華融國際證券有限公司
HUARONG INTERNATIONAL SECURITIES LIMITED

風險評估取向問卷 Risk Profiling Questionnaire
(公司帳戶/ Corporate account)

本問卷旨在評估貴公司對風險的態度及對投資風險的承受程度。雖未必能準確反映閣下的實際風險承受程度，但亦可估算出閣下對擬投資的產品的適合情況。如有需要，請尋求專業意見。
This questionnaire is designed to help you assess the risk and risk tolerance level of your company. Though it may not accurately reflect your actual risk tolerance level, it may help assess the suitability about investing in particular products. However, if necessary, please seek professional advice.

閣下確認完全負責確保所提供的答案及資料乃是完整、準確及最新的。因此，若閣下的情況有變，閣下須盡快通知華融國際證券有限公司，因為該變化可能影響對閣下的可承受風險程度的評估。

You acknowledge that you are solely responsible for ensuring that the answers and information you provide are complete, accurate and up to date. Accordingly it is your responsibility to notify Huarong International Securities Limited (“**Huarong**”) in a timely manner if your circumstances have changed, as such may affect the assessment of your risk tolerance level towards investment risk.

本人明白本人與華融國際證券有限公司的職員就此「風險評估取向問卷」之全部談話內容有可能會被錄音，以符合相關的法例要求，本人亦同意該錄音。
I understand that the whole of my conversation with staff of Huarong in respect of this Risk Profiling Questionnaire may be audio recorded for Huarong to comply with the relevant regulatory requirement(s) and I hereby agree to such audio recording.

1. 貴公司欲於華融國際證券有限公司投資哪一類型產品(註：此選擇類別應與華融國際證券有限公司的開戶文件或任何其他文件的選擇一致)？
From the following list of products offered by Huarong, please select the ones that you would like to invest in.

- ☐ 孖展／期貨／認股權證
  Margin trading / futures / stock options
- ☐ 股票 (港股、美股等)
  Equity (HK stock, US stock etc)
- ☐ 債券／外幣
  Bonds / foreign currency
- ☐ 其他投資產品 (請列明:____))
  Other investment products

2. 閣下預計使用華融戶口的頻密程度 **Anticipated Frequency of Account Usage :**

- ☐ Daily 每日 ☐ Weekly 每週
- ☐ Fortnightly 每兩週 ☐ Monthly 每月
- ☐ Bi-Monthly 每月 ☐ Quarterly 每季
- ☐ Half-yearly 每半年 ☐ Yearly 每年
- ☐ Others, please specify(其他, 請列明): ______________________________

3. 閣下的開戶目的為 **Intended Purpose of Opening Account :**

- ☐ Business Operations 業務營運
- ☐ Investment 投資
- ☐ Fixed Deposit or Savings 定存儲蓄
- ☐ Others, please specify 其他，請列明: ____________________________

2017.08

以下為問卷部份, 請在適當位置加上“√” 號。Please see the risk profiling questionnaire below and please "√" where appropriate.

1) 貴公司有否聘用專責人員負責作出投資決定? Does your company employ any dedicated personnel responsible for making investment decision?

☐ A) 沒有，本公司對投資決定方面沒有認識。No, we do not have knowledge on making investment decisions.

☐ B) 沒有，但本公司對投資決定有少許知識。No, but we have a little knowledge on making investment decisions.

☐ C) 沒有，但本公司對投資決定有一定知識。No, but we have some knowledge on making investment decisions.

☐ D) 沒有，但本公司對投資決定有豐富知識。No, but we have rich knowledge on making investment decisions.

☐ E) 有，本公司擁有相關專業資格的管理層負責作出投資決定。Yes, we have senior management with relevant professional qualifications to make investment decisions.

2) 貴公司預留多少淨流動資產用於初始期及投資期內的投資? Which 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?

☐ A) 少於港幣$500,000 Less than HK$500,000 ,

☐ B) 港幣 $500,001 至 港幣 $1,000,000 Between HK$500,001 to HK$1,000,000 ,

☐ C) 港幣 $1,000,001 至 港幣 $5,000,000 Between HK$1,000,001 to HK$5,000,000 ,

☐ D) 港幣 $5,000,001 至 港幣 $10,000,000 Between HK$5,000,001 to HK$10,000,000 ,

☐ E) 多於港幣 $10,000,000 Over HK$10,000,000 ,

3) 貴公司主要的投資目標是甚麼？Which is your company's primary investment objective?

☐ A) 資本保值 Primary capital maintenance

☐ B) 定期收入 Regular income

☐ C) 適度至較高資本增值 Moderate to strong capital appreciation

☐ D) 強勁資本增值 Strong to aggressive capital appreciation

☐ E) 對沖 Hedging

4) 以下哪一項最適合用來形容貴公司的投資目的及可承受的損失程度? Which of the following best describes your investment objective and the degree of losses you can tolerate?

☐ A) 我的投資目的是保障我的資金並獲得存款回報，及我可承受最低程度的資本損失。

My investment objective is to protect my capital and to receive returns in line with bank deposits, and I can tolerate minimal capital loss.

☐ B) 我的投資目的是獲得定期穩定收入至稍為優於穩定的收入，及我可承受中等程度的資本損失。

My investment objective is to seek a regular stream of stable income, and I can tolerate moderate capital loss

☐ C) 我的投資目的是取得不錯的投資回報，及我可承受中等至高程度的資本損失。

My investment objective is to seek a reasonably good investment return, and I can tolerate moderate to high capital loss

☐ D) 我的投資目的是尋求資本增值，及我可承受高程度的資本損失。
My investment objective is to seek predominately capital growth, and I can tolerate high capital loss.

☐ E) 我的投資目的是以最低的成本博取極高回報，及我可承受極高程度的資本損失。
My investment objective is to seek highest return with minimal cost, and I can tolerate high capital loss.

5) 貴公司預期中的投資年期為多久？What is the expected investment horizon of your company?

☐ A) 少於 1 年 Less than 1 year

☐ B) 1 年至 3 年 1 to 3 year(s)

☐ C) 4 年至 6 年 4 to 6 years

☐ D) 7 年至 10 年 7 to 10 years

☐ E) 10 年以上 More than 10 years

6) 貴公司會願意投資於波動程度多大的產品？What level of fluctuation in the value of products will your company be willing to commit?

注意：閣下的答案應反映於一般情況下能接受的波動程度。Note: Your answer should reflect only on volatility level under normal circumstances.

☐ A) 於-5%至+5%之間的波動 Fluctuation between -5% to +5%

☐ B) 於-20%至+20%之間的波動 Fluctuation between -20% to +20%

☐ C) 於-40%至+40%之間的波動 Fluctuation between -40% to +40%

☐ D) 於-70%至+70%之間的波動 Fluctuation between -70% to +70%

☐ E) 超過-100%至+100%的波動 Fluctuation more than -100% to +100%

7) 貴公司過去 5 年的最近 24 個月內曾持有哪些投資產品？（可選擇多於一項）In the last 5 years, Which of the following products have your company ever held during the past 24 months? (Can tick more than one item)

☐ A) 過去 5 年未持有任何投資產品
None of the above investment products have been held during the past 5 years

☐ B) 存款證／定期存款/ 政府機構發行債券／外幣 (過去五年交易次數: ______________)
Certificates of deposits / Term deposits/ Government Bond/ Foreign Currency (No. of Times during the past 5 years:)

☐ C) 股票 (或包括美股、滬深港通股) (過去五年交易次數: ______________)
Equity (US stock, stocks under Stock Connect) (No. of Times during the past 5 years:)

☐ D) 孖展／期貨／認股權證／窩輪 (過去五年交易次數: ______________)
Margin trading / futures / stock options / warrants (No. of Times during the past 5 years:)

☐ E)其他結構性產品 (e.g. 累計期權) (過去五年交易次數: ______________)
Other structured products (e.g. accumulator) (No. of Times during the past 5 years:)

8) 貴公司投資於金融產品（包括存款證、外幣、股票、債券、期貨、認股權證、結構性產品等）的經驗有多久？How long is your company's investment experience in financial products (including certificates of deposits, foreign currency, stocks, bonds, futures, stock options, structured products, etc.)?

☐ A) 少於 1 年 Less than 1 year
☐ B) 少於 3 年但多於 1 年 Less than 3 years but more than 1 year
☐ C) 少於 5 年但多於 3 年 Less than 5 years but more than 3 years
☐ D) 少於 10 年但多於 5 年 Less than 10 years but more than 5 years
☐ E) 10 年或以上 10 years or above

風險取向計算表 **Risk Profile Calculation Table**

請根據下表計算閣下的分數：Please calculate your scores according to the table below:

問題 Question	**A**	**B**	**C**	**D**	**E**	**閣下分數 Your scores**
問題 Question 1	1	2	3	4	5	
問題 Question 2	1	2	3	4	5	
問題 Question 3	1	2	3	4	5	
問題 Question 4	1	2	3	4	5	
問題 Question 5	1	2	3	4	5	
問題 Question 6	1	2	3	4	5	
問題 Question 7*	1	2	3	4	5	
問題 Question 8	1	2	3	4	5	

* 由於問題可選擇多於一個答案，計算分數時請選用分數最高的答案。* As multiple answers may be possible, only the answer carrying the highest score is counted in the calculation.

請將 8 條問題的分數加起來並在方格內寫出閣下的風險分數：

Please total the scores for the ten questions and write your risk score in the box :

風險分數 **Risk Score**	風險取向說明 **Risk Profile Description**	合乎此風險程度的投資產品 Investment products commensurate with the risk level
1-15	**風險取向 ：較低風險承受型 Risk Profile: Low to Slightly Moderate** 閣下可接受較低至中度的風險及價格波動，和相對較低的投資回報 You can accept a low to slightly moderate level of risk and price fluctuation on your investment coupled with a relatively low level of potential return	股票/ 政府機構發行債券等 Equities/ Government Bonds etc.
16-30	**風險取向 ：中至高風險承受型 Risk Profile: Moderate to High** 閣下可接受中至高風險及價格波動，並以資本增長為中至稍長期目標 You can accept a moderate to high level of risk and price fluctuation on your investment, and aim at a medium to longer term capital growth	孖展／期貨／認股權證／窩輪等 Margin trading / futures / stock options / warrants etc.
31-40	**風險取向 ：進取型 Risk Profile : Aggressive** 閣下可接受高至最高風險及價格大幅波動，並以高資本增值為目標 You can accept a higher or the highest level of risk and price fluctuation on your investment, and aimed at maximum capital growth	其他結構性產品/ 衍生產品 Other structured products/ derivatives etc.

備註：Note:

本問卷及測試結果僅供參考，並不構成投資建議，亦不得視為建議游說買賣任何投資產品或服務。本問卷並不 能取代獨立的專業意見。華融國際證券有限公司對本問卷內容及結果的準確性及完整性概不作出任何保證。閣下應定期檢討投資策略。如有需要，閣下可於日後再次填寫本問卷以重新評估閣下的風險取向。

This questionnaire and the test results are for reference only. They do not constitute investment advice and should not be regarded as solicitation or recommendation to buy or sell any investment products or services. The questionnaire is not a substitute for independent professional advice. Huarong does not guarantee the accuracy and completeness of the content of the questionnaire and the results. You should regularly review your investment strategy. If necessary, you may complete the questionnaire again in the future in order to re-evaluate your risk appetite.

客戶聲明 Client's declaration:

☐ 本人/吾等確認本人/吾等的可承受風險程度已正確地陳述如上，而本人/吾等所提供的資料均屬正確。
I/We confirm that the Risk of my/ our company is correctly stated above and that the information I/we have supplied is correct.

☐ 本人/吾等授權並同意華融國際證券有限公司 (「華融證券」)使用本人/吾等於此問卷內提供的資料，以作(i)開立或維持任何及所有本人/吾等於華融證券及相關公司持有或將會持有之帳戶；(ii) 符合任何法律或法規之要求；及(iii) 所有適用於相關帳戶之「客戶協議」附件五內有關個人資料（私隱）條例的客戶通知書所載之其他用途。
I/We hereby authorize, and give our consent to, Huarong to use the information provided by us in this form for the purpose of (i) opening and maintaining any and all of our account(s) held with or to be held with Huarong and (ii) comply with any legal or regulatory requirements and (iii) all other purposes set out in the Notice to Client Relating to the Personal Data (Privacy) Ordinance set out in Annexure 5 to the Client Agreement as amended from time to time.

適合性聲明 Suitability Declaration:

☐ 本人/吾等明白及同意，根據本人/吾等填寫的「風險評估取向問卷」時披露現時的需要及投資風險概況，有關產品之特色及其風險級 別與本人/吾等所選擇的風險承受程度均適合本人/吾等。
I / We understand and agree that, in accordance with my/our investment needs and risk profiles as set out in the Risk Profiling Questionnaire, the characteristics of the product(s) and its risk rating is appropriate to my/our risk tolerance level.

註: 投資涉及風險。過往的表現不能作為日後表現的指標。

Remark: Investment involves risk. Past performance is not indicative of future performance.

填寫及簽署人	**見證人**
Completed and signed by	**Witness**
客户簽署及公司蓋章：	證監會持牌人簽署：
Client's signature with Company chop:	Signature of SFC licensed Representative:
______________________________	______________________________
客户全名：	證監會持牌人全名：
Full Name of signing person on behalf of the company (directors / authorized persons):	Full name of SFC licensed representative:_______________
______________________________	持牌人中央編號 ：
	CE No. of SFC Licensed Representative: _______________
日期（日/月/年）:	日期（日/月/年）:
Date	Date
(DD/MM/YYYY):________________________	（DD/MM/YYYY):________________________________

註:請提供風險評估取向問卷的副本予客戶存檔。
Remarks: Please provide a copy of completed and signed Risk Profiling Questionnaire to the client.