



虛擬資產客戶適僱性評估問卷

Virtual Asset Client Suitability Assessment Questionnaire

客戶名稱: Client Name:	帳戶號碼: Account Number:
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填寫指引 / Instructions

- 所有客戶均需首先完成 **A 部分**，以評估虛擬資產知識與經驗。
All clients must first complete **Part A** to assess their knowledge and experience in virtual assets.
- 完成 **A 部分** 後，本公司將告知您後續步驟：
After completing **Part A**, we will inform you of the next steps:
 - 若評估為“具備”：您可直接填寫 **B 部分**。If assessed as “Sufficient”: You may proceed directly to **Part B**.
 - 若評估為“需測試”：您需通過《虛擬資產基礎知識測試》後方可繼續填寫 **B 部分**。If assessed as “Further test required”: You must pass the **Virtual Asset Basic Knowledge Test** before continuing to **Part B**.
- B 部分** 用於評估您的風險承受能力，是開立虛擬資產交易帳戶的必要步驟。
Part B assesses your risk tolerance and is mandatory for opening a virtual asset trading account.

重要提示 / Important Notice: 僅風險承受能力評估結果為“高”的客戶方可獲准開戶。
Only clients assessed with “High” risk tolerance are eligible to open an account.

A 部分：資格與經驗評估 | Part A: Qualification & Experience Assessment

評估目的：為確定適合於您的客戶盡職審查與風險評估流程路徑，請如實填寫本部分。本公司將根據您提供的回答，評估您是否已具備虛擬資產相關的知識與經驗。除非是機構專業投資者及合資格的法團專業投資者，否則在執行虛擬資產相關產品的交易前，您必須填寫本虛擬資產經驗評估。Purpose: To determine the appropriate client due diligence and risk assessment pathway for you, please complete this section truthfully. The company will assess whether you possess the necessary knowledge and experience related to virtual assets based on your responses. Unless you are an Institutional Professional Investor or a Qualified Corporate Professional Investor, you must complete this Virtual Asset Experience Assessment before executing any transactions involving virtual asset products.

1. 您曾否接受虛擬資產或相關產品的培訓或課程？ Have you received training or attended courses on virtual assets or related products? <input type="checkbox"/> 是 Yes, 課程/培訓名稱 Course Name: _____ <input type="checkbox"/> 否 No
2. 您現時或過往的工作經驗是否與虛擬資產相關？ Do you have current or previous work experience related to virtual assets? <input type="checkbox"/> 是 Yes, 簡要職責 Brief Responsibilities: _____ <input type="checkbox"/> 否 No
3. 您是否有在最近 3 年內進行虛擬資產交易的經驗？ Do you have trading experience in virtual assets within the last 3 years? <input type="checkbox"/> 是 Yes, 交易平臺/資產類型 Platform & Asset Type: _____ <input type="checkbox"/> 否 No

如您未能從上述途徑獲得相關知識與經驗，將需參加《虛擬資產基礎知識測試》。If you have not gained relevant knowledge through the above channels, you will be required to take the Virtual Asset Fundamental Knowledge Test.

Name of the Client: 客戶姓名	Client Signature(s) with company chop (if applicable): 客戶簽署和公司章 (如適用)	Date: 日期
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B 部分：風險承受能力評估 | Part B: Risk Tolerance Assessment

本部分僅供已完成 A 部分（及必要測試）的客戶填寫。本部分旨在評估您的財務狀況、投資經驗及風險承受能力，以便本公司為您設定符合證監會要求的適當虛擬資產交易風險敞口限額。所有資訊將嚴格保密，僅用於合規評估。請您知悉，根據本公司政策，**僅風險評估結果為“高風險承受能力”的客戶方可獲准開立虛擬資產交易賬戶**。This section is for clients who have completed Part A (and required test). It aims to assess your financial situation, investment experience, and risk tolerance to enable the company to set appropriate virtual asset trading risk exposure limits in compliance with SFC requirements. All information will be kept strictly confidential and used solely for compliance assessment. Please note that per company policy, **only clients assessed with “High” risk tolerance are eligible to open a virtual asset trading account.**

財務狀況 / Financial Situation	
1. 您的淨流動資產總值約為： Your total net liquid assets are approximately: <i>(淨流動資產包括現金、存款、股票、基金、虛擬資產等可在短期內變現的資產 / Net liquid assets include cash, deposits, stocks, funds, virtual assets, and other assets that can be liquidated in the short term)</i>	_____ HKD
2. 您計劃將淨流動資產總額的多少百分比投入到我司的虛擬資產服務中？ What percentage of your total net liquid assets do you plan to allocate to our digital asset services? <i>(根據證監會指引，您通過我司持有的虛擬資產不得超過您淨流動資產總額的 20% / According to SFC requirement, the virtual assets you hold through us shall not exceed 20% of your total net liquid assets)</i>	_____ %

*第 1-2 題主要用於合規與財務能力評估，不計入風險評分。Questions 1-2 are primarily for compliance and financial capacity assessment and are not included in the risk score.

投資目的與經驗 / Investment Objective & Experience		
3.	<p>您參與虛擬資產投資的主要目的是什麼？ What is your primary purpose for investing in virtual assets?</p>	<input type="checkbox"/> A. 長期穩健增值，對抗通脹 / Long-term steady growth, inflation hedging <input type="checkbox"/> B. 追求較高收益，可承受波動 / Pursuing higher returns, can tolerate volatility <input type="checkbox"/> C. 配置多元化資產類別 / Diversifying asset classes <input type="checkbox"/> D. 以短期交易為主，追求市場波動帶來的收益 / Primarily short-term trading, seeking gains from market volatility
4.	<p>您過去投資傳統金融產品（如股票、基金、債券等）的經驗約有多久？ How long have you been investing in traditional financial products (e.g., stocks, funds, bonds)?</p>	<input type="checkbox"/> A. 無經驗 / No experience <input type="checkbox"/> B. 少於 1 年 / Less than 1 year <input type="checkbox"/> C. 1-3 年 / 1-3 years <input type="checkbox"/> D. 3 年以上 / More than 3 years
5.	<p>您接觸或交易虛擬資產（如加密貨幣等）的經驗約有多久？ How long have you been involved in or trading virtual assets (e.g., cryptocurrencies)?</p>	<input type="checkbox"/> A. 無經驗 / No experience <input type="checkbox"/> B. 少於 6 個月 / Less than 6 months <input type="checkbox"/> C. 6 個月至 2 年 / 6 months to 2 years <input type="checkbox"/> D. 2 年以上 / More than 2 years
6.	<p>您預計虛擬資產在您未來 5 年的財務規劃中扮演什麼角色？ What role do you expect virtual assets to play in your financial planning over the next 5 years?</p>	<input type="checkbox"/> A. 僅屬嘗試性質，占比很小 / Purely experimental, minimal proportion <input type="checkbox"/> B. 作為重要的資產增值途徑，比例較高 / Important avenue for asset appreciation, relatively high proportion <input type="checkbox"/> C. 作為投資組合的一部分，比例適中 / Part of investment portfolio, moderate proportion <input type="checkbox"/> D. 可能成為核心資產類別之一 / Could become one of the core asset classes
風險承受能力 / Risk Tolerance		

7.	若您的虛擬資產投資在短期內下跌 20%，您會如何應對？ If your virtual asset investment drops by 20% in the short term, how would you respond?	<input type="checkbox"/> A. 考慮減倉控制風險 / Consider reducing position to control risk <input type="checkbox"/> B. 保持觀望，等待市場恢復 / Adopt a wait-and-see approach, awaiting market recovery <input type="checkbox"/> C. 視為正常波動，持續持有 / Treat as normal volatility, continue holding <input type="checkbox"/> D. 視機會增加持倉 / View as an opportunity to increase position
8	您認為自己能承受的投資損失，一般占投資總額的比例約為？ Generally, what percentage of your total investment do you believe you can tolerate as a loss?	<input type="checkbox"/> A. 10%以內 / Within 10% <input type="checkbox"/> B. 10% – 20% <input type="checkbox"/> C. 20% – 30% <input type="checkbox"/> D. 超過 30% / Over 30%
9	您預期持有虛擬資產的期限通常是？ Typically, what is your expected holding period for virtual assets?	<input type="checkbox"/> A. 少於 3 個月 / Less than 3 months <input type="checkbox"/> B. 3 個月至 12 個月 / 3 to 12 months <input type="checkbox"/> C. 1 年以上 / More than 1 year <input type="checkbox"/> D. 長期持有或無固定期限 / Long-term hold or no fixed term
10	您用於投資虛擬資產的資金，預計在多長時間內不需要動用？ How long do you expect the funds allocated to virtual asset investment will remain untouched?	<input type="checkbox"/> A. 短期可能需動用資金 / Short-term funds that may be needed <input type="checkbox"/> B. 儲蓄的一部分 / Part of savings <input type="checkbox"/> C. 專用投資資金 / Dedicated investment funds <input type="checkbox"/> D. 純屬閒置資金，無時間限制 / Purely idle funds, no time restriction
交易行為與風險控制 / Trading Behavior & Risk Control		
11	您在交易中是否會使用風險管理工具（如止損、倉位控制等）？ Do you use risk management tools (e.g., stop-loss, position sizing) in trading?	<input type="checkbox"/> A. 從不使用 / Never use <input type="checkbox"/> B. 偶爾使用 / Occasionally use <input type="checkbox"/> C. 經常使用 / Frequently use <input type="checkbox"/> D. 每筆交易均嚴格使用 / Strictly use for every trade
12	您預計在德林證券進行虛擬資產交易的頻率大概是？ How frequently do you anticipate trading virtual assets at DL Securities?	<input type="checkbox"/> A. 極少交易 / Very infrequently <input type="checkbox"/> B. 每月幾次 / A few times per month <input type="checkbox"/> C. 每週幾次 / A few times per week <input type="checkbox"/> D. 每日或更頻繁 / Daily or more frequently

13	您過去交易虛擬資產的經驗強度如何? How intensive is your past experience in trading virtual assets?	<input type="checkbox"/> A. 僅觀望或極少量試探/ Only observing or minimal trial <input type="checkbox"/> B. 有一定實戰經驗, 損益在可控範圍內 / Some practical experience, gains/losses within controllable range <input type="checkbox"/> C. 經驗豐富, 曾經歷明顯波動但持續參與 / Experienced, having undergone significant volatility but continued participation
14	您是否曾因交易虛擬資產而影響日常生活或情緒? Has trading virtual assets ever affected your daily life or emotions?	<input type="checkbox"/> A. 經常影響/ Frequently affected <input type="checkbox"/> B. 偶爾影響/ Occasionally affected <input type="checkbox"/> C. 很少影響/ Rarely affected <input type="checkbox"/> D. 從不影響, 視為純投資行為/ Never affected, considered purely an investment activity

*第 3-14 題評分標準: A=3 分, B=5 分, C=7 分, D=9 分。Scoring for questions 3-14: A=3 points, B=5 points, C=7 points, D=9 points.

客戶聲明與簽署 / Client Declaration & Signature

本人確認: 1) 已閱讀並完全理解本問卷的所有問題及選項含義; 2) 所提供的所有資訊及數據均真實、準確、完整; 3) 充分理解虛擬資產交易具有極高的價格波動性、流動性風險及潛在的全盤損失風險, 此類風險完全由本人自行承擔; 4) 知悉並同意, 德林證券將根據本評估結果、我的交易行為、市場狀況以及證監會要求, 動態調整我的風險敞口限額, 並有權拒絕為我提供或繼續提供服務; 5) 若我的財務狀況、投資目標或風險承受能力發生重大變化, 將立即通知貴公司並要求重新評估。

I hereby declare that: 1) I have read and fully understand all questions and options in this questionnaire; 2) All information and data provided are true, accurate and complete; 3) I fully understand that virtual asset trading involves extremely high price volatility, liquidity risks and potential total loss, and I bear all such risks; 4) I acknowledge and agree that DL Securities may dynamically adjust my risk exposure limits based on this assessment, my trading behavior, market conditions and SFC requirements, and may refuse to provide or continue providing services to me; 5) I will immediately notify the company and request re-assessment if there are significant changes to my financial situation, investment objectives or risk tolerance.

Name of the Client: 客戶姓名	Client Signature(s) with company chop (if applicable): 客戶簽署和公司章 (如適用)	Date: 日期
For Office Use Only 只供本公司填寫		

A. 虛擬資產知識評估 / Virtual Asset Knowledge Assessment	<input type="checkbox"/> 客戶具備虛擬資產的經驗/知識 (基於 A 部分) The client possesses knowledge of virtual assets <input type="checkbox"/> 客戶具備虛擬資產的知識 (通過虛擬資產測試) Client has knowledge (passed Virtual Asset Test) <input type="checkbox"/> 客戶不具備虛擬資產的經驗/知識 Client does not possess relevant knowledge/experience	
B. 風險承受能力評分 / Risk Tolerance Score	_____ /106 分 points	
C. 風險等級判定 / Risk Level Determination	<input type="checkbox"/> 低風險承受能力 (保守型) (≤53 分) / Low risk tolerance (Conservative) (≤53 points) <input type="checkbox"/> 中風險承受能力 (穩健型) (52-73 分) / Medium risk tolerance (Moderate) (52-73 points) <input type="checkbox"/> 高風險承受能力 (進取型) (≥74 分) / High risk tolerance (Aggressive) (≥74 points)	
D. 集中度限額核准 / Concentration Limit Approval (說明: 監管上限 (20%) 乘以淨資產值, 得出在我司允許持有的虛擬資產最大總值。Note: Regulatory cap (20%) multiplied by net asset value equals the maximum total value of virtual assets allowed to be held with us.)	HKD _____	
最終開戶決議 / Final Account Opening Decision	<input type="checkbox"/> 批准 (條件: 虛擬資產知識評估通過 且 風險等級判定為“高”) / Approved (Condition: Virtual asset knowledge assessment passed and risk level determined as “High”) <input type="checkbox"/> 不批准 / Not approved	
Prepared By Licensed Person: 由持牌人員準備 Name 姓名: Date 日期:	Verified By Compliance: 由合規部核實 Name 姓名: Date 日期:	Checked By RO: 由負責人員檢查 Name 姓名: Date 日期:

For internal Use Only 內部使用注意事項
B 部分: 風險承受能力評估 / Risk Tolerance Assessment

問題 3 是水印問題, 負責的持牌人應清楚地知悉水印問題是確保德林證券(香港)有限公司採取謹慎措施的關鍵 (如需要)。例如, 評估結果可能表明客戶的總體風險等級類別為高風險承受能力, 但水印問題進一步提供了相關信息, 即客戶要求長期穩健增值, 對抗通脹, 在這種情況下, 德林證券(香港)有限公司應採取審慎措施, 客戶的風險等級上限為中風險承受能力。

Question 3 is a watermark question. The responsible licensed person should be clearly aware that watermark questions are key to ensuring DL Securities (Hong Kong) Limited takes prudent measures (if needed). For example, the assessment may show a client's overall risk tolerance category is High, but the watermark question provides additional information that the client's goal is long-term steady growth and inflation hedging. In such cases, DL Securities (Hong Kong) Limited should take prudent measures, capping the client's risk level at Medium risk tolerance.