風險承受能力問卷

Risk Profile Questionnaire

本問卷以主要帳戶持有之資料作出評估，聯名帳戶持有人必需簽署確認
The result of the questionnaire is based on the information of the Primary Account Holder, the Secondary Joint Account Holder must sign to confirm.

請選擇下列最適當答案 Please choose the appropriate answer below

Q1 您的年齡介乎於？
What is your age?

☐ (a) 18-35	10
☐ (b) 36-50	8
☐ (c) 51-65	4
☐ (d) >65	2

Q2 您的教育程度是？
What is your education level?

☐ (a) 小學程度或以下 Primary level or below	2
☐ (b) 中學程度 Secondary level	8
☐ (c) 預科或大學程度 Tertiary/University level	10

Q3 您有多少年投資於價值波動之投資產品的經驗(包括購入然後長期持有及經常買賣投資產品？價值會波動之投資產品的例子包括股票、單位信託基金、外幣、商品、結構投資產品、認股權證(俗稱「窩輪」)、期權、期貨、投資相連保單等。
How many years of experience do you have with investment products the value of which can fluctuate (including ‘buy and hold’ and active trading)? Investment products the value of which can fluctuate could include, for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans.

☐ (a) 没有經驗或少過 1 年 No experience or Less than 1 year	2
☐ (b) 1 至 3 年 Between 1 and 3 years	4
☐ (c) 多過 3 年 Over 3 years	10

Q4 您是否有以下任何產品的投資經驗或知識？(您可選擇多於一個選項)。
Do you have any investment experience or knowledge of the below products? (You may select more than 1 option)

☐ (a) 現金、存款、存款證、保本產品、香港政府債券。 Cash, Deposits, Certificates of Deposit, Capital Protected Products, HKSAR Government Bond	4
☐ (b) 股票、債券、股票或債券基金(包括強積金，不包括貨幣市場基金)、投資相連保單。 Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but excluding money market funds), investment-linked insurance plans.	8
☐ (c) 期權、期貨、認股權證(俗稱「窩輪」)、對沖基金。 Options, futures, warrants, hedge funds and other structured products such as equity linked note/investment.	10

Q5 在一段時間之內，投資價值可升可跌，我們稱之為波動。一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反，風險愈低的投資，其潛在波動愈小，但潛在回報亦相對較低。在一般情況下，您會願意投資於波動程度多大的投資產品？
Over a period of time the value of investments can rise and fall, this is called fluctuation. Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. What level of fluctuation would you generally be comfortable with?

☐ (a) 波動多於-30%至+30% Fluctuates under -30% and over +30%	10
☐ (b) 波動於-30%至+30%	8

Fluctuates between -30% and +30%

☐ (c) 波動於-15 至+15%之間 2

Fluctuates between -15% and +15%

Q6 您有多需要將投資項目變現，來滿足對突發事件的流動資金需要？

How much of your investments would require to liquidate to meet liquidity need for an unforeseen event?

☐ (a) 我不一定會出售任何投資。 10

I would not have to sell any of any my investments.

☐ (b) 我會出售不多於 30%的投資。 8

I would sell no more than 30% of my investments.

☐ (c) 我會出售多於 30%但不於 50%的投資。 4

I would sell more than 30% but less than 50% of my investments.

☐ (d) 我會出售 50%以上的投資。 2

I would sell more than 50% of my investments

Q7 在一般情況下，投資的年期越長，可承受的風險越高，而投資產品的價值亦會波動。當投資於產品時，您會願意接受下列哪項投資年期？有關投資產品的例子，請參閱問題 3。

It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment product? Please refer to Question 3 for examples of such products.

☐ (a) 多過 3 年 10

Over 3 years

☐ (b) 1 至 3 年 4

Between 1 and 3 years

☐ (c) 少過 1 年 2

Less than 1 year

總分數 Total Score：_______________

風險承受能力分析 Risk Tolerance Analysis

總分數 Total Score	<40	41-59	>60
風險承受程度 Risk Tolerance	☐ 低風險 Low Risk	☐ 中風險 Medium Risk	☐ 高風險 High Risk
投資者的一般特徵 Investor General Characteristics	保守型 Conservative 閣下願意承受底度的風險，亦明白會接受比較保守回報。 You are willing to accept low risks. In return, you understand that you will receive low returns.	平衡型 Balance 閣下願意承受中度的風險，於中長線換取潛在回報。 You are willing to accept medium risks in exchange for some potential returns over the medium to long term.	進取型 Aggressive 閣下願意承受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部或全部本金。 You are will to accept very high risks to maxim the size your potential return over the long term. You understand that you may lose a significant part or all of your capital.

投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

<table>
<tr><td>投資目標
Investment Objective</td><td colspan="2">☐ 賺取收入 Generating Income ☐ 資本增長 Capital Appreciation ☐ 對沖 Hedging
☐ 投機 Speculation ☐ 其他 Others_______________________</td></tr>
<tr><td></td><td>主要戶口持有人
Primary Joint Account Holder</td><td>第二戶口持有人
Secondary Joint Account Holder</td></tr>
<tr><td>對衍生產品之認識
Derivative Products Knowledge</td><td>☐ 本人了解衍生產品的性質和風險：
I understand the nature and risks of derivative products by:

1. 已接受有關的培訓或課程
Undergoing relevant training or attending course in

☐ 監管機構 Regulatory Authority ☐ 交易所 Exchange ☐ 大專院校 Tertiary Institution
☐ 進修學院 Education Institution ☐ 金融機構 Financial Institution

2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融擁有有關的工作經驗
By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.

☐ 受監管持牌人士 Regulated Licensed Person ☐ 管理層 Management
☐ 與衍生工具相關後勤 Derivatives Related Back Office

3. ☐ 於過去三年內進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易)
Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

☐ 本人並未有衍生產品之認識
I have NO knowledge of derivative products.</td><td>☐ 本人了解衍生產品的性質和風險：
I understand the nature and risks of derivative products by:

1. 已接受有關的培訓或課程
Undergoing relevant training or attending course in

☐ 監管機構 Regulatory Authority ☐ 交易所 Exchange ☐ 大專院校 Tertiary Institution
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2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融擁有有關的工作經驗
By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.

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Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

☐ 本人並未有衍生產品之認識
I have NO knowledge of derivative products.</td></tr>
<tr><td>投資經驗：
Investment Experience

(可選擇多於一項)
(Can choose more than one)</td><td>☐ 上市證券 Listed Securities 年數 Year(s) (　　)
☐ 期貨或期權 Futures or Options 年數 Year(s) (　　)
☐ 槓桿式外匯 Leveraged Foreign Exchange 年數 Year(s) (　　)
☐ 單位信託基金或債券 Unit Trusts or Bonds 年數 Year(s) (　　)
☐ 其他 Others：____________________
☐ 沒有 None</td><td>☐ 上市證券 Listed Securities 年數 Year(s) (　　)
☐ 期貨或期權 Futures or Options 年數 Year(s) (　　)
☐ 槓桿式外匯 Leveraged Foreign Exchange 年數 Year(s) (　　)
☐ 單位信託基金或債券 Unit Trusts or Bonds 年數 Year(s) (　　)
☐ 其他 Others：____________________
☐ 沒有 None</td></tr>
</table>

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客戶聲明 Customer Declaration：

本人（等）謹此聲明：本人（等）為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。
I hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

______________________________	____________	______________________________	____________
個人/主要帳戶持有人簽署 Signature of Individual/Primary/Account Holder	日期 Date	聯名帳戶持有簽署 Signature of Secondary Joint Account Holder	日期 Date

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You may return the completed form to our Customer Services by fax at (852) 21550848 or email to css@grandchina.hk

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