Delta Asia Securities Limited (“**DAS**”) 滙業證券有限公司 (“**滙業證券**”)

Delta Asia Financial Futures Limited (“**DAFF**”) 滙業金融期貨有限公司 (“**滙業期貨**”)

Investment Profile Questionnaire
投資取向問卷
(for Corporate 公司客戶適用)

Client’s name 客戶名稱:	
Account number 賬戶號碼:	

1.	What is the longest investment period which your company would be willing to commit? 如貴公司有意投資，可接受的最長投資期是多久？ ☐ A. Less than 1 year 少於 1 年 ☐ B. 1 - 3 years 1 至 3 年 ☐ C. 4 - 7 years 4 至 7 年 ☐ D 8 - 10 years 8 至 10 年 ☐ E. Over 10 years 多於 10 年	[1] [2] [3] [4] [5]
2.	Which of the following statements best describes your company’s investment goal? 哪一個講法最能表達貴公司的投資目標？ ☐ A. We want to preserve capital even if it means little to no gains 要求保本，即使回報極低甚至沒有獲利 ☐ B. We are looking for a stable stream of income that is higher than what bank deposits can provide. 希望有穩定的投資回報，獲利較銀行存款利息高 ☐ C. We are looking for a combination of regular income as well as some capital growth. 要求有經常性收入，而且資本也有所增長 ☐ D. Maintain the investment through any price fluctuations as long as it does not hit any stop loss and subject to any change in the fundamentals of the investment.) 雖然價格有所波動， 但如未到任何止蝕位及視乎該投資項目基本面的變化，仍會維持投資 ☐ E. We are looking for high capital growth. 要求高額的資本增長	[1] [2] [3] [4] [5]
3.	Which of the following statements could best describe your company attitude towards investment risk? 以下哪一段陳述最能反映貴公司對投資風險的態度? ☐ A. We are not willing to accept any risk. 不願意承受任何風險 ☐ B. We are m trying to avoid risks but minor ones are still acceptable. 會盡量回避風險，但可承受較低的風險 ☐ C. We are trying to strike a balance between risks and returns. 會平衡風險與回報 ☐ D. We are willing to accept more risks, as I aim for more returns. 願意承受較高的風險，以換取更高回報 ☐ E. We never consider risks, as I aim to maximize returns. 不會考慮風險，務求得到最高回報	[1] [2] [3] [4] [5]
4.	What would be your company’s response to a drop in value of the highest risk investment in your portfolio absent any changes to that investment’s fundamentals? 請問貴公司在投資組合中風險最高的投資價值下跌之時會做何反應貴公司可以接受以下哪個年度的價格波幅? ☐ A. Sell that investment immediately to avoid further losses, even if the drop in value is small. 即使價值只是輕微下跌，也立刻沽出投資以減低損失 ☐ B. Although any drop in value would make your company feel quite uneasy, only sell if the drop in value is significant. 雖然價值下跌貴公司感到好有壓力，但也只會在價值大幅下跌時沽出 ☐ C. Sell some of the investment to decrease exposure but otherwise maintain the investment subject to any change in the fundamentals of the investment. 沽出部份投資產品以減低損失，但視乎該投資項目基本面的變化，仍會維持投資 ☐ D. Maintain the investment through any price fluctuations as long as it does not hit any stop loss and subject to any change in the fundamentals of the investment. 雖然價格有所波動， 但如未到任何止蝕位及視乎該投資項目基本面的變化，仍會維持投資 ☐ E. Maintain the investment no matter how large the losses and only sell if there was a change in the fundamentals of that investment. 除非該投資項目基本面有變化，否則不論虧損多大，仍會維持投資	[1] [2] [3] [4] [5]
5.	Which of the following annual price fluctuations would be acceptable to your company? 貴公司可以接受以下哪個年度價格波幅? ☐ A. No price fluctuation 沒有價格波幅 ☐ B. Price fluctuates between -5% to +5% 價格波幅介乎-5%至+5% ☐ C. Price fluctuates between -10% to +10% 價格波幅介乎-10%至+10% ☐ D. Price fluctuates between -15% to +15% 價格波幅介乎-15%至+15% ☐ E. Price fluctuates between -20% to +20% 價格波幅介乎-20%至+20%	[1] [2] [3] [4] [5]

6.	What portion of your company's total net wealth (excluding the value of your self-use properties) is available for investment each month? 貴公司的總資產淨值整體收入(不計算自用物業的價值)有多少可用於投資? ☐ A. Less than 10% 少於 10% ☐ B. 10% - 29% ☐ C. 30% - 49% ☐ D. 50% - 69% ☐ E. 70% or above 多於 70%	[1] [2] [3] [4] [5]
7.	What is your company's expected return for your investment portfolio as a whole? 貴公司期望的投資組合整體回報率是多少? ☐ A. The same as the inflation rate 與通脹率一樣 ☐ B. Greater than and up to 2% above the inflation rate 高於通脹率至 2% ☐ C. Greater than 2% and up to 5% above the inflation rate 高於通脹率 2% 以上至 5% ☐ D. Greater than 5% and up to 8% above the inflation rate 高於通脹率 5% 以上 至 8% ☐ E. Greater than 8% above the inflation rate 高於通脹率 8% 以上	[1] [2] [3] [4] [5]
	The total source of your company overall risk tolerance level is 貴公司的整體風險承受能力的總得分是	

Overall Risk Tolerance Level 整體風險承受能力
<u>**Investor profile 1 - Safety Oriented 投資者類型 1 - 謹慎型**</u> **(≦7)** **Risk tolerance level 風險承受程度**: Your company prefer investments with negligible price movements which can normally be sold within a week or promise to repay what you invest within a year. 貴公司傾向於價格變動較少，並在一般情況下可在少於一星期內出售或承諾於一年內取回投資本金的投資產品。 **Investment objectives 投資目標**: This investor rating is suitable for investors that aim to protect capital and accept returns in line with savings accounts. 此投資類型適合旨在保障資金，並願意接受與儲蓄賬戶相約回報的投資者。
<u>**Investor profile 2 - Conservative 投資者類型 2 - 保守型**</u> **(8-14)** **Risk tolerance level 風險承受程度:** Your company can tolerate investments within limited negative price movements which can normally be sold within a week for a price that is close to the recent market average. 貴公司可接受您的投資出現有限度的價格不利變動，並通常可在一星期內出售及以接近平均市價出售的投資產品。 **Investment objectives 投資目標:** This investor rating is suitable for investors that aim primarily for regular income returns along with some capital appreciation as a secondary option. 此投資類型適合旨在追求經常性收入，及同時獲取一些資本增值的投資者。
<u>**Investor profile 3 - Moderate 投資者類型 3 - 平衡型**</u> **(15-21)** **Risk tolerance level 風險承受程度:** Your company can tolerate investments with moderate negative price movements which can normally be sold within a week for a price that is close to the recent market average. 貴公司可接受您的投資出現適度的價格不利變動，並通常可在一星期內出售及以接近平均市價出售的投資產品。 **Investment objectives 投資目標:** This investor rating is suitable for investors that aim for both regular income returns and capital appreciation. 此投資類型適合旨在追求經常性收入及資本增值的投資者。
<u>**Investor profile 4 - Aggressive 投資者類型 4 - 進取型**</u> **(22-28)** **Risk tolerance level 風險承受程度:** Your company can tolerate investments with substantial negative price movements that may have a small risk of losing their entire value and may be difficult to sell or may only be sold at a price below the recent market average. 貴公司可接受有大幅度價格不利變動，可能有少許風險會喪失全部價值，並可能難以出售或有機會只可按低 於近期平均市價出售的投資產品。 **Investment objectives 投資目標:** This investor rating is suitable for investors that aim primarily for capital appreciation and no or little regular income returns. 此投資類型適合旨在追求資本增值，而非經常性收入的投資者。
<u>**Investor profile 5 - Specialised Investing 投資者類型 5 - 專業性投資型**</u> **(29-35)** **Risk tolerance level 風險承受程度:** Your company can tolerate investments that may have a high risk of losing their entire value or even more than your company's initial investment and may have a highly uncertain value at any given time and also be very difficult or impossible to sell over an extended period. 貴公司可接受可能有高風險會喪失全部價值或有關損失會超出貴公司原本的投資金額、可能在任何特定時間內價值不明確，而非常困難或沒可能在一段較長的時間內出售的投資產品。 **Investment objectives 投資目標:** This investor rating is suitable for investors that seek very aggressive capital appreciation over time with investments that may not be liquidated before maturity. 此投資類型適合追求可能不容許於到期日前變現，並非常進取的長線資本增值的投資者。

Disclaimer 免責聲明

This questionnaire is only one of the factors your company 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. Your company should consider carefully your company's investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision. DAS and DAFF accept no responsibility or liability as to the accuracy or completeness of the information provided by your company in this questionnaire and/or the results.

本問卷只是貴公司考慮投資的其中一個因素。以上並不應視為投資建議、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，並尋求獨立專家意見，才作出任何投資決定。滙業證券及滙業期貨對於本問卷由貴公司提供的資料及/或結果的準確性或完整性不承擔任何責任。

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.

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升可跌，而所呈列的過往表現資料並不表示將來表現。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。

Your company should always make your company own investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc. Licensed persons of DAS and DAFF will assist in explaining whether a product is suitable for your company according to the said factors but you should note that no representation or advice is made or implied by DAS and DAFF.

當貴公司作出投資決定前，須考慮貴公司的財政狀況，投資經驗，獨立專業意見等因素。滙業證券及滙業期貨的持牌人會根據上述因素，協助解釋產品是否適合閣下作出投資。但貴公司要注意，這並非為滙業證券及滙業期貨的任何陳述或建議。

Client's declaration 客戶聲明

We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my knowledge. We acknowledge that a copy of "Client Risk Profiling Questionnaire – Investment Products" has been given to me.

吾等/本公司謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡吾等/本公司所知而作答。吾等/本公司確認收到「投資產品– 風險承受能力問卷」的副本。

❑ We agree and accept the above assessment of our / our company investment profile.
吾等/本公司同意並接受上述對吾等/本公司的投資類型的評估。

❑ We disagree with the above assessment of my investment profile and our / our company investment profile should be:
吾等/本公司不同意上述對吾等/本公司的投資類型的評估，且認為吾等/本公司的投資類型應為:

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 DAS/DAFF 滙業證券/滙業期貨持牌人簽署	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 questionnaire 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: Central entity number 中央編號:	Name 姓名: Date 日期: Central entity number 中央編號: