

User Guide

Account Services

Utrade HK Mobile App

Version 12 Oct 2026

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Account Services


Home



Portfolio Value ⓘ \$ 1,000,000.00 HKD ⓘ
 Unrealized Profit/Loss ⓘ 100,000.00 HKD
 Cash Balance ⓘ \$ 1,000,000.00 HKD ▼

Quick Links

Stock Screener
 ETF
 Dividend
 Margin Ratio

Interval Ranking
 Capital Flow
 Warrant CBBB
 ADR

Watchlist
Portfolio

Name Code ▼	Market Value ▼	Quantity ▼	Nominal ▼
HSBC H... 00005	2,936,200	21,200	138.500
HKEX 00388	4,102,560	9,900	414.400
LEADS B... 09887	643,000	10,000	64.300
Tiziana L... TLSA	1.4	1	1.380

Home
Markets
Trade
Research
Menu

Menu
×
 Portfolio

 Account Services

 Fund Transfer ▼

 eIPO ▼

Please select the EForm you want to submit

#	EForm	New
1	Change of Information Notice	
2	W-8BEN	

Step 1 Press the “MENU”

Step 2 Press “Account Services”

Step 3 Select EForm Type

- #1: Change of Information Notice include:
 - a. Contact Numbers or,
 - b. Emails or,
 - c. Addresses
- #2: W-8BEN

1. Change of Information

a. Update Contact Numbers

At least one contact number must be maintained. When only one contact number exists, clients may edit it but cannot delete it.

Contact Numbers	Phone Type
Tel 1 (Mobile) 852-1234 1235 Delete Edit	Tel1 Home / Office / Mobile Mobile
Tel 2 N/A Delete Edit	Existing Phone No. 852-1234 1235
Tel 3 N/A Delete Edit	New Phone
Tel 4 N/A Delete Edit	Country-Area Code HONG KONG Country Code 852 Area Code Phone number 1234 1235

Step 1 Press [Delete] or [Edit]

Step 2 Select from drop down list for “Home/ Office / Mobile”

Step 3 Select “Country-Area Code”, input [Area Code (if any)] and the “Phone number”

I / We represent that the information on this form is true, complete and correct. Upon request from your Companies, I / We shall promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided, we understand that the Companies may disclose and account information changes to the Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules.

Submit

Submit

Back to Contact List

without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / we understand that the Companies may disclose and account information changes to the Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules.

Please confirm if you want to submit the change request?

Cancel

Confirm

Submit

Back to Contact List

Step 4 Press [Submit] and [Confirm]

Change of Information

b. Update Primary or Alternative Emails

At least one contact email address is required.

Emails	Email Type
Primary Email Address emailsample@example.com (For receiving all kinds of client communication, including: UTRADE (passwords, login notification, trade confirmation), E-Statement, Change of Information, Corporate Action, Welcome letter, Annual renewal letters, T & C, or other letter.) Edit	Primary Email Address ▼ Existing Email
Alternative Email Address 1 N/A (The email is for receiving e-statement and the physical statement issuing will be terminated (if applicable).) Edit	New Email <i>Existing email will be replaced by the new email.</i> newemailaddress@sample.com
Alternative Email Address 2 N/A	Re-enter the new Email Address for Confirmation newemailaddress@sample.com

Step 1 Press [Edit] to update the “Primary” or “Alternative” Email Address

Step 2 Input the email address into “New Email”

Step 3 Re-enter the new Email address for confirmation

I / We represent that the information on this form is true, complete and correct. Upon request from your Companies, I / We shall promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / we understand that the Companies may disclose and account information changes to the Authority in (including with Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. Submit Back to Contact List	without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / we understand that the Companies may disclose and account information changes to the Authority in (including with Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. Please confirm if you want to submit the change request? Cancel Confirm Submit Back to Contact List
---	--

Step 4 Press [Submit] and [Confirm]

Change of Email Address 電郵地址變更 Please fill in 9-digits account number. Margin, Stock Options, Futures account information under the same account will be updated accordingly (if applicable). 請填寫九位數字的帳戶號碼。相同帳戶下的保證金、期權、期貨帳戶資訊將相應更新（如適用）。 CONTENT PAGE > CHANGE OF EMAIL ADDRESS Please verify below changes and click [Confirm] to proceed.	New Email Existing email will be replaced by the new email. newemailaddress@sample.com
Step 5 Please verify the changes and review the inputted new email address	
I / We represent that the information on this form is true, complete and correct. Upon request from your Companies, I / We shall promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. (including without limitation to FATCA, Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. Confirm Cancel Confirm Back to Contact List	I / We represent that the information on this form is true, complete and correct. Upon request from your Companies, I / We shall promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / we understand that we may be required to disclose the changes to our account information to our Authorized Representative. (including without limitation to FATCA, Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. Are you sure you confirm the change request? Cancel Confirm Cancel Confirm Back to Contact List
Step 6 Press [Confirm]	

Change of Information

c. Update Residential or Mailing Addresses

Valid address proof is required for updating residential or mailing address when using UTRADE portal.

Addresses

Residential Address
6/F Harcourt House 39 Road Wanchai HK
Edit

Mailing Address
6/F Harcourt House 39 Road Wanchai HK
Edit

NEW

Room / Floor / Block
4/F

Name of Building & Estate
Harcourt House

No. & Name of Street
39 Road

District / Area / Country
Wanchai

Country
Hong Kong

Step 1 Press [Edit] to update the “Residential” or “Mailing” Address

Step 2 Input the address details

a) A recent utility bill issued within the last 3 months
b) Recent correspondence from a Government department or agency (i.e. issued within last 3 months)
c) A statement, issued by an authorized institution, a licensed corporation or an authorized insurer within the last 3 months
d) A record of a visit to the residential address by the FI
e) An acknowledgement of receipt duly signed by the customer to a limited liability company

Confirm

Choose Files

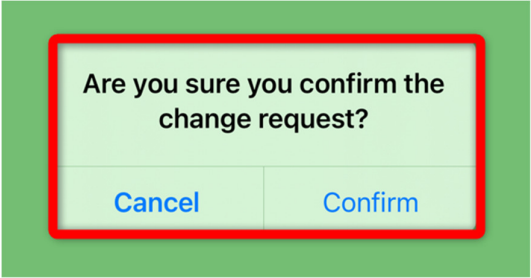
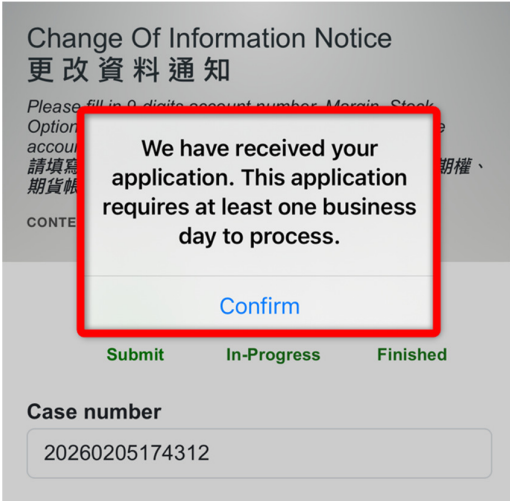
Upload Image

Accepted formats: JPG, PNG only

Step 3 Read the requirement then press [Confirm]

Step 4 Press [Upload Image] for valid address proof

➤ Remark: Accepted formats: JPG, PNG only

 A green rectangular dialog box with a red border. It contains the text "Are you sure you confirm the change request?" in black. Below the text are two buttons: "Cancel" and "Confirm", both in blue text.	 A screenshot of a "Change Of Information Notice" (更改資料通知) screen. It features a white confirmation message with a red border: "We have received your application. This application requires at least one business day to process." Below the message is a blue "Confirm" button. The background shows a form with fields for "Please fill in 9 digits account number", "Margin", "Stock", "Option", and "account", along with a "CONTINUE" button. At the bottom, there is a "Case number" field containing "20260205174312" and three status buttons: "Submit", "In-Progress", and "Finished".
Step 7 Press [Confirm] to confirm the change request. Step 8 Press [Confirm] to acknowledge the service lead time of changes.	

2. Document for US Market

a. Update W-8BEN

Mandatory Documentation Requirement for Trading in U.S.-Related Markets or Products

#	Identity	Use Form
1	You are NOT an individual	W-8BEN-E
2	You are a U.S. citizen or other U.S. person, including W-9 a resident alien individual	
3	You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services)	W-8ECI
4	You are a beneficial owner who is receiving compensation for personal services performed in the United States	8233 or W4
5	You are a person acting as an intermediary	W-8IMY

Continue

Cancel

Part I Identification of Beneficial Owner (see instructions)

1. Name of individual who is the beneficial owner

2. Country of citizenship

3. Permanent residence address (street, apt. or suite no., or rural route).

City or town, state or province. Include postal code where appropriate.

Country

4. mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

5. U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6a. Foreign tax identifying number (see instructions)

☐ 6b. Check if FTIN not legally required

7. Reference number(s) (see instructions)

8. Date of birth (MM-DD-YYYY) (see instructions)

Step 1 Read the identity of form to use and press [Continue] to proceed next page

Step 2 Input the information for **Part I (#1 to #8)** Identification of Beneficial Owner

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions) 9. I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country. 10. Special rates and conditions (if applicable - see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a 0.00 % rate of withholding on (specify type of income): _____ Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____	
Step 3 Input the information for Part II (#9 to #10) Claim of Tax Treaty Benefits	

Part III Certification Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and completed. I further under penalties of perjury that: - I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes; - The person named on line 1 of this form is not a U.S. person; - this form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States; (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty; (c) the partner's share of a partnership's effectively connected taxable income; or (d) the partner's amount realized from the transfer of partnership interest subject to	- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and the country; and - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions. Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect. ☒ I certify that I have the capacity to sign for the person identified on line 1 of this form. 
Step 4 Read the content of Part III Certification Step 5 Tick the check box to certify Step 6 Press [Submit] to proceed	

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am beneficial owner or any other person who has control, receipt, or custody of the income of which I am beneficial owner.

Please confirm if you want to submit the change request?

取消 確認

☒ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Please input either U.S. taxpayer identification number (SSN or ITIN) or Foreign tax identifying number.

Submit

W-8BEN Form

W-8BEN 表格

Please fill in 9-digits account number. Margin, Stock Options, Futures account information under the same account will be updated accordingly (if applicable).
請填寫九位數字的帳戶號碼。相同帳戶下的保證金、期權、期貨帳戶資訊將相應更新（如適用）。

CONTENT PAGE > W-8BEN FORM

1

2

3

Submit

Approve

Finished

Step 7 Press [Confirm] to proceed next page

Step 8 Review the inputted information before submission

Client Name

Testing AC 12

Part I Identification of Beneficial Owner (see instructions)

1. Name of individual who is the beneficial owner

Testing AC 12

2. Country of citizenship

Hong Kong

3. Permanent residence address (street, apt. or suite no., or rural route).

6/F Harcourt House

City or town, state or province. Include postal code where appropriate.

39 Gloucester Road TST,Kowloon

Country

Hong Kong

4. mailing address (if different from above)

6/F Harcourt House

City or town, state or province. Include postal code where appropriate.

39 Gloucester Road TST,Kowloon

Country

Hong Kong

5. U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6a. Foreign tax identifying number (see instructions)

e.g Y123456(7)

☐ 6b. Check if FTIN not legally required

7. Reference number(s) (see instructions)

e.g 123456-001M

8. Date of birth (MM-DD-YYYY) (see instructions)

1 Jan 2000

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions) 9. I certify that the beneficial owner is a resident of Hong Kong within the meaning of the income tax treaty between the United States and that country. 10. Special rates and conditions (if applicable - see instructions): The beneficial owner is claiming the provisions of Article and paragraph of the treaty identified on line 9 above to claim a 0.00 % rate of withholding on (specify type of income): Explain the additional conditions in the Article and paragraph the beneficial owner meets to be	new form within 30 days if any certification made on this form becomes incorrect. ☒ I certify that I have the capacity to sign for the person identified on line 1 of this form. Signature: Cancel Confirm
Step 9 Review inputted data and provide your name into the signature box Step 10 Press [Confirm] to proceed	

owner or any withholding agent that can disburse or make the beneficial owner a new person on made Are you sure you confirm the change request? 取消 確認 ☒ I certify that I have the capacity to sign for the person identified on line 1 of this form. Signature: Cancel Confirm	We have received your application. This application requires at least one business day to process. 確認
Step 11 Press [Confirm] to proceed Step 12 Press [Confirm] to acknowledge the service lead time of changes	

3. Price Quote Service Application

Please tick service if you wish to apply for

Hong Kong Stocks

- | | |
|--|--|
| ☐ HK Delay Snapshots (Free) | ☐ HK Real-Time Snapshots (HK \$25 / 200 Quotes) |
| ☒ HK Real-Time Streaming LV1-ETNet (HK\$85)* | ☐ HK Real-Time Streaming LV3 - ETNet (HK\$338)* |

US Stocks

- | | |
|---|---|
| ☐ US Delay Snapshots (Free) | ☐ US Real-Time Streaming – Non Professional User (USD10) |
| ☐ US Real-Time Streaming - Professional User (USD110)* | |

Shanghai and Shenzhen A Shares

- | | |
|--|---|
| ☐ Shanghai and Shenzhen A Shares Real-Time Snapshots (Free) | ☐ Shanghai A Shares Real-Time Streaming - ETNet (HK\$380)* |
|--|---|

Hong Kong Stocks

- | | |
|--|--|
| ☐ HK Delay Snapshots (Free) | ☐ HK Real-Time Snapshots (HK \$25 / 200 Quotes) |
| ☒ HK Real-Time Streaming LV1-ETNet (HK\$85)* | ☐ HK Real-Time Streaming LV3 - ETNet (HK\$338)* |

Declaration

I hereby confirm that I have read and understand the terms and conditions of the subscription and conditional use of the website (http://www.hkex.com.hk/real-time-streaming) and I agree to the terms and conditions of the subscription.

(Signature) _____
(Print Name) _____
(Company Name) _____
(Address) _____
(Contact Number) _____
(Email Address) _____

Submit

Submit

Step 1 Select the service you wish to apply

Step 2 Press [Submit] to proceed

4. Personal Information Collection Statement Concerning Northbound China Connect Orders

Processing of Personal Data

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we will be required to:

- (i) tag each of your orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us if appropriate; and
- (ii) provide to the Hong Kong Exchanges and Clearing Limited (the "Exchange") your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.

Consequences of failing to provide Personal Data or Consent

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

Submit

- (d) 同意相關中華通市場營運者:(i)收集、使用及儲存貴戶貴戶的券商客戶編碼及客戶識別信息,以助彼等透過使用中華通服務在相對中華通市場所進行的證券買賣進行監察及監控及執行相關中華通市場營運者規則;以及(ii)向內地監管機構及執法機構披露此等資料,以助彼等履行有

Please confirm if you want to submit the change request?

Cancel

Confirm

與中華
認並同
規定及

確認,且
意之前或之後,貴戶的個人資料仍可就上述目的而繼續被儲存、使用、披露、轉移及以其他方式處理。

未能提供個人資料或同意的後果

貴戶未能向我們提供上述的個人資料或同意,可能意味著我們將不會或不能(視情況而定)執行貴戶的交易指令或向貴戶提供我們的滬深港通北向交易服務。

Step 1 Press [Submit] to proceed
Step 2 Press [Confirm] to proceed

PERSONAL INFORMATION COLLECTION STATEMENT CONCERNING NORTHBOUND CHINA CONNECT ORDERS 滬深港通北向交易指令個人資料收集聲明 CONTENT PAGE > NORTHBOUND CHINA CONNECT 1 2 3 Submit Approve Finished Processing of Personal Data You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we will be required to: (i) tag each of your orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us if appropriate; and (ii) provide to the Hong Kong Exchanges and Clearing Limited (the "Exchange") your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.	and for the purposes set out in the Personal Information Collection Statement. 本人/本公司確認本人/本公司已閱讀並理解大華繼顯(香港)有限公司的個人資料收集聲明的內容。本人/本公司同意大華繼顯(香港)有限公司根據個人資料收集聲明的條款及目的使用本人/本公司的個人資料。 Client Signature Back Confirm
--	--

Step 3 Review inputted data and provide your name into the signature box

Acknowledgement and Consent 確認及同意

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement concerning Northbound China Connect Orders. I/we signify our agreement to the terms of the Personal Information Collection Statement.

本人/本公司已閱讀並理解大華繼顯(香港)有限公司的個人資料收集聲明的內容。本人/本公司同意大華繼顯(香港)有限公司根據個人資料收集聲明的條款及目的使用本人/本公司的個人資料。

Client Signature

Are you sure you confirm the change request?

Cancel

Confirm

Step 4 Press [Confirm]

5. Termination of using Real-Time Streaming Quotations Service

I would like to terminate the usage of Real-time streaming Quotation start from

[Click here for calendar](#)

Service termination requests require up to 3 business days to execute.

Termination Reason

Test

October 2026 >

SUN	MON	TUE	WED	THU	FRI	SAT
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Reset Done

Step 1 Select the date field for the calendar

Step 2 Select the termination date and click Done

I would like to terminate the usage of Real-time streaming Quotation start from

Service termination requests require up to 3 business days to execute.

Termination Reason

Test

Termination Reason

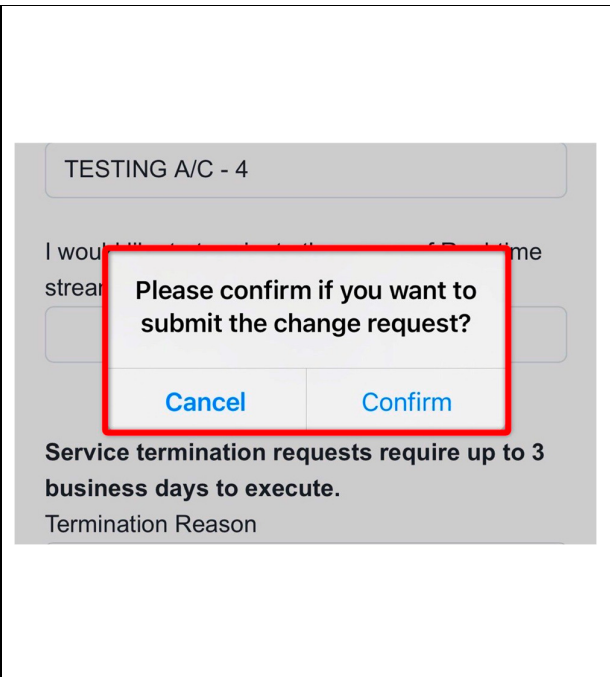
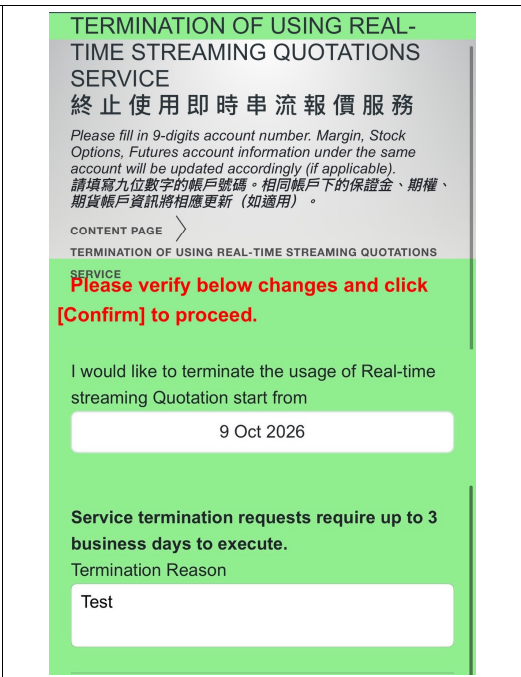
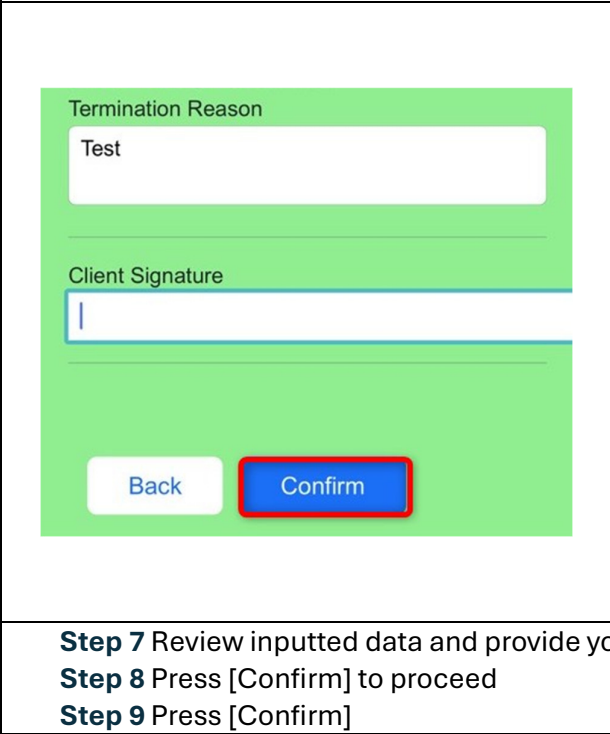
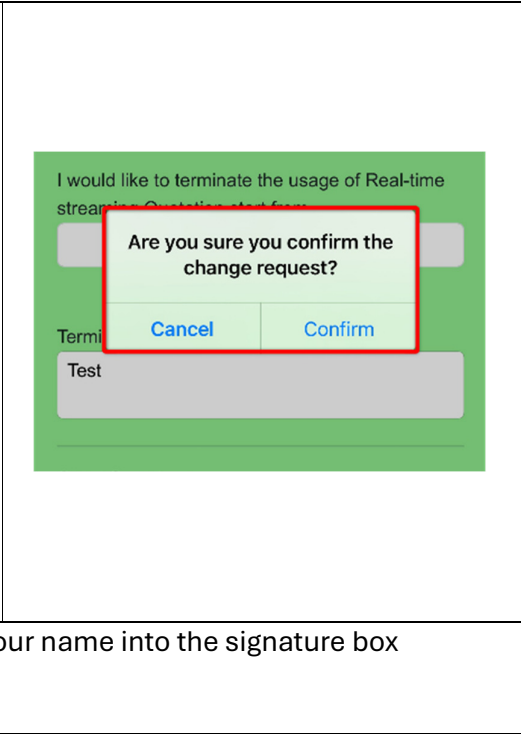
Type your message

Submit

Submit

Step 3 Input the Termination Reason

Step 4 Press [Submit] to proceed

	
Step 5 Press [Confirm] to proceed Step 6 Review the inputted information before submission	
	
Step 7 Review inputted data and provide your name into the signature box Step 8 Press [Confirm] to proceed Step 9 Press [Confirm]	

6. Derivative Knowledge Assessment Questionnaire

Do you meet any one of the following criteria?

Criteria:

(i) I/We have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Stock Options, futures, Callable Bull/Bear Contracts, Derivative Warrants, Structured Products and ETFs, etc. (within the past 3 years)

- ☒ Yes
☐ No

Step 1 Answer question (i)

- a. If **Yes** is selected, please proceed to **Step 2**
b. If **No** is selected, please proceed to **Step 3** of question (ii)

Relevant Financial Institution 金融機構名稱:

ABC

Product Type 產品種類:

Stock *

Trading Period 交易期間:

Product Type:

Stock
Bond
Structure Product
Fund
Warrant
Option

Step 2 As **Yes** is selected, please answer accordingly and proceed to **Step 3**:

- a. Input the name of Relevant Financial Institution
b. Select a Product Type from the list or input the product type manually
c. Input the Trading Period

☒ Yes

☐ No

a. If **Yes** is selected, please proceed to **Step 4**
b. If **No** is selected, please proceed to **Step 5** of question (iii)

Name of Employer 公司名稱:

ABC

Department 部門名稱:

Operations

Position 職位:

General Manager

Working Year 工作年期:

2000

Select
 Human Resources
 Finance and Accounting
 Marketing
 Sales
 ✓ Operations
 Information Technology
 Customer Service
 Research and Development (R&D)
 Legal
 Administration
 Product Management
 Corporate Communications
 Business Development
 Training and Development

[illegible]

- Input the Name of Employer.
- Select the Department from the list.
- Select the Position from the list.
- Input the Working Year.

(iii) I/We have undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on derivative and/or structured products.

- ☒ Yes
☐ No

Step 5 Answer question (iii)

- a. If **Yes** is selected, please proceed **Step 6**
b. If **No** is selected, please proceed to Q1-Q5 of **Step 7**

Name of Training/ Courses:

ABC

Name of Organized Institution:

ABC

Attendance Date:

29 Sep 2026



(iii) I/We have undergone training and/or

September 2026 > < >

SUN	MON	TUE	WED	THU	FRI	SAT
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

Reset Done

Attendance Date MM/DD/YYYY

29 Sep 2026

Step 6 As **Yes** is selected, please answer accordingly and proceed to **Step 7**:

- a. Input the Name of Training/Courses.
b. Input the Name of Organized Institution.
c. Select the Attendance Date and click done.

Q1. What is a derivative?

☐ A. Bank deposit

☐ B. A stock or any other security representing an ownership interest

☐ C. A loan made to a company or a government body

☐ D. A financial instrument that derives its value from an underlying asset

Q2. Which of the followings is/are the risk(s) factors of derivatives?

☐ A. Counterparty Risk

☐ B. Liquidity Risk

☐ C. Market Risk

☐ D. All of the above

Q3. Which of the following is/are common type(s) of Futures in the market?

☐ A. Index Futures

☐ B. Commodity Futures

☐ C. Currency Futures

☐ D. All of the above

Q4. Is "leveraging" a key feature of derivatives?

☐ A. Yes

☐ B. No

Q5. "The risk of loss in trading futures contracts or options is substantial. You may sustain losses in excess of your initial margin funds." Is this sentence correct?

☐ A. Yes

☐ B. No

Step 7 Please answer Q1-Q5 accordingly

I/We hereby affirm that the information provided in this form is accurate as of the moment of provision and undertake to inform UOB Kay Hian about any changes in mentioned information. 本人/我們確認所提供的表格資料在提供時均屬真確，並承諾於資料有任何變動時通知大華繼顯。

Submit

Submit

Please confirm if you want to submit the change request?

Cancel
Confirm

Step 8 Press [Submit] to proceed

Step 9 Press [Confirm] to proceed

	DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE 衍生工具認識評估問卷 Please fill in 9-digits account number, Margin, Stock Options, Futures account information under the same account will be updated accordingly (if applicable). 請填寫九位數字的帳戶號碼，如可帳戶下的保證金、期權、期貨帳戶資料將相應更新（如適用）。 CONTENT PAGE > Q10 Please verify below changes and click [Confirm] to proceed. (i) I/We have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Stock Options, futures, Callable Bull/Bear Contracts, Derivative Warrants, Structured Products and ETFs, etc. (within the past 3 years) ☒ Yes ☐ No Relevant Financial Institution ABC Product Type Stock * Trading Period ABC (ii) I/We have current or previous work experience related to derivative products. ☒ Yes ☐ No Name of Employer ABC Department Operations Position General Manager Working Year 2000 (iii) I/We have undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on derivative and/or structured products. ☒ Yes ☐ No Name of Training/ Courses ABC Name of Organized Institution ABC Attendance Date 16 Sep 2026	Q1. What is a derivative? ☐ A. Bank deposit ☐ B. A stock or any other security representing an ownership interest ☐ C. A loan made to a company or a government body ☐ D. A financial instrument that derives its value from an underlying asset Q2. Which of the followings is/are the risk(s) factors of derivatives? ☐ A. Counterparty Risk ☐ B. Liquidity Risk ☐ C. Market Risk ☐ D. All of the above Q3. Which of the following is/are common type(s) of Futures in the market? ☐ A. Index Futures ☐ B. Commodity Futures ☐ C. Currency Futures ☐ D. All of the above Q4. Is "leveraging" a key feature of derivatives? ☐ A. Yes ☐ B. No Q5. "The risk of loss in trading futures contracts or options is substantial. You may sustain losses in excess of your initial margin funds." Is this sentence correct? ☐ A. Yes ☐ B. No
Step 10 Review the inputted information before submission		
	- I/We hereby acknowledge that I/ we have received, read and fully understood the "Derivatives Product Features and Risk Disclosures" provided by UOB Kay Hian in a language of my/our choice. - I/We hereby affirm that the information provided in this form is accurate as of the moment of provision and undertake to inform UOB Kay Hian about any changes in mentioned information. Client Signature Back Confirm	Are you sure you confirm the change request? Cancel Confirm
Step 11 Review inputted data and provide your name into the signature box Step 12 Press [Confirm] to proceed Step 13 Press [Confirm]		

END