

**聚富證券有限公司**  
**Riches Depot Securities Co., Limited**

**Client Risk Profiling Questionnaire – Investment Products**  
**投資產品 - 風險承受能力問卷**  
**(for Corporate Account 公司客戶適用)**

This questionnaire serves to help your company to assess the risk attitude based on your company's ability to take risk and your company's risk tolerance level. If your company's situation or investment goals changes, your company should approach us and update the information in this questionnaire as soon as possible for us to re-assess your company's risk profile.

這份問卷是根據貴公司承受風險的能力及風險接受程度以評估貴公司的風險態度。如貴公司的情況或投資目標有變動，應聯絡我們及更新貴公司的資料，以便重新評估貴公司的投資風險取向。

**Information provided will be kept confidential. 貴公司提供的資料將絕對保密。**

Client's Name : 客戶名稱 :	
Client Code : 客戶編號 :	

	Answer & Score 答案與分數
<p>Q1. What is the amount of net liquid assets that your company will set aside for investing in investment product initially and additionally during its investment period 貴公司預留多少淨流動資產用在初始期及投資期內的投資?</p> <p>a. Less than HK\$500,000, 少於港幣\$500,000            b. HK\$500,001 to HK\$1,000,000, 港幣\$500,001 至 港幣\$1,000,000            c. HK\$1,000,001 to HK\$5,000,000, 港幣\$1,000,001 至 港幣\$5,000,000            d. HK\$5,000,001 to HK\$10,000,000, 港幣\$5,000,001 至 港幣\$10,000,000            e. Over HK\$10,000,000, 多於港幣\$10,000,000</p>	
<p>Q2 Does your company employ any dedicated personnel responsible for making investment decisions? 貴公司有否聘用專責人員負責作出投資決定?</p> <p>a. Yes, we have senior management with relevant professional qualifications to make investment decisions. 有, 本公司擁有相關專業資格的管理層負責作出投資決定。            b. No, but we have adequate knowledge on making investment decisions. 沒有, 但本公司對投資決定有足夠知識。            c. No, but we have some knowledge on making investment decisions 沒有, 但本公司對投資決定有一定知識。            d. No, but we have a little knowledge on making investment decisions. 沒有, 但本公司對投資決定有少許知識。            e. No, we do not have knowledge on making investment decisions. 沒有, 本公司對投資決定沒有知識。</p>	
<p>Q3 How many years of investment experience (exclude savings, fixed deposit and foreign currency deposit) does your company have ? 貴公司有多少年投資經驗 (不包括儲蓄、定期儲蓄及外幣儲蓄)?</p> <p>a. Over 10 years, 多於 10 年            b. 7 - 10 years, 7 - 10 年            c. 4 - 6 years, 4 - 6 年            d. 1 - 3 years, 1 - 3 年            e. None or less than 1 year, 沒有或少於 1 年</p>	

<p>Q4 Which of the following products your company has previously invested? 貴公司曾否投資於以下產品? (you may select more than 1 option, 您可選擇多於一項)</p> <p>a. Savings/Fixed Deposits/Foreign Currency Deposit, 儲蓄/定期儲蓄/外幣儲蓄</p> <p>b. Bonds/Certificate of Deposits/Stocks/Mutual Funds/Unit Trust, 債券/存款證/證券/基金/單位信託基金</p> <p>c. Investment-Linked Insurance Plans, 投資相連保險計劃</p> <p>d. Derivatives/Structure Products/Linked Deposits/FX Trading (Margin/Leveraged), 衍生產品/結構性產品/掛鈎存款/外匯投資 (孖展/槓桿)</p> <p>e. None, 沒有</p>	
<p>Q5 How long is the expected investment horizon of your company? 貴公司的預計投資年期是多久?</p> <p>a. Over 10 years, 多於 10 年</p> <p>b. 7 - 10 years, 7 - 10 年</p> <p>c. 4 - 6 years, 4 - 6 年</p> <p>d. 1 - 3 years, 1 - 3 年</p> <p>e. Less than 1 year, 少於 1 年</p>	
<p>Q6 What is current objective for investment of your company? 貴公司現時之投資目標是?</p> <p>a. Maximize capital growth as soon as possible 以最短時間, 爭取最高回報</p> <p>b. Gradual long-term capital growth 資本長期地逐漸增長</p> <p>c. Stable, balanced income and capital growth 穩定、平衡收入與資本增長</p> <p>d. Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報</p> <p>e. Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報</p>	
<p>Q7 Which of the following statement could best describe your company's attitude towards investment risk? 以下那一段句子最能反映貴公司對風險的態度?</p> <p>a. We never consider risks, as we aim to maximize returns 本公司不會考慮風險, 務求得到最高回報</p> <p>b. We are willing to accept more risks, as we aim for more returns 本公司願意承受較高的風險, 以換取更高回報</p> <p>c. We are willing to strike a balance between risks and returns 本公司會平衡風險與回報</p> <p>d. We will try to avoid risks but minor ones are still acceptable 本公司會盡量回避風險, 但仍可承受較低的波動</p> <p>e. We are risk averse and don't want to take any risks 本公司不願意承受任何風險</p>	
<p>Q8 Generally, the higher the expected return the higher price fluctuation may be involved. What level of annualized price fluctuation would your company generally be comfortable with? 一般而言, 預期較高回報, 亦會涉及較高的價格波幅。貴公司可以接受以下哪個年度價格波幅?</p> <p>a. Price fluctuates between -20% and +20%, 價格波幅介乎 -20% 至 +20%</p> <p>b. Price fluctuates between -15% and +15%, 價格波幅介乎 -15% 至 +15%</p> <p>c. Price fluctuates between -10% and +10%, 價格波幅介乎 -10% 至 +10%</p> <p>d. Price fluctuates between -5% and +5%, 價格波幅介乎 -5% 至 +5%</p> <p>e. No price fluctuation, 沒有價格波幅</p>	
<p>Q9 In general, how much liquid assets (including cash or highly liquid assets: e.g. foreign currency, bullion etc.) has your company reserved for monthly operational expenses? 在一般情況下, 貴公司會預留多少流動資金(包括現金或高流通性資產: 如外幣、黃金等)作為每月營運開支儲備?</p> <p>a. 12 months or above operational expenses, 12 個月以上的營運開支</p> <p>b. 6 month to less than 12-month operational expenses, 6 個月至 12 個月以下的營運開支</p> <p>c. 3 month to less than 6-month operational expenses, 3 個月至 6 個月以下的營運開支</p> <p>d. Less than 3 months operational expenses, 少於 3 個月的營運開支</p>	

<p>Q10 Derivative Knowledge 衍生產品的知識</p> <p>a. Have the personnel who make investment decision for your company undergone training or attended courses on structured or derivative product(s)? 貴公司負責作出投資決定的人員以往曾否接受有關結構性或衍生產品的培訓或修讀相關課程? (Yes 有, No 沒有)</p> <p>b. Does the personnel who make investment decision for your company has current or previous work experience related to structured or derivative products? 貴公司負責作出投資決定的人員現時或過去與結構性或衍生產品有關的工作經驗? (Yes 有, No 沒有) 如過去有相關結構性或衍生產品的工作經驗，請提供下列資料: 僱主名稱: _____ 部門及職位: _____</p> <p>c. Does the personnel who make investment decision for your company has trading experience in structured or derivative product(s) (e.g. Callable Bull/Bear Notes/Stock Options/Derivative Warrants/Equity Linked Notes etc)? 貴公司負責作出投資決定的人員以往曾否有投資衍生產品的經驗(如牛熊證/股票期權/衍生認股證/股票掛鈎產品等) (Yes 有, No 沒有)</p> <p>d. Have your company executed five or more transactions in structured or derivative products within the past three years? 貴公司曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? (Yes 有, No 沒有)</p>	
<p><b>Total Score 總分數</b></p>	

Overall Assessment Result 投資者取向評估結果

Total Score 總分數	≤ 19	20 – 29	30 – 39	40 – 49	≥ 50
Risk Tolerance Level 風險承受程度	Low 低	Low-to-Medium 低至中	Medium 中	Medium-to-high 中至高	High 高
Investor Characteristics 投資者特徵	Conservative 保守型 An investor who is risk-averse and to whom capital preservation is very important. 投資者對風險採取比較保守的態度及重視保存資本	Stable 穩健型 An investor who would like to have the capital gain potential, and he/she understands he/she needs to take a low to medium level of risk in respect of the capital invested. 投資者喜愛有資本增值的潛力的投資，同時亦明白到需要承擔低至中度風險。	Balance 平衡型 An investor who is willing to accept a medium level of risk. 投資者願意承擔中等程度的險。	Growth 增長型 An investor who would like to have greater capital gain potential, and he/she understands that he/she needs to take a high level of risk. 投資者喜愛有較大資本增值潛力的投資，同時亦明白到需要承擔高程度的風險	Aggressive 進取型 An investor who would like to have significant capital gain, and he/she understands that he/she needs to take a very high level of risk in respect of the capital invested. 投資者喜愛有可觀資本增值的投資，同時亦明白到要承擔相當高的風險

If your company choose to deviate in any respect from the Risk Profile process, your company must indicate the reason(s) in writing. Your company's Investment Appetite/Risk Profile is classified as "Conservative".

如貴公司選擇不填報上述風險評估，貴公司必須書面詳述有關原因。貴公司的整體投資取向/風險概況將定為“保守型”

(Client must complete explanation in own handwriting in this box) (客戶必須在此親筆填寫解釋)

## DISCLAIMER 免責聲明

This questionnaire and the result is only one of the factors you may take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision. Riches Depot Securities Co, Limited (RDS) accepts no responsibility or liability as to the accuracy or completeness of the information provided by you in this questionnaire and the results. Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the product before making any investment decision. You should always make your own investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc. Licensed Person of RDS will assist in explaining whether a product is suitable for you according to the said factors but you should note that no representation is made or implied by RDS. 本問卷和結果只是貴公司考慮投資的其中一個因素。以上並不應被視為投資建議，要約出售，或徵求購買任何金融產品。貴公司應該仔細考慮貴公司的投資目標及承受風險能力，並尋求獨立專業意見，才作出任何投資決定。聚富證券有限公司對於本問卷由貴公司提供的資料及結果的準確性或完整性不承擔任何責任。投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升亦可跌，而所呈列的過往表現資料並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細了解該產品的性質和風險。當貴公司作出投資決策前，須考慮貴公司的財務狀況，投資經驗，投資目標，獨立專業意見等因素。聚富證券有限公司持牌人會根據上述因素，協助解釋產品是否適合貴公司作出投資。但貴公司要注意，這並非為，亦非被指為聚富證券有限公司的任何陳述。

## Personal Information Collection Statement 個人資料收集聲明

The personal information collected will be used for any of the purposes set out above. Depending on the actual business or operational needs, the personal information collected may be transferred to (i) the administrative, operating or information technology departments of any member of the Riches Depot Securities Co. Ltd. (RDS); (ii) any third party service provider to RDS who has a legitimate need to obtain the information in connection with the provision of the relevant service to RDS; (iii) any business partner or other financial product issuer having business relationship with RDS who has a legitimate need to obtain the information in connection with the provision of the relevant financial product to the client; and (iv) any governmental, judicial, statutory or self-regulatory authority having competent jurisdiction over any member of RDS whether in Hong Kong or elsewhere. Subject to the aforesaid, the personal information held by us is kept confidential. This form will be destroyed not later than 1 year after it no longer serves any of the purposes set out herein. As part of the business records of RDS, this form may be retained for a substantial period of time due to the need to comply with applicable laws or regulatory requirements. 此表格所收集之個人資料將被使用於以下用途。基於實際的商業及營運需要，該等資料可能被（i）聚富證券任何成員之行政、運作及資訊科技部門；（ii）任何向本公司提供服務之供應商，而該服務供應商就其提供有關服務是有合理需要知道相關資料的；（iii）任何與本公司有業務關係的商業夥伴或其他金融產品發行人，而該夥伴或發行人就其提供有關金融產品予客戶是有合理需要知道相關資料的；及（iv）任何對本公司任何成員具有適當管轄權之政府機關、司法機關、法定機關或業界自我監管機關。除用於上述目的外，閣下之個人資料將會保密。如此表格不再適用於以上所提及之任何用途，將於其後一年內被銷毀；但此表格可能會被保留一段相當時間，以符合有關法律及監管要求。

Client may access or make corrections to any personal information provided to or collected by RDS, and such request can be made to RDS at Unit 3201, No.9 Queen's Road Central, Central, Hong Kong 閣下有權查閱及要求更正本公司持有有關閣下的個人資料，並以書面向本公司(地址為香港中環皇后大道中9號3201室)提出要求。

## Client's Declaration 客戶聲明

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.

本人(等) 謹此聲明：本人(等) 為本問卷所提供資料均是真實，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 agree and accept the above assessment of my investment appetite / risk profile.  
本人同意並接受上述評估結果及本人確認同意本問卷評估本人所屬的投資取向/風險概況。
- I disagree with the above assessment and my investment appetite / risk profile should be:  
本人不同意上述評估結果，且認為本人的投資取向/風險概況為：

Client's Signature 客戶簽署

\_\_\_\_\_  
Name 姓名：

\_\_\_\_\_  
Date 日期：

For Internal Use Only 只供內部使用

Signature of Licensed Person of RDS  
聚富證券持牌人簽署

Approved by Department Head or Responsible Officer  
部門主管或負責人員批核

Declaration: I hereby declare and confirm that this question-  
naire is duly completed by the client.

聲明：本人謹此聲明及確認此問卷由客戶親自填寫

Name 姓名：

Date 日期：

CE No. 中央編號：

Name 姓名：

Date 日期：

CE No. 中央編號：