionnaire – Derivatives Knowledge

Account Name _____ Email _____

Account No. _____ Telephone No. _____

This questionnaire is designed to assist you in assessing your knowledge of derivatives investment and the suitability of certain financial products with derivatives exposures in your investment portfolio. You are required to complete this questionnaire as you will be restricted from investing in certain funds if you do not pass this assessment.

SECTION 1 – Work experience in financial industry

Have you, (or if the account is a joint account, either all joint accountholders or the sole investment decision maker for the joint account), ever been either a licensed person under Hong Kong Securities and Futures Commission (SFC) or a relevant individual with Hong Kong Monetary Authority (HKMA)?

No Yes

For Internal Use

SECTION 2 – Derivatives knowledge acquired from academic background

Have you, (or if the account is a joint account, either all joint accountholders or the sole investment decision maker for the joint account), ever obtained any financial qualification(s) or completed a finance course from a reputable institute?

No Yes (please select multiple options if applicable)

- | | |
|--|--|
| <input type="checkbox"/> Passed Hong Kong Securities Institute (HKSI) Paper 7 / 8 | <input type="checkbox"/> Certified Financial Planner (CFP) - Investment Module |
| <input type="checkbox"/> Passed Insurance Intermediaries Qualifying Examination (IIQE) Paper 5 | <input type="checkbox"/> Master in Finance |
| <input type="checkbox"/> Passed Chartered Financial Analyst (CFA) Exam - Level 1 / 2 / 3 | <input type="checkbox"/> Degree in Finance |
| <input type="checkbox"/> Passed Financial Risk Manager (FRM) Exam | <input type="checkbox"/> Diploma / Higher Diploma in Finance |
| <input type="checkbox"/> Passed Chartered Alternative Investment Analyst (CAIA) Exam | <input type="checkbox"/> Other finance course involving knowledge of derivatives |

SECTION 3 – Experience in derivatives investments

Have you, (or if the account is a joint account, together with all joint accountholders), invested into any of the product(s) below more than 5 times in the past 3 years?

No Yes (please select multiple options if applicable)

Product with derivatives exposure	Have you ever invested before?	Have you ever experienced the following investment outcome?
Equity Linked Deposit / Note	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes Being exercised with underlying equity delivered
Credit Linked Deposit / Note	<input type="checkbox"/> Yes	
Structured Deposit / Note	<input type="checkbox"/> Yes	
Currency Linked Deposit / Premium Deposit	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes Being exercised with underlying currency delivered
Currency Forward (e.g. RMB Non Deliverable Forward (NDF))	<input type="checkbox"/> Yes	
Warrant	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes Experienced total loss of principal amount invested
Stock Option	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes Experienced total loss of principal amount invested
Index Future (e.g. Heng Seng Index Future)	<input type="checkbox"/> Yes	
Unauthorized Hedge Fund	<input type="checkbox"/> Yes	
SFC Authorized Hedge Fund	<input type="checkbox"/> Yes	
SFC Authorized Fund which requires derivatives knowledge assessment	<input type="checkbox"/> Yes	

SECTION 4 - Online Training on “Understanding Derivatives Investments” provided by JPMorgan Funds (Asia) Limited at www.jpmorganam.com.hk/dt

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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 completed and understand the content of the online training “Understanding Derivatives Investments” provided by JPMorgan Funds (Asia) Limited.

No Yes

Thank you for taking the time to complete our questionnaire.

***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.*

Client Signature

Date

2nd Client Signature (for Joint Accountholders)

Date

3rd Client Signature (for Joint Accountholders)

Date

4th Client Signature (for Joint Accountholders)

Date

The personal data which you have supplied or may supply will be used by us or any of our affiliates for providing financial services or any related services and other purposes related thereto, including direct marketing. You have the right to request access to and/or correction of such data by making your request to the Data Protection Officer, JPMorgan Funds (Asia) Limited, GPO Box 11448, Hong Kong.

D : Y / N
IA :

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