

**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 – Individual / Joint 個人/聯名**

Individual Account 個人賬戶  Joint Account 聯名賬戶

**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**

**First Joint Account Holder 第一賬戶持有人**

**Second Joint Account Holder 聯名賬戶第二持有人**

1. 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): \_\_\_\_\_

2. 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  
 China A-shares 中國 A 股  
 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  
 Others (Please specify) 其他 (請說明): \_\_\_\_\_  
 None 沒有

3. Years of Experiences 投資經驗年資:

None 沒有  
 1-3 years 一至三年  
 4-6 years 四至六年  
 7-9 years 七至九年  
 Over 10 years 超過十年

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 Others (Please specify) 其他 (請說明): \_\_\_\_\_

2. 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  
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 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  
 Others (Please specify) 其他 (請說明): \_\_\_\_\_  
 None 沒有

3. Years of Experiences 投資經驗年資:

None 沒有  
 1-3 years 一至三年  
 4-6 years 四至六年  
 7-9 years 七至九年  
 Over 10 years 超過十年

**B.1 Financial Status 財政狀況**

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 財政狀況**

Source of Funds (may choose more than one option)

收入來源(可選擇一項或多項)

- Salary 薪金  
 Savings 儲蓄  
 Retirement Funds 退休基金  
 Rental 租金  
 Return on Investment 投資回報  
 Loans 貸款  
 Business Profit 業務溢利  
 Nil 沒有  
 Others 其他: \_\_\_\_\_

Asset Type 資產類別

- Cash 現金/Deposit 存款  
 Land and Property 房地產  
 Company Shares 公司股份  
 Inheritance 遺產  
 Stocks 股票  
 Funds 基金  
 Bonds/Debentures 債券  
 Foreign Exchange 外匯  
 Others 其他: \_\_\_\_\_

Estimated Total Net Worth (HKD) 估計資產淨值(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

開戶時可用作投資的流動資產 (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)

財富來源 (可選擇一項或多項)

- Savings 儲蓄  
 Family Estate 家族財產/ Inheritance 遺產繼承  
 Sale of property/Assets 出售物業/資產  
 Sale of Investment 投資回報  
 Retirement Funds 退休金  
 Others (Please specify) 其他 (請說明): \_\_\_\_\_

Nature of Occupancy 住宅類別

- Owned (No Mortgage) 自置 (無按揭)  
 With Parents 與父母同住  
 Relative's 親屬樓宇  
 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)

收入來源(可選擇一項或多項)

- Salary 薪金  
 Savings 儲蓄  
 Retirement Funds 退休基金  
 Rental 租金  
 Return on Investment 投資回報  
 Loans 貸款  
 Business Profit 業務溢利  
 Nil 沒有  
 Others 其他: \_\_\_\_\_

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 Inheritance 遺產  
 Stocks 股票  
 Funds 基金  
 Bonds/Debentures 債券  
 Foreign Exchange 外匯  
 Others 其他: \_\_\_\_\_

Estimated Total Net Worth (HKD) 估計資產淨值(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

開戶時可用作投資的流動資產 (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)

財富來源 (可選擇一項或多項)

- Saving 儲蓄  
 Family Estate 家族財產/ Inheritance 遺產繼承  
 Sale of property/Assets 出售物業/資產  
 Sale of Investment 投資回報  
 Retirement Funds 退休金  
 Others (Please specify) 其他 (請說明): \_\_\_\_\_

Nature of Occupancy 住宅類別

- Owned (No Mortgage) 自置 (無按揭)  
 With Parents 與父母同住  
 Relative's 親屬樓宇  
 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

<input type="checkbox"/> Rented / Monthly Rental 租用/每月租金 <input type="checkbox"/> HK\$15,000 or Less 或以下 <input type="checkbox"/> HK\$15,001 – HK\$25,000 <input type="checkbox"/> HK\$25,001 – HK\$35,000 <input type="checkbox"/> HK\$35,001 or above 或以上	<input type="checkbox"/> Rented / Monthly Rental 租用/每月租金 <input type="checkbox"/> HK\$15,000 or Less 或以下 <input type="checkbox"/> HK\$15,001 – HK\$25,000 <input type="checkbox"/> HK\$25,001 – HK\$35,000 <input type="checkbox"/> HK\$35,001 or above 或以上
<b>B.2 Knowledge of Structured or Derivative Products 對結構性或衍生產品知識</b>	
<p>1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有買賣結構性或衍生產品的經驗?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p> <p>please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券  <input type="checkbox"/> Derivative Warrants 衍生認股證  <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證  <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金  <input type="checkbox"/> Futures and Options 期貨或期權合約交易  <input type="checkbox"/> Stock Options 股票期權  <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品</p> <p>Others 其他: _____</p>	<p>1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有買賣結構性或衍生產品的經驗?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p> <p>please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券  <input type="checkbox"/> Derivative Warrants 衍生認股證  <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證  <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金  <input type="checkbox"/> Futures and Options 期貨或期權合約交易  <input type="checkbox"/> Stock Options 股票期權  <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品</p> <p>Others 其他: _____</p>
<p>2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有關結構性或衍生產品的培訓或修讀相關課程?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p> <p>please state the name and date of the trainings/courses 請提供培訓或修讀課程之名稱及日期: _____</p>	<p>2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有關結構性或衍生產品的培訓或修讀相關課程?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p> <p>please state the name and date of the trainings/courses 請提供培訓或修讀課程之名稱及日期: _____</p>
<p>3. Do you have current or previous work experience relating to structured or derivative products? 你現時或過去有沒有與結構性或衍生產品有關的工作經驗?</p> <p><input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Employer 僱主: _____      Department and position 部門及職位: _____</p>	<p>3. Do you have current or previous work experience relating to structured or derivative products? 你現時或過去有沒有與結構性或衍生產品有關的工作經驗?</p> <p><input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Employer 僱主: _____      Department and position 部門及職位: _____</p>
<p>4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?</p> <p><input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Relevant Financial institution(s) 相關金融機構: _____      Product Type 產品種類: _____</p> <p>Trading Period 交易日期: _____(mm/yyyy) to _____(mm/yyyy)      _____年_____月至_____年_____月</p>	<p>4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?</p> <p><input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Relevant Financial institution(s) 相關金融機構: _____      Product Type 產品種類: _____</p> <p>Trading Period 交易日期: _____(mm/yyyy) to _____(mm/yyyy)      _____年_____月至_____年_____月</p>
<p>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。</p> <p style="text-align: right;"><input type="checkbox"/> <b>I/We agree to bear the risks involved. 本人/吾等同意承擔有關風險。</b></p>	
<p><b>(1) Signature of Individual/ First Joint Account Holder</b> 個人/ 第一賬戶持有人簽署</p>	<p><b>(2) Signature of Second Joint Account Holder</b> 聯名賬戶第二持有人簽署</p>
<p><b>Name of Client:</b> 客戶名稱</p>	<p><b>Name of Client:</b> 客戶名稱</p>

## C. Investment Profile Questionnaire 投資取向問卷

First Joint Account Holder 第一賬戶持有人		Second Joint Account Holder 聯名賬戶第二持有人	
1.	What is your age? 你的年齡是?		
	<input type="checkbox"/> A. 65 or above <input type="checkbox"/> B. 56-64 <input type="checkbox"/> C. 46-55 <input type="checkbox"/> D. 36-45 <input type="checkbox"/> E. 18-35	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. 65 or above <input type="checkbox"/> B. 56-64 <input type="checkbox"/> C. 46-55 <input type="checkbox"/> D. 36-45 <input type="checkbox"/> E. 18-35
2.	What is your highest education level? 你的教育程度是?		
	<input type="checkbox"/> A. Primary or below 小學或以下 <input type="checkbox"/> B. Secondary 中學 <input type="checkbox"/> C. Post-secondary 大專 <input type="checkbox"/> D. Non-finance related degree or above 大學或以上(非財務學相關) <input type="checkbox"/> E. Finance degree or above/ equivalent finance professional qualification 大學或以上(財務學相關)/同等財務學相關專業資格	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. Primary or below 小學或以下 <input type="checkbox"/> B. Secondary 中學 <input type="checkbox"/> C. Post-secondary 大專 <input type="checkbox"/> D. Non-finance related degree or above 大學或以上(非財務學相關) <input type="checkbox"/> E. Finance degree or above/ equivalent finance professional qualification 大學或以上(財務學相關)/同等財務學相關專業資格
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?		
	<input type="checkbox"/> A. I am not willing to accept any risk. 我不願意承受任何風險 <input type="checkbox"/> 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 <input type="checkbox"/> C. I am trying to strike a balance between risks and returns. 我會平衡風險與回報 <input type="checkbox"/> 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 <input type="checkbox"/> 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]	<input type="checkbox"/> A. I am not willing to accept any risk. 我不願意承受任何風險 <input type="checkbox"/> 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 <input type="checkbox"/> C. I am trying to strike a balance between risks and returns. 我會平衡風險與回報 <input type="checkbox"/> 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 <input type="checkbox"/> 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
4.	Which of the following annual price fluctuations would be acceptable to you? 你可以接受以下哪個年度的價格波幅?		
	<input type="checkbox"/> A. No price fluctuation 沒有價格波幅 <input type="checkbox"/> B. Price fluctuates between -5% to +5% 價格波幅介乎-5%至+5% <input type="checkbox"/> C. Price fluctuates between -10% to +10% 價格波幅介乎-10%至+10% <input type="checkbox"/> D. Price fluctuates between -15% to +15% 價格波幅介乎-15%至+15% <input type="checkbox"/> E. Price fluctuates between -20% to +20% 價格波幅介乎-20%至+20%	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. No price fluctuation 沒有價格波幅 <input type="checkbox"/> B. Price fluctuates between -5% to +5% 價格波幅介乎-5%至+5% <input type="checkbox"/> C. Price fluctuates between -10% to +10% 價格波幅介乎-10%至+10% <input type="checkbox"/> D. Price fluctuates between -15% to +15% 價格波幅介乎-15%至+15% <input type="checkbox"/> E. Price fluctuates between -20% to +20% 價格波幅介乎-20%至+20%
5.	What portion of your overall income is available for investment each month? 你的整體收入有多少可用於投資?		
	<input type="checkbox"/> A. Less than 10% 少於 10% <input type="checkbox"/> B. 10% - 29% <input type="checkbox"/> C. 30% - 49% <input type="checkbox"/> D. 50% - 69% <input type="checkbox"/> E. 70% or above 多於 70%	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. Less than 10% 少於 10% <input type="checkbox"/> B. 10% - 29% <input type="checkbox"/> C. 30% - 49% <input type="checkbox"/> D. 50% - 69% <input type="checkbox"/> E. 70% or above 多於 70%
6.	How many months of your household expenses could be covered by your reserve to meet unforeseen events? 你的儲備金可以支付多少個月的家庭費用以應對意外事件?		
	<input type="checkbox"/> A. None 沒有 <input type="checkbox"/> B. Less than 3 months 少於 3 個月 <input type="checkbox"/> C. 3 - 6 months 3-6 個月 <input type="checkbox"/> D. 7 - 12 months 7-12 個月 <input type="checkbox"/> E. More than 12 months 多於 12 個月	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. None 沒有 <input type="checkbox"/> B. Less than 3 months 少於 3 個月 <input type="checkbox"/> C. 3 - 6 months 3-6 個月 <input type="checkbox"/> D. 7 - 12 months 7-12 個月 <input type="checkbox"/> E. More than 12 months 多於 12 個月

7.	What do you expect on your future monthly investable amount over the next 5 years? 你預計未來 5 年每月可投資之金額會怎樣?			
	<input type="checkbox"/> A. The monthly investable amount will decrease sharply 每月可投資之金額會大幅減少 <input type="checkbox"/> B. The monthly investable amount will decrease 每月可投資之金額會減少 <input type="checkbox"/> C. The monthly investable amount will remain unchanged 每月可投資之金額會維持不變 <input type="checkbox"/> D. The monthly investable amount will increase gradually 每月可投資之金額會逐漸上升 <input type="checkbox"/> E. The monthly investable amount will increase sharply 每月可投資之金額會急升	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. The monthly investable amount will decrease sharply 每月可投資之金額會大幅減少 <input type="checkbox"/> B. The monthly investable amount will decrease 每月可投資之金額會減少 <input type="checkbox"/> C. The monthly investable amount will remain unchanged 每月可投資之金額會維持不變 <input type="checkbox"/> D. The monthly investable amount will increase gradually 每月可投資之金額會逐漸上升 <input type="checkbox"/> E. The monthly investable amount will increase sharply 每月可投資之金額會急升	[1] [2] [3] [4] [5]
The total source of your overall risk tolerance level is 閣下的整體風險承受能力的總得分是			The total source of your overall risk tolerance level is 閣下的整體風險承受能力的總得分是	
A/C 1 賬戶	Overall Risk Tolerance Level 整體風險承受能力			A/C 2 賬戶
<input type="checkbox"/>	<b>Investor profile 1 - Safety Oriented 投資者類型 1 - 謹慎型 (≤7)</b> <b>Risk tolerance level 風險承受程度:</b> 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。 <b>Investment objectives 投資目標:</b> 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。			<input type="checkbox"/>
<input type="checkbox"/>	<b>Investor profile 2 - Conservative 投資者類型 2 - 保守型 (8-14)</b> <b>Risk tolerance level 風險承受程度:</b> 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。 <b>Investment objectives 投資目標:</b> 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。			<input type="checkbox"/>
<input type="checkbox"/>	<b>Investor profile 3 - Moderate 投資者類型 3 - 平衡型 (15-21)</b> <b>Risk tolerance level 風險承受程度:</b> 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。 <b>Investment objectives 投資目標:</b> 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。			<input type="checkbox"/>
<input type="checkbox"/>	<b>Investor profile 4 - Aggressive 投資者類型 4 - 進取型 (22-28)</b> <b>Risk tolerance level 風險承受程度:</b> 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。 <b>Investment objectives 投資目標:</b> 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。			<input type="checkbox"/>
<input type="checkbox"/>	<b>Investor profile 5 - Specialised Investing 投資者類型 5 - 專業性投資型 (29-35)</b> <b>Risk tolerance level 風險承受程度:</b> 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，而非非常困難或沒可能在一段較長的時間內出售的投資產品。 <b>Investment objectives 投資目標:</b> 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。			<input type="checkbox"/>

**Client's Declaration 客戶聲明**

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。本人/吾等確認收到「投資產品 – 風險承受能力問卷」的副本。

I/We agree and accept the above assessment of my investment profile. 本人/吾等同意並接受上述對本人的投資類型的評估。

I/We disagree with the above assessment of my investment profile and my investment profile should be: (Please explain in detail.)  
本人/吾等不同意上述對本人的投資類型的評估，且認為本人的投資類型應為：(請詳細解釋。)

**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.

**適用於聯名戶口持有人**

本人/吾等確認：(1) 聯名戶口的每位戶口持有人透過聯名戶口作出投資前，必須各自填妥本問卷；(2) 在聯名戶口的每位戶口持有人各自最近在本問就該聯名戶口所作評估的整體結果中，滙業證券有限公司會以最保守的風險承受取向作為依據。

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

(1) Signature of Individual/ First Joint Account Holder 個人/ 第一賬戶持有人簽署	(2) Signature of Second Joint Account Holder 聯名賬戶第二持有人簽署
Name of Client 客戶名稱	Name of Client 客戶名稱
Date 日期	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