Fubon Securities (Hong Kong) Limited
富邦證券(香港)有限公司
Client Investment Risk Preference Questionnaire
客戶投資風險取向分析問卷

This Client 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.

本客戶投資風險取向分析問卷(「本問卷」)應由客戶親自填寫。填寫前，客戶應慎重考慮自身的情況。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。本問卷旨在瞭解客戶的投資風險取向，藉此協助客戶選擇相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客戶風險等級，本公司將保留拒絕為該客戶提供任何投資服務的權利。

Important Notice:
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. 2. 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.

重要通知:
1. 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. 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。

Account Number 客戶賬戶號碼: ______________________ Account Name 客戶名稱: ______________________

For each applicable question, please choose one of the answers that best describes you:
就每條適用的問題，請選擇最合適描述您的一項:

I. Basic Information 基本資料

1. How old are you? 您的年齡：

- A. Below 25
  25 歲以下
- B. 25- 45
  25 歲至 45 歲
- C. 46- 65
  46 歲至 65 歲
- D. Above 65*
  65 歲以上*

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2. Your annual income (HK$) 您的每年收入 (港元):

- A. Less than $100,000
  少於 $100,000
- B. $100,000 to $300,000
  $100,000 至 $300,000
- C. $300,001 to $500,000
  $300,001 至 $500,000
- D. Over $500,000
  多於 $500,000

3. Your liquid assets (HK$) (excluding the value of self-occupied properties):
您的流動資產(港元)（不包括自住物業）：

- A. Less than $500,000
  少於 $500,000
- B. $500,000 to $2,000,000
  $500,000 至 $2,000,000
- C. $2,000,001 to $8,000,000
  $2,000,001 至 $8,000,000
- D. Over $8,000,000
  多於 $8,000,000

4. With reference to your above answer, percentage of liquid assets will be allocated to make investments 承上題您的答案,您計劃動用多少百分比的流動資產作投資:

- A. Below 10%
  10%以下
- B. 10% to 25%
  10%至 25%
- C. 26% to 50%
  26%至 50%
- D. Above 50%
  50%以上

II. General Investment Goal 一般投資目的

5. What is your general investment goal?您的一般投資目的:

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

III. Investment Experience 投資經驗

6. Have you had any experience of investing in Stocks/Futures/Options ? 您是否有投資股票/期貨/期權的經驗?

- A. No experience / Below 1 year
  沒有經驗 / 1 年以下
- B. 1 to 2 years
  1 至 2 年
- C. 3 to 5 years

3 至 5 年

D. More than 5 years
5 年以上

7. Have you had any experience of investing in mutual funds ? 您是否有互惠基金相關投資經驗？

A. No experience / Below 1 year

沒有經驗 / 1 年以下

B. Have experience of bond funds or balanced funds

曾投資過債券型或平衡型基金

C. Have experience of equity funds

曾投資過股票型基金

D. Apart from public funds, have experience of hedge funds, private equity funds

除公開募集基金外，曾投資過對冲基金、私募基金

E. Have invested in all the products as above-mentioned

曾投資以上所有產品

8. Have you had any experience of investing in bonds ? 您是否有債券相關投資經驗？

A. No experience / Below 1 year

沒有經驗 / 1 年以下

B. Have experience of investment grade bonds (including government bonds and/or corporate bonds)

曾投資過投資級別債券 (含政府公債及/或公司債)

C. Have experience of high yield bonds

曾投資過高收益債券

D. Have experience of perpetual bonds, convertible bonds and/or 15 years above bonds

曾投資過永續債、可換股債券及/或 15 年期以上債券

E. Have invested in all the products as above-mentioned

曾投資以上所有產品

9. Have you had any experience of investing in structured products？ 您是否有結構型產品相關投資經驗？

A. No experience / Below 1 year

沒有經驗 / 1 年以下

B. Have experience of capital guaranteed structured products

曾投資過保本型結構性產品

C. Have experience of non-capital guaranteed structured products

曾投資過不保本的結構性產品

D. Have experience of structured products with tenor of 15 years and above

曾投資過 15 年期以上的結構性產品

○ E. Have invested in all the products as above-mentioned

曾投資以上所有產品

10. 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 / Below 1 year
沒有經驗 / 1 年以下

○ B. 1 to 2 years
1 至 2 年

○ C. 3 to 5 years
3 至 5 年

○ D. More than 5 years
5 年以上

IV. 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)

Result ☐ Low Risk ☐ Medium Risk ☐ High Risk ☐Aggressive High Risk

分析結果 ☐ 低風險 ☐ 中風險 ☐ 高風險 ☐極高風險

Score 評分	Less than 16 少於 16 分	16 to 36 16 分至 36 分	37 to 53 37 分至 53 分	More than 53 大於 53 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 低風險	Medium Risk 中風險	High Risk 高風險	Aggressive High Risk 極高風險

V：Client’s Self-Assessment of Investment Risk Preference 客戶自評投資風險取向

[If the Client’s chosen investment risk preference level is different from the risk level with reference to the total scores stated above, **our Company will use the Client’s investment risk preference level stated in this section for reference purpose, subject to our Company’s final determination of the Client’s risk level when investment service is being 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 investment service to the Client.**]

(如客戶選取的投資風險取向等級與上述評分所屬等級不一致，本公司將以客戶於本部份選取的等級為參考依據，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客戶風險等級，本公司將保留拒絕為客戶提供投資服務的權利。)

Self-Assessment of Investment Risk Preference ☐ Grade 1 ☐ Grade 2 ☐ Grade 3 ☐ Grade 4
客戶自評投資風險取向為？ ☐ 等級 1 ☐ 等級 2 ☐ 等級 3 ☐ 等級 4

Risk Disclosure:

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.

风險披露聲明：

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。

*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: _________________________

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:

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Client Name 客戶姓名:
Date 日期:

Joint Client's Authorized Signature(s) (if applicable):
聯名客戶授權簽署(若適用):

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Joint Client Name 聯名客戶姓名:

For Office Use Only 富邦證券(香港)專用
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: ____________

Checker : ____________________ Name: ____________________ Date: ____________

Approved by: ____________________ Name: ____________________ Date: ____________

Processed by Operations

Signature(s) verified by: ____________________ Name: ___________________ Date: _______________

Information input by: ____________________ Name:： ____________________ Input date: ______________

Ops Checker: ____________________ Name:： ____________________ Date: ______________

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