Delta Asia Securities Limited
滙業證券有限公司

**Please tick the appropriate box 請在適當空格加 ✓*

Investment Experiences and Objectives 投資經驗及目的
Investment Profile Questionnaire 投資取向問卷

A. Account Type 賬戶類別 – Corporate 公司

Account Type 賬戶類別		
Securities 證券	☐ Cash Securities Account 現金證券賬戶 ☐ Margin Securities Account 保證金證券賬戶	
Account No 賬戶號碼:	Client Name 客戶名稱:	A.E. Code 經紀編號

B. Investment Experiences and Objectives 投資經驗及目的

☐ Investment Objectives 投資目標
☐ Dividend Income 股息收入
☐ Hedging 對沖
☐ Capital Gain 資本增長
☐ Speculative 投機
☐ Others (Please specify) 其他 (請說明): ___________________

☐ Investment Experiences (may choose more than one option)
投資經驗: (可選擇一項或多項)
☐ HK Listed Stocks 香港上市股票
☐ Overseas Listed Stocks 海外上市股票
☐ HK Futures & Options 香港期貨及期權
☐ Overseas Futures & Options 海外期貨及期權
☐ Mutual Funds or Unit Trust 互惠基金或單位信託
☐ Bonds 債券
☐ Commodities 商品
☐ None 沒有
☐ Others (Please specify) 其他 (請說明):_______________

☐ Year of Experience in Investment
投資經驗年期:

☐ Securities Trading 證券交易	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Bonds 債券	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ CBBC 牛熊證	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Derivative Warrants 衍生權證	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Rights 供股權	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ ETF 交易所買賣基金	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Futures/Options 期貨/期權	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Stock Options 股票期權	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Convertible Bonds 可換股責券	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Commodities 商品	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年
☐ Others 其他 :_____________	☐ <1year 少於一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多於十年

None 沒有

B.1 Knowledge of Structured or Derivative Products 對結構性或衍生產品知識

Refer to the following statements and tick the appropriate box(es) below✓按以下選擇, 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:
代表公司做決定的人士, 最少一位了解衍生產品的性質和風險:

1. Undergoing relevant training or attending course in
已接受有關的培訓或課程。

☐ Regulatory Authority 監管機構 ☐ Exchange 交易所 ☐ Financial Institution 金融機構 ☐ Education Institution 進修學院 ☐ Tertiary Institution 大專院校

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.
於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。

☐ Regulated Licensed 受監管持牌人士 ☐ Derivatives Related Back Office 與衍生工具相關後勤 ☐ Management 管理層

3. Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
☐ 於過去三年內進行了五次或以上有關衍生產品之交易。(不論是否於交易所進行交易)

☐ The person(s) responsible for making investment decisions have NO knowledge of derivative products.
代表公司做投資決定的人士並未有衍生產品之認識。

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. 如客戶沒有以上任何一項結構性及/或衍生工具產品的經驗及認識，客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前， 客戶就此確認已閱讀及理解包括於客戶協議中有關在交易所買賣的衍生產品的風險披露聲明，並同意承擔有關風險。

☐ Our company agree to bear the risks involved. 本公司同意承擔有關風險。

C. Investment Profile Questionnaire 投資取向問卷

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 attitude towards investment risk? 以下哪一段陳述最能反映你對投資風險的態度? ☐ A. I am not willing to accept any risk. 我不願意承受任何風險。 ☐ B. I am trying to avoid risks but minor ones are still acceptable. 我會盡量回避風險，但可承受較低的風險。 ☐ C. I am trying to strike a balance between risks and returns. 我會平衡風險與回報。 ☐ D. I am willing to accept more risks, as I aim for more returns. 我願意承受較高的風險，以換取更高回報。 ☐ E. I never consider risks, as I aim to maximize returns. 我不會考慮風險，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	[1] [2] [3]

	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。	[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

☐	**Investor profile 1 - Safety Oriented 投資者類型 1 - 謹慎型 (≦7)** **Risk tolerance level 風險承受程度:** 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。
☐	**Investor profile 2 - Conservative 投資者類型 2 - 保守型 (8-14)** **Risk tolerance level 風險承受程度:** 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。
☐	**Investor profile 3 - Moderate 投資者類型 3 - 平衡型 (15-21)** **Risk tolerance level 風險承受程度:** 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。
☐	**Investor profile 4 - Aggressive 投資者類型 4 - 進取型 (22-28)** **Risk tolerance level 風險承受程度:** 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。

☐	**Investor profile 5 - Specialised Investing 投資者類型 5 - 專業性投資型** **(29-35)** **Risk tolerance level 風險承受程度:** 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. 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你原本的投資金額、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。

Client's Declaration 客戶聲明

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，並且是盡本人所知而作答。本公司確認收到「投資產品 – 風險承受能力問卷」的副本。

☐ Our company agree and accept the above assessment of my investment profile. 本公司同意並接受上述對本公司的投資類型的評估。

☐ Our company disagree with the above assessment of my investment profile and my investment profile should be: (Please explain in detail.) 本公司不同意上述對本公司的投資類型的評估，且認為本公司的投資類型應為: (請詳细解釋。)

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D. Signature of Account Holder(s) 賬戶持有人簽署

Client Signature & Company Chop 客戶簽署及公司印章

Name of Client 客戶名稱	Date 日期

E. Declaration by Licensed Representative 持牌代表聲明

Signed by Licensed Representative 持牌代表簽署	**SFC CE No. 證監會中央編號**	**Date 日期**

DAS Authorized Signature(s) 滙業證券授權代表簽署	**Name of Authorized Person 授權代表名稱**	**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**