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 – Individual / Joint 个人/联名

☐ Individual Account 个人账户	☐ Joint Account 联名账户

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

First Joint Account Holder 第一账户持有人	Second Joint Account Holder 联名账户第二持有人
1. 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): ________________ 2. 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 ☐ China A-shares 中国 A 股 ☐ 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 ☐ Others (Please specify) 其他 (请说明):____________ ☐ None 没有 3. Years of Experiences 投资经验年资: ☐ None 没有 ☐ 1-3 years 一至三年 ☐ 4-6 years 四至六年 ☐ 7-9 years 七至九年 ☐ Over 10 years 超过十年	1. 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): ________________ 2. 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 ☐ China A-shares 中国 A 股 ☐ 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 ☐ Others (Please specify) 其他 (请说明):____________ ☐ None 没有 3. Years of Experiences 投资经验年资: ☐ None 没有 ☐ 1-3 years 一至三年 ☐ 4-6 years 四至六年 ☐ 7-9 years 七至九年 ☐ Over 10 years 超过十年

B.1 Financial Status 财政状况

Annual Income (HK$) 每年收入(港元) ☐ HK$200,000 or Less 或以下 ☐ HK$200,001 – HK$500,000 ☐ HK$500,001 – HK$1,000,000 ☐ HK$1,000,001 – HK$1,500,000 ☐ HK$1,500,001 – HK$2,000,000 ☐ HK$2,000,001 or above 或以上	Annual Income (HK$) 每年收入(港元) ☐ HK$200,000 or Less 或以下 ☐ HK$200,001 – HK$500,000 ☐ HK$500,001 – HK$1,000,000 ☐ HK$1,000,001 – HK$1,500,000 ☐ HK$1,500,001 – HK$2,000,000 ☐ HK$2,000,001 or above 或以上

B.1 Financial Status 财政状况

Source of Funds (may choose more than one option)
收入来源(可选择一项或多项)

☐ Salary 薪金
☐ Savings 储蓄
☐ Retirement Funds 退休基金
☐ Rental 租金
☐ Return on Investment 投资回报
☐ Loans 贷款
☐ Business Profit 业务溢利
☐ Nil 没有
☐ Others 其他: ______________________________

Asset Type 资产类别

☐ Cash 现金/Deposit 存款
☐ Land and Property 房地产
☐ Company Shares 公司股份
☐ Inheritance 遗产
☐ Stocks 股票
☐ Funds 基金
☐ Bonds/Debentures 债券
☐ Foreign Exchange 外汇
☐ Others 其他: ______________________________

Estimated Total Net Worth (HKD) 估计资产净值(港元)

☐ HK$1,000,000 or Less 或以下
☐ HK$1,000,001 – HK$5,000,000
☐ HK$5,000,001 – HK$10,000,000
☐ HK$10,000,001 – HK$15,000,000
☐ HK$15,000,001 – HK$20,000,000
☐ HK$$20,000,001 or above 或以上

Amount of Liquidity for Investment at Account Opening
开户时可用作投资的流动资产 (港元)

☐ HK$0 – HK$250,000
☐ HK$250,001 – HK$500,000
☐ HK$500,001 – HK$1,000,000
☐ HK$1,000,001 – HK$5,000,000
☐ HK$5,000,001 – HK$10,000,000
☐ HK$10,000,001 – HK$30,000,000
☐ HK$30,000,001 – HK$50,000,000
☐ HK$50,000,001 or above 或以上

Source(s) of Wealth (may choose more than one option)
财富来源 (可选择一项或多项)

☐ Savings 储蓄
☐ Family Estate 家族财产/ Inheritance 遗产继承
☐ Sale of property/Assets 出售物业/资产
☐ Sale of Investment 投资回报
☐ Retirement Funds 退休金
☐ Others (Please specify) 其他 (请说明): ______________

Nature of Occupancy 住宅类别

☐ Owned (No Mortgage) 自置 (无按揭)
☐ With Parents 与父母同住
☐ Relative's 亲属楼宇
☐ Mortgaged / Monthly Installment 按揭/每月供款
  ☐ HK$15,000 or Less 或以下
  ☐ HK$15,001 – HK$25,000
  ☐ HK$25,001 – HK$35,000
  ☐ HK$35,001 or above 或以上
☐ Quarters 宿舍

Source of Funds (may choose more than one option)
收入来源(可选择一项或多项)

☐ Salary 薪金
☐ Savings 储蓄
☐ Retirement Funds 退休基金
☐ Rental 租金
☐ Return on Investment 投资回报
☐ Loans 贷款
☐ Business Profit 业务溢利
☐ Nil 没有
☐ Others其他: ______________________________

Asset Type 资产类别

☐ Cash 现金/Deposit 存款
☐ Land and Property 房地产
☐ Company Shares 公司股份
☐ Inheritance 遗产
☐ Stocks 股票
☐ Funds 基金
☐ Bonds/Debentures 债券
☐ Foreign Exchange 外汇
☐ Others 其他: ______________________________

Estimated Total Net Worth (HKD) 估计资产净值(港元)

☐ HK$1,000,000 or Less 或以下
☐ HK$1,000,001 – HK$5,000,000
☐ HK$5,000,001 – HK$10,000,000
☐ HK$10,000,001 – HK$15,000,000
☐ HK$15,000,001 – HK$20,000,000
☐ HK$20,000,001 or above 或以上

Amount of Liquidity for Investment at Account Opening
开户时可用作投资的流动资产 (港元)

☐ HK$0 – HK$250,000
☐ HK$250,001 – HK$500,000
☐ HK$500,001 – HK$1,000,000
☐ HK$1,000,001 – HK$5,000,000
☐ HK$5,000,001 – HK$10,000,000
☐ HK$10,000,001 – HK$30,000,000
☐ HK$30,000,001 – HK$50,000,000
☐ HK$50,000,001 or above 或以上

Source(s) of Wealth (may choose more than one option)
财富来源 (可选择一项或多项)

☐ Saving 储蓄
☐ Family Estate 家族财产/ Inheritance 遗产继承
☐ Sale of property/Assets 出售物业/资产
☐ Sale of Investment 投资回报
☐ Retirement Funds 退休金
☐ Others (Please specify) 其他 (请说明): ______________

Nature of Occupancy 住宅类别

☐ Owned (No Mortgage) 自置 (无按揭)
☐ With Parents 与父母同住
☐ Relative's 亲属楼宇
☐ Mortgaged / Monthly Installment 按揭/每月供款
  ☐ HK$15,000 or Less 或以下
  ☐ HK$15,001 – HK$25,000
  ☐ HK$25,001 – HK$35,000
  ☐ HK$35,001 or above 或以上
☐ Quarters 宿舍

☐ Rented / Monthly Rental 租用/每月租金 ☐ HK$15,000 or Less 或以下 ☐ HK$15,001 – HK$25,000 ☐ HK$25,001 – HK$35,000 ☐ HK$35,001 or above 或以上	☐ Rented / Monthly Rental 租用/每月租金 ☐ HK$15,000 or Less 或以下 ☐ HK$15,001 – HK$25,000 ☐ HK$25,001 – HK$35,000 ☐ HK$35,001 or above 或以上
B.2 Knowledge of Structured or Derivative Products 对结构性或衍生产品知识	
1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有买卖结构性或衍生产品的经验? ☐ No 否 ☐ Yes 是 please state the structured or derivative product(s) you traded (may choose more than one option) 请提供有关的产品名称 (可选择一项或多项) ☐ Exchange Traded Convertible Bonds 交易所买卖换股债券 ☐ Derivative Warrants 衍生认股证 ☐ Callable Bull/Bear Contracts (CBBC) 牛熊证 ☐ Exchange Traded Funds (ETF) 交易所买卖基金 ☐ Futures and Options 期货或期权合约交易 ☐ Stock Options 股票期权 ☐ Equity Linked Instruments / Notes (ELI/ELN) 股票挂钩产品 Others 其他: ___________________	1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有买卖结构性或衍生产品的经验? ☐ No 否 ☐ Yes 是 please state the structured or derivative product(s) you traded (may choose more than one option) 请提供有关的产品名称 (可选择一项或多项) ☐ Exchange Traded Convertible Bonds 交易所买卖换股债券 ☐ Derivative Warrants 衍生认股证 ☐ Callable Bull/Bear Contracts (CBBC) 牛熊证 ☐ Exchange Traded Funds (ETF) 交易所买卖基金 ☐ Futures and Options 期货或期权合约交易 ☐ Stock Options 股票期权 ☐ Equity Linked Instruments / Notes (ELI/ELN) 股票挂钩产品 Others 其他: ___________________
2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有关结构性或衍生产品的培训或修读相关课程? ☐ No 否 ☐ Yes 是 please state the name and date of the trainings/courses 请提供培训或修读课程之名称及日期: ______________________	2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有关结构性或衍生产品的培训或修读相关课程? ☐ No 否 ☐ Yes 是 please state the name and date of the trainings/courses 请提供培训或修读课程之名称及日期: ______________________
3. Do you have current or previous work experience relating to structured or derivative products? 你现时或过去有没有与结构性或衍生产品有关的工作经验? ☐ No 否 ☐ Yes 是, please specify 请说明: Employer 雇主: ____ Department and position 部门及职位: __________________________	3. Do you have current or previous work experience relating to structured or derivative products? 你现时或过去有没有与结构性或衍生产品有关的工作经验? ☐ No 否 ☐ Yes 是, please specify 请说明: Employer 雇主: ____ Department and position 部门及职位: __________________________
4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年内执行过五宗或以上结构性或衍生产品交易? ☐ No 否 ☐ Yes 是, please specify 请说明: Relevant Financial institution(s) 相关金融机构: __________________ Product Type 产品种类: ______________________________________ Trading Period 交易日期: _______(mm/yyyy) to ______(mm/yyyy) ___________年_________月 至_________年_________ 月	4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年内执行过五宗或以上结构性或衍生产品交易? ☐ No 否 ☐ Yes 是, please specify 请说明: Relevant Financial institution(s) 相关金融机构: __________________ Product Type 产品种类: ______________________________________ Trading Period 交易日期: _______(mm/yyyy) to ______(mm/yyyy) ___________年_________月 至_________年_________ 月

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。

☐ **I/We agree to bear the risks involved. 本人/吾等同意承担有关风险。**

(1) Signature of Individual/ First Joint Account Holder **个人/ 第一账户持有人签署**	**(2) Signature of Second Joint Account Holder** **联名账户第二持有人签署**
Name of Client: **客户名称**	**Name of Client:** **客户名称**

C. Investment Profile Questionnaire 投资取向问卷

	First Joint Account Holder 第一账户持有人		Second Joint Account Holder 联名账户第二持有人	
1.	What is your age? 你的年龄是?			
	☐ A. 65 or above ☐ B. 56-64 ☐ C. 46-55 ☐ D. 36-45 ☐ E. 18-35	[1] [2] [3] [4] [5]	☐ A. 65 or above ☐ B. 56-64 ☐ C. 46-55 ☐ D. 36-45 ☐ E. 18-35	[1] [2] [3] [4] [5]
2.	What is your highest education level? 你的教育程度是?			
	☐ A. Primary or below 小学或以下 ☐ B. Secondary 中学 ☐ C. Post-secondary 大专 ☐ D. Non-finance related degree or above 大学或以上(非财务学相关) ☐ E. Finance degree or above/ equivalent finance professional qualification 大学或以上(财务学相关)/同等财务学相关专业资格	[1] [2] [3] [4] [5]	☐ A. Primary or below 小学或以下 ☐ B. Secondary 中学 ☐ C. Post-secondary 大专 ☐ D. Non-finance related degree or above 大学或以上(非财务学相关) ☐ E. Finance degree or above/ equivalent finance professional qualification 大学或以上(财务学相关)/同等财务学相关专业资格	[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]	☐ 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.	Which of the following annual price fluctuations would be acceptable to you? 你可以接受以下哪个年度的价格波幅?			
	☐ 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]	☐ 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]
5.	What portion of your overall income is available for investment each month? 你的整体收入有多少可用于投资?			
	☐ 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]	☐ 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]
6.	How many months of your household expenses could be covered by your reserve to meet unforeseen events? 你的储备金可以支付多少个月的家庭费用以应对意外事件?			
	☐ A. None 没有 ☐ B. Less than 3 months 少于 3 个月 ☐ C. 3 - 6 months 3 -6 个月 ☐ D. 7 - 12 months 7 -12 个月 ☐ E. More than 12 months 多于 12 个月	[1] [2] [3] [4] [5]	☐ A. None 没有 ☐ B. Less than 3 months 少于 3 个月 ☐ C. 3 - 6 months 3 -6 个月 ☐ D. 7 - 12 months 7 -12 个月 ☐ E. More than 12 months 多于 12 个月	[1] [2] [3] [4] [5]

7.	What do you expect on your future monthly investable amount over the next 5 years? 你预计未来 5 年每月可投资之金额会怎样?			
	☐ A. The monthly investable amount will decrease sharply 每月可投资之金额会大幅减少 ☐ B. The monthly investable amount will decrease 每月可投资之金额会减少 ☐ C. The monthly investable amount will remain unchanged 每月可投资之金额会维持不变 ☐ D. The monthly investable amount will increase gradually 每月可投资之金额会逐渐上升 ☐ E. The monthly investable amount will increase sharply 每月可投资之金额会急升	[1] [2] [3] [4] [5]	☐ A. The monthly investable amount will decrease sharply 每月可投资之金额会大幅减少 ☐ B. The monthly investable amount will decrease 每月可投资之金额会减少 ☐ C. The monthly investable amount will remain unchanged 每月可投资之金额会维持不变 ☐ D. The monthly investable amount will increase gradually 每月可投资之金额会逐渐上升 ☐ E. The monthly investable amount will increase sharply 每月可投资之金额会急升	[1] [2] [3] [4] [5]
The total source of your overall risk tolerance level is 阁下的整体风险承受能力的总得分是			**The total source of your overall risk tolerance level is 阁下的整体风险承受能力的总得分是**	

A/C 1 账户	**Overall Risk Tolerance Level 整体风险承受能力**	**A/C 2 账户**
☐	**Investor profile 1 - Safety Oriented 投资者类型 1 - 谨慎型 (≦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。	☐
☐	**Investor profile 2 - Conservative 投资者类型 2 - 保守型 (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。	☐
☐	**Investor profile 3 - Moderate 投资者类型 3 - 平衡型 (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。	☐
☐	**Investor profile 4 - Aggressive 投资者类型 4 - 进取型 (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 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. 你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

I/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. I/We acknowledge that a copy of "Client Risk Profiling Questionnaire – Investment Products" has been given to me.

本人/吾等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。本人/吾等确认收到「投资产品 – 风险承受能力问卷」的副本。

☐ I/We agree and accept the above assessment of my investment profile. 本人/吾等同意并接受上述对本人的投资类型的评估。

☐ I/We disagree with the above assessment of my investment profile and my investment profile should be: (Please explain in detail.)
本人/吾等不同意上述对本人的投资类型的评估，且认为本人的投资类型应为: (请详细解释。)

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Applicable to Account Holder of a joint account

I/We acknowledge that (1) each account holder must complete a "Investment Profile Questionnaire" for investing through the joint account; and (2) the Delta Asia Securities Limited will use the most conservative risk tolerance profile among all joint account holders for joint accounts.

适用于联名户口持有人

本人/吾等确认：（1）联名户口的每位户口持有人透过联名户口作出投资前，必须各自填妥本问卷；（2）在联名户口的每位户口持有人各自最近在本问就该联名户口所作评估的整体结果中，汇业证券有限公司会以最保守的风险承受取向作为依据。

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

(1) Signature of Individual/ First Joint Account Holder 个人/ 第一账户持有人签署	(2) Signature of Second Joint Account Holder 联名账户第二持有人签署
Name of Client 客户名称	Name of Client 客户名称
Date 日期	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

For office use only 只供内部使用

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