Delta Asia Securities Limited
汇业证券有限公司

**Please tick the appropriate box 请在适当空格加 ✓*

Investment Experiences and Objectives 投资经验及目的
Investment Profile Questionnaire 投资取向问卷

A. Account Type 账户类别 – Corporate 公司

Account Type 账户类别		
Securities 证券	☐ Cash Securities Account 现金证券账户 ☐ Margin Securities Account 保证金证券账户	
Account No 账户号码:	Client Name 客户名称:	A.E. Code 经纪编号

B. Investment Experiences and Objectives 投资经验及目的

☐ Investment Objectives 投资目标
☐ Dividend Income 股息收入
☐ Hedging 对冲
☐ Capital Gain 资本增长
☐ Speculative 投机
☐ Others (Please specify) 其他 (请说明): ____________________

☐ Investment Experiences (may choose more than one option)
投资经验: (可选择一项或多项)
☐ HK Listed Stocks 香港上市股票
☐ Overseas Listed Stocks 海外上市股票
☐ HK Futures & Options 香港期货及期权
☐ Overseas Futures & Options 海外期货及期权
☐ Mutual Funds or Unit Trust 互惠基金或单位信托
☐ Bonds 债券
☐ Commodities 商品
☐ None 没有
☐ Others (Please specify) 其他 (请说明):_______________

☐ Year of Experience in Investment
投资经验年期:

☐ Securities Trading 证券交易	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Bonds 债券	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ CBBC 牛熊证	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Derivative Warrants 衍生权证	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Rights 供股权	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ ETF 交易所买卖基金	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Futures/Options 期货/期权	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Stock Options 股票期权	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Convertible Bonds 可换股责券	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Commodities 商品	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年
☐ Others 其他 :_____________	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年

None 没有

B.1 Knowledge of Structured or Derivative Products 对结构性或衍生产品知识

Refer to the following statements and tick the appropriate box(es) below✓按以下选择，在下列方格中加上)

☐ At least one of the person(s) responsible for making investment decisions understand(s) the nature and risks of derivate products due to:
代表公司做决定的人士，最少一位了解衍生产品的性质和风险:

1. Undergoing relevant training or attending course in
已接受有关的培训或课程。
☐ Regulatory Authority 监管机构 ☐ Exchange 交易所 ☐ Financial Institution 金融机构 ☐ Education Institution 进修学院 ☐ Tertiary Institution 大专院校

2. By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.
于经纪公司或银行、基金或资产管理公司、监管机构或交易所等金融机构拥有有关的工作经验。
☐ Regulated Licensed 受监管持牌人士 ☐ Derivatives Related Back Office 与衍生工具相关后勤 ☐ Management 管理层

3. Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
☐ 于过去三年内进行了五次或以上有关衍生产品之交易。(不论是否于交易所进行交易)

☐ The person(s) responsible for making investment decisions have NO knowledge of derivative products.
代表公司做投资决定的人士并未有衍生产品之认识。

For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved. 如客户没有以上任何一项结构性及/或衍生工具产品的经验及认识，客户将被视作没有结构性及/或衍生工具产品认识。在客户买卖结构性及/或衍生工具产品之前， 客户就此确认已阅读及理解包括于客户协议中有关在交易所买卖的衍生产品的风险披露声明，并同意承担有关风险。

☐ Our company agree to bear the risks involved. 本公司同意承担有关风险。

C. Investment Profile Questionnaire 投资取向问卷

1.	What is the longest investment period which your company would be willing to commit? 如贵公司有意投资，可接受的最长投资期是多久？ ☐ A. Less than 1 year 少于 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 多于 10 年	[1] [2] [3] [4] [5]
2.	Which of the following statements best describes your company's investment goal? 哪一个讲法最能表达贵公司的投资目标？ ☐ A. We want to preserve capital even if it means little to no gains 要求保本，即使回报极低甚至没有获利。 ☐ B. We are looking for a stable stream of income that is higher than what bank deposits can provide. 希望有稳定的投资回报，获利较银行存款利息高。 ☐ C. We are looking for a combination of regular income as well as some capital growth. 要求有经常性收入，而且资本也有所增长。 ☐ 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. 虽然价格有所波动，但如未到任何止蚀位及视乎该投资项目基本面的变化，仍会维持投资。 ☐ E. We are looking for high capital growth. 要求高额的资本增长。	[1] [2] [3] [4] [5]
3.	Which of the following statements could best describe your attitude towards investment risk? 以下哪一段陈述最能反映你对投资风险的态度? ☐ A. I am not willing to accept any risk. 我不愿意承受任何风险。 ☐ B. I am trying to avoid risks but minor ones are still acceptable. 我会尽量回避风险，但可承受较低的风险。 ☐ C. I am trying to strike a balance between risks and returns. 我会平衡风险与回报。 ☐ D. I am willing to accept more risks, as I aim for more returns. 我愿意承受较高的风险，以换取更高回报。 ☐ E. I never consider risks, as I aim to maximize returns. 我不会考虑风险，务求得到最高回报。	[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? 请问贵公司在投资组合中风险最高的投资价值下跌之时会做何反应贵公司可以接受以下哪个年度的价格波幅? ☐ A. Sell that investment immediately to avoid further losses, even if the drop in value is small. 即使价值只是轻微下跌，也立刻沽出投资以减低损失。 ☐ B. Although any drop in value would make your company feel quite uneasy, only sell if the drop in value is significant. 虽然价值下跌贵公司感到好有压力，但也只会在价值大幅下跌时沽出。 ☐ C. Sell some of the investment to decrease exposure but otherwise maintain the investment subject to any change in the	[1] [2] [3]

	fundamentals of the investment. 沽出部份投资产品以减低损失，但视乎该投资项目基本面的变化，仍会维持投资。 ☐ 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. 虽然价格有所波动， 但如未到任何止蚀位及视乎该投资项目基本面的变化，仍会维持投资。 ☐ E. Maintain the investment no matter how large the losses and only sell if there was a change in the fundamentals of that investment. 除非该投资项目基本面有变化，否则不论亏损多大，仍会维持投资。	[4] [5]
5.	Which of the following annual price fluctuations would be acceptable to your company? 贵公司可以接受以下哪个年度价格波幅? ☐ A. No price fluctuation 没有价格波幅 ☐ B. Price fluctuates between -5% to +5% 价格波幅介乎-5%至+5% ☐ C. Price fluctuates between -10% to +10% 价格波幅介乎-10%至+10% ☐ D. Price fluctuates between -15% to +15% 价格波幅介乎-15%至+15% ☐ E. Price fluctuates between -20% to +20% 价格波幅介乎-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? 贵公司的总资产净值整体收入(不计算自用物业的价值)有多少可用于投资? ☐ A. Less than 10% 少于 10% ☐ B. 10% - 29% ☐ C. 30% - 49% ☐ D. 50% - 69% ☐ E. 70% or above 多于 70%	[1] [2] [3] [4] [5]
7.	What is your company's expected return for your investment portfolio as a whole? 贵公司期望的投资组合整体回报率是多少? ☐ A. The same as the inflation rate 与通胀率一样 ☐ B. Greater than and up to 2% above the inflation rate 高于通胀率至 2% ☐ C. Greater than 2% and up to 5% above the inflation rate 高于通胀率 2% 以上至 5% ☐ D. Greater than 5% and up to 8% above the inflation rate 高于通胀率 5% 以上 至 8% ☐ E. Greater than 8% above the inflation rate 高于通胀率 8% 以上	[1] [2] [3] [4] [5]
	The total source of your company overall risk tolerance level is 贵公司的整体风险承受能力的总得分是	

Overall Risk Tolerance Level 整体风险承受能力	
☐	**<u>Investor profile 1 - Safety Oriented 投资者类型 1 - 谨慎型</u> (≦7)** **Risk tolerance level 风险承受程度**: You prefer investments with negligible price movements which can normally be sold within a week or promise to repay what you invest within a year. 你倾向于价格变动较少，并在一般情况下可在少于一星期内出售或承诺于一年内取回投资本金的投资产品。 **Investment objectives 投资目标**: This investor rating is suitable for investors that aim to protect capital and accept returns in line with savings accounts. 此投资类型适合旨在保障资金，并愿意接受与储蓄账户相约回报的投资者。
☐	**<u>Investor profile 2 - Conservative 投资者类型 2 - 保守型</u> (8-14)** **Risk tolerance level 风险承受程度:** You 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. 你可接受您的投资出现有限度的价格不利变动，并通常可在一星期内出售及以接近平均市价出售的投资产品。 **Investment objectives 投资目标:** This investor rating is suitable for investors that aim primarily for regular income returns along with some capital appreciation as a secondary option. 此投资类型适合旨在追求经常性收入，及同时获取一些资本增值的投资者。
☐	**<u>Investor profile 3 - Moderate 投资者类型 3 - 平衡型</u> (15-21)** **Risk tolerance level 风险承受程度:** You 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. 你可接受您的投资出现适度的价格不利变动，并通常可在一星期内出售及以接近平均市价出售的投资产品。 **Investment objectives 投资目标:** This investor rating is suitable for investors that aim for both regular income returns and capital appreciation. 此投资类型适合旨在追求经常性收入及资本增值的投资者。
☐	**<u>Investor profile 4 - Aggressive 投资者类型 4 - 进取型</u> (22-28)** **Risk tolerance level 风险承受程度:** You 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. 你可接受有大幅度价格不利变动，可能有少许风险会丧失全部价值，并可能难以出售或有机会只可按低于近期平均市价出售的投资产品。 **Investment objectives 投资目标:** This investor rating is suitable for investors that aim primarily for capital appreciation and no or little regular income returns. 此投资类型适合旨在追求资本增值，而非经常性收入的投资者。

☐	**Investor profile 5 - Specialised Investing 投资者类型 5 - 专业性投资型** **(29-35)** **Risk tolerance level 风险承受程度:** You company can tolerate investments that may have a high risk of losing their entire value or even more than your 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. 贵公司可接受可能有高风险会丧失全部价值或有关损失会超出你原本的投资金额、可能在任何特定时间内价值不明确，而非常困难或没可能在一段较长的时间内出售的投资产品。 **Investment objectives 投资目标:** This investor rating is suitable for investors that seek very aggressive capital appreciation over time with investments that may not be liquidated before maturity. 此投资类型适合追求可能不容许于到期日前变现，并非常进取的长线资本增值的投资者。

Client's Declaration 客户声明

Our company hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my knowledge. Our company acknowledge that a copy of "Client Risk Profiling Questionnaire – Investment Products" has been given to me.
本公司谨此声明并同意上述所有数据均是完整、真实及准确，并且是尽本人所知而作答。本公司确认收到「投资产品 – 风险承受能力问卷」的副本。

☐ Our company agree and accept the above assessment of my investment profile. 本公司同意并接受上述对本公司的投资类型的评估。

☐ Our company disagree with the above assessment of my investment profile and my investment profile should be: (Please explain in detail.)
本公司不同意上述对本公司的投资类型的评估，且认为本公司的投资类型应为: (请详细解释。)

____

D. Signature of Account Holder(s) 账户持有人签署

Client Signature & Company Chop 客户签署及公司印章

Name of Client 客户名称	Date 日期

E. Declaration by Licensed Representative 持牌代表声明

Signed by Licensed Representative 持牌代表签署	SFC CE No. 证监会中央编号	Date 日期

DAS Authorized Signature(s) 汇业证券授权代表签署	Name of Authorized Person 授权代表名称	Date 日期

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Received by CS	**Signature Verified by**	**Inputted by**	**Checked by**
Name	**Name**	**Name**	**Name**
Date	**Date**	**Date**	**Date**