富邦證券(香港)有限公司
香港北角電氣道 218 號香港李寧大廈 10 樓 1002 室
Fubon Securities (Hong Kong) Limited
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218 Electric Road, North Point, Hong Kong
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Client Investment Risk Preference Questionnaire (Individual/Joint Account)
客戶投資風險取向分析問卷 (個人/聯名)

Account Number 帳戶號碼:______________ Account Name 客戶名稱: ____________________

This Investment Risk Preference Questionnaire (hereinafter defined as "the Questionnaire") should be completed by the Client himself/herself. Before completion of the Questionnaire, the Client should consider his or her own circumstances. If the information provided herein is untrue or inaccurate, the Client has to bear all responsibilities and consequences. The purpose of the Questionnaire is to understand the Client's investment risk preference, which would assist the Client to choose a compatible class of investment products. However, the risk tolerance level is different from person to person and it may affect the investment return (if any) of an investor. The Client is requested to answer all of the following questions. The analysis result is based on the sum of scores for each answer. However, our Company reserves the right of final determination of the risk level of the Client when investment service is provided. If the Client does not accept the risk level as finally determined by our Company, our Company reserves the right of refusing to provide any investment service to the Client.

此投資風險取向分析問卷(「本問卷」)應由客戶親自填寫，客戶應慎重考慮自身的情況回答本問卷。如本問卷所提供的資料不真實或不正確，客戶須承擔所有責任與後果。本問卷係為協助本公司瞭解客戶的投資風險取向，藉此協助客戶選擇相互配合的投資產品類別。惟風險承受能力因人而異，它可能會影響投資人的投資回報率(如有)。請客戶回答下列所有問題，分析結果將按所有答案的總評分計算。惟本公司在提供投資服務時，將保留最終決定客戶風險等級的權利。如客戶不接受本公司所最終決定之風險等級，本公司將保留拒絕為該客戶提供任何投資服務的權利。

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

I . Basic Information 基本資料

1. **Age 年齡：**
   - ☐ A. ≥65* 65 歲或以上
   - ☐ B. 52-64 52-64 歲
   - ☐ C. 39-51 39-51 歲
   - ☐ D. 26-38 26-38 歲
   - ☐ E. 18-25 18-25 歲
2. **Education Level 教育程度：**
   - ☐ A. Primary 小學/國小 (含以下)
   - ☐ B. Middle School 中學/國中
   - ☐ C. Diploma 高職/高中
   - ☐ D. Degree Holder 專科/大學
   - ☐ E. Master/DR. 碩士/博士
3. **Your annual income (HK$) 您的每年收入(港幣)：**
   - ☐ A. ≤$200,000
   - ☐ B. $200,001 - $500,000
   - ☐ C. $500,001 - $1,000,000
   - ☐ D. $1,000,001 - $5,000,000
   - ☐ E. > $5,000,000

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4. **Your liquid assets (HK$) (excluding the value of self-occupied properties)** 您的流動資產(港幣)：

- ☐ A. < $200,000
- ☐ B. $200,001 - $500,000
- ☐ C. $500,001 - $1,000,000
- ☐ D. $1,000,001 - $5,000,000
- ☐ E. > $5,000,000

5. **What is your total net worth (HK$)** 您的淨資產總額(港元)：

- ☐ A. < $200,000
- ☐ B. $200,001 - $500,000
- ☐ C. $500,001 - $1,000,000
- ☐ D. $1,000,001 - $5,000,000
- ☐ E. > $5,000,000

6. **With reference to your above answer, percentage of liquid assets will be allocated to make investments** 承上題，您預期動用多少百分比的流動資產作投資？

- ☐ A. < 10 %
- ☐ B. 10% - 20 %
- ☐ C. 20% - 30 %
- ☐ D. 30% - 40 %
- ☐ E. > 40 %

II. General Investment Goal 一般投資目的

1. **What is your general investment goal** 您的投資目的？

- ☐ A. Require capital preservation 要求保本
- ☐ B. For a higher return than time deposit 獲取高於定存的報酬
- ☐ C. For a stable growth of assets 資產穩健增長
- ☐ D. For an accelerated growth of assets 資產快速增長
- ☐ E. For a quick profit from investment capital in a short period 迅速獲得短期資本利得

2. **What is your expectation of investment return** 您期望的投資報酬率？

- ☐ A. < 5 %
- ☐ B. 5 % - 15 %
- ☐ C. 15 % - 25 %
- ☐ D. 25 % - 35%
- ☐ E. > 35%

3. **What is your tolerance of investment lost** 您可承受的投資損失？

☐ A. 0 % ☐ B. < 5 % ☐ C. 5 % - 15 % ☐ D. 15 % - 25 % ☐ E. > 25 %

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4. What is your investment horizon 您可接受的投資期限？

☐ A. < 1 year 年

☐ B. 1 - 3 years 年

☐ C. 3 - 5 years 年

☐ D. 5 - 10 years 年

☐ E. > 10 years 年

III. Investment Experience 投資經驗

1. What is your knowledge of financial markets and investments 您對金融商品專業知識&投資交易經驗？

☐ A. None, We have no knowledge of financial markets.
無認識，本人對金融市場一無所知。

☐ B. Low, We have only some basic knowledge of financial markets such as difference between bonds and stocks.
低水平，本人對金融市場只有一些基本認識，如分別債券及股票。

☐ C. Medium, We have above basic knowledge and understand the importance of diversification and practice it.
中等水平，本人對金融市場不但有基本認識，亦明白分散投資的重要性，會作出分散投資低水平。

☐ D. High, We know how to read a company's financial reports and understand the factors affecting the prices of stocks and bonds.
高水平，本人懂得閱讀公司的財務報告，並從而了解影響股票和債券的價格的因素。

☐ E. Advanced, We are familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand the various factors that may affect the risk and performance of these financial products.
精通，本人熟識大部份金融商品(包括債券、股票、認股權證、期權及期貨、結構性/複雜性產品等)，並明白影響這些金融產品的風險和表現的各項因素。

2. Have you had any experience of investing in Stocks/Futures/Options/etc? (You may select more than 1 option). 您曾否持有以下任何投資商品？(可複選)

☐ A. Cash, deposits, certificates of deposit, capital protected products, HKSAR Government Bond.
現金、存款、存款證、保本產品、香港政府債券。

☐ B. Listed stocks, Non-complex Bond, bond funds.
一般掛牌股票、非複雜債券、債券基金。

☐ C. Foreign currencies,non capital protected currency linked structured products
外幣、非保本之貨幣掛鉤結構投資產品。

☐ D. Stocks, open-end funds excluding bond funds and money market funds, non capital protected equity linked structured products, investment linked insurance plans, commodities, Physical ETFs.
股票、開放式基金(不包括債券基金或貨幣市場基金) 、非保本之股票掛鉤結構投資產品、具投資成分的保險計劃、商品、實物資產交易所買賣基金。

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☐ E. Derivatives, Options, futures, warrants, CBBCs, Synthetic ETFs, Hedge funds, Perpetual Bond, Convertible Bond, Complex Bonds.
衍生性產品、期權、期貨、認股權證(窩輪)、牛熊證、合成交易所買賣基金、對沖基金、永續債券、可換股債券及複雜債券。

3. **How many years of investment experience do you have**
承上題，您有多少年之投資經驗?

☐ A. No experience / < 1 year 沒有經驗 / 1 年以下
☐ B. 1 - 2 years 年
☐ C. 3 - 5 years 年
☐ D. 6 - 10 years 年
☐ E. > 11 years 年

4. **Have you ever used margin facilities to invest in stocks and foreign exchange?**
您是否有使用孖展(融資)買賣股票、外匯？

☐ A. No experience / < 1 year 沒有經驗 / 1 年以下
☐ B. 1 - 2 years 年
☐ C. 3 - 5 years 年
☐ D. 6 - 10 years 年
☐ E. > 11 years 年

5. **Are you comfort able with investing in structured note and fund products not authorized by the Securities and Futures Commission of Hong Kong SFC ””) or in fixed income securities not listed in any recognized Exchange?**
對投資於未獲香港證券及期貨事務監察委員會（「 證監會 」）認可的結構性票據及基金產品或沒有在任何認可交易所上市之定息債券，您是否放心？

☐ A. No, I shall only consider structured note and fund products authorized by SFC and fixed income securities listed in recognized Exchange.
不放心，本人只考慮經香港證監會認可之結構性票據及基金產品及有在認可交易所上市之定息債券。

☐ B. Yes, but I will only consider investing those structured note, fund products and fixed income securities that are issued by Issuers with sound background and reputation.
是，本人只考慮投資由良好的背景和信譽的發行人發行的結構性票據、基金產品及定息債券。

☐ C. Yes, I may consider investing in those structured note, fund products and fixed income securities that have sound proven investment performance.
是，本人可能會考慮投資於有良好的投資表現的結構性票據、基金產品及定息債券。

☐ D. Yes, I may consider investing in all kinds of investment products that can fulfill my investment Objectives including, but not limited to, private placements, unauthorized fund, hedge funds, convertible bonds and other fixed income securities not listed in any recognized Exchange.
是，本人可能會考慮所有能夠滿足本人的投資目標的投資產品，包括但不僅限於私募、非認可的基金、對沖基金、可換股債券及沒有在任何認可交易所上市之定息債券。

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☐ E. Yes, I may consider investing in all kinds of investment products that can fulfill my investment objectives including, but not limited to, private placements, unauthorized fund, hedge funds, convertible bonds, other fixed income securities not listed in any recognized Exchange and Structured Product (Non-principal Protected) Equity Linked Note/ Non-principal Protected Structured Note.
是，本人可能會考慮所有能夠滿本人的投資目標的投資產品，包括但不僅限於私募、非認可的基金、對沖基金、可換股債券、沒有在任何認可交易所上市之定息債券及結構性票商品(非保本)股票掛鈎結構型票據/非保本結構型票據。

Important Notice 重要通知：

1. The accuracy of the analysis result of the Questionnaire is subject to the answers submitted by the Client. Such result is for reference only and should not replace any suitable and independent professional advice. If there is any doubt, the Client should conduct independent assessment on the suitability of a financial product.
本問卷分析結果的準確性視乎客戶所填寫的答案而定。該分析結果僅供參考之用，並不代替任何合適及獨立的專業意見。如有任何疑問，客戶應該對投資產品是否合適進行獨立評估。
2. Calculations and values used in this Questionnaire are used for illustration only. Our Company accept no responsibility or liability as to the accuracy or completeness of the information containing in this Questionnaire and/ or the analysis result.
本問卷採用的方式及取值僅供說明用途。本公司對本問卷所載資料及/或所得結果的準確性或完整性並不負責或承擔任何法律責任。
3. If the Client has any change of investment risk preference and/or financial situation, please notify our Company soonest so that our Company may use such updated information/investment risk preference as reference for provision of service.
客戶自身的投資風險取向及/或財務狀況如有變更，請儘快通知本公司，本公司將以客戶提供最新的資料/投資風險取向作為提供服務的參考依據。

Risk Disclosure 風險披露聲明：

Although investment may bring about profit opportunities, each kind of investment tool comes with its own risks. Due to the fluctuating nature of the markets, the prices of products may rise or fall below customers' expectations and customers' investment funds may increase or decrease in value as a result of selling or purchasing investment products. Before making any investment decision, customers should assess their own willingness and ability to bear risks and understand the nature of the relevant product and its associated risks. Customers are advised to seek professional advice from an independent financial advisor.
This questionnaire is only intended to help customer to understand his/her risk profile and investment needs and is for reference purpose only. It does not constitute an offer or invitation of an offer to purchase or subscribe for any investment product.

投資雖可帶來獲利機會，但每種投資工具都有其風險。由於市場瞬息萬變，投資產品之買賣價格升跌及波幅可能非如客戶預期，客戶資金可能因買賣投資產品而有所增加或減少。客戶在作出任何投資決定之前，須評估本身承受風險的意願及能力，並了解有關產品的性質及相關風險。客戶應徵詢獨立財務顧問的專業意見。
本問卷僅作為參考之用，藉以協助客戶了解可承受的風險程度及投資需要，並不構成購買或認購任何投資產品的邀請或要約。

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Authorized Signature(s) of Client(s) 客戶授權簽署

1. I/We confirm that the above result of investment risk preference analysis truly reflect my/our investment preference.
   本人/吾等確認上述投資風險取向分析的結果正確反映本人的投資風險取向。
2. I/We understand that the above investment risk preference analysis result will override my/our answer on the Account Opening Form.
   本人/吾等明白上述投資風險取向分析的結果將取代本人/吾等於開戶表之答案。

Client's Authorized Signature (s): 客戶授權簽署:	Joint Client's Authorized Signature(s) (if applicable): 聯名客戶授權簽署(如適用):
______________________________	______________________________
Client Name 客戶姓名： Date 日期：	Joint Client Name 聯名客戶姓名： Date 日期：

Signature of Witness 見證人簽署 (Only for Client aged above 65 僅適用於 65 歲以上客戶)

*Client aged above 65 requires an independent third party to witness such Client's signature below and to confirm and acknowledge the content of this completed form and the above Result of Investment Risk Preference Analysis. Such third-party witness must be an independent Responsible Officer or Executive Officer registered with HK SFC or such Client's relative aged below 65.

*65 歲以上的客戶，需由獨立的第三方人士見證該客戶以下的簽署，並確認此填妥表格的內容及上述投資風險取向分析結果。此見證人必須為獨立的香港證監會註冊持牌法團負責人員或註冊機構主管人員或客戶的 65 歲以下親屬。

Signature of Witness 見證人簽署：__________________________	Relationship 與客戶關係：_________________________
Name of Witness 見證人姓名：__________________________	ID Number 見證人身份證號碼：__________________

Declaration of FBSHK Representative 富邦證券(香港)代表聲明：

The above client/ joint client signature(s) was/were made in my/ our presence
以上客戶/聯名客戶簽署乃本人/吾等面前簽立。

Signature of FBSHK Representative: ______________________

Name: ________________________

Date:__________________

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Result of Investment Risk Preference Analysis 投資風險取向分析結果

(如為聯名帳戶將以較高投資風險取向為主)

Client Risk Tolerance Assessment Result 客戶風險承受能力評估結果

Score calculation 計算分數

Please total up your score as follows： 請以下列方式計算總分：	Answer (A) = 1 point 答案(A) = 1 分 Answer (B) = 2 points 答案(B) = 2 分 Answer (C) = 3 points 答案(C) = 3 分 Answer (D) = 4 points 答案(D) = 4 分 Answer (E) = 5 points 答案(E) = 5 分
Total Score = The sum of Q1 to Q15 總分= 各題得分加總	Total Score 總分 = ____________________

Result 分析結果	☐ G1 Low Risk 低風險	☐ G2 High Risk 中風險	☐ G3 High Risk 高風險	☐ G4 Aggressive High Risk 極高風險

Score 評分	Less than 15 少於 15 分	16 to 35 16 分至 35 分	36 to 55 36 分至 55 分	More than 56 大於 56 分
Profile Grading 所屬風險等級	Grade 1 等級 1	Grade 2 等級 2	Grade 3 等級 3	Grade 4 等級 4
Illustration 說明	Low Risk/ Conservative 低風險/ 保守型	Medium Risk/ Balanced 中風險/ 平穩型	High Risk/ Growth 高風險/ 進取型	Aggressive High Risk/ High Growth 極高風險/ 積極型

Checked by AE : ____________________ Name: ________________ Date: __________

Approved by RO: ____________________ Name: ________________ Date: __________

Processed by Operations

Signature(s) verified by: __________________ Name: ________________ Date: __________

Information input by: __________________ Name:________________ Input date: __________

Ops Checker: ____________________ Name:________________ Date: __________