Hong Kong Stock Link Securities Limited
港股通証券有限公司

Suite 902 , 9th Floor, Chinachem Tower,
34-37 Connaught Road Central, Central, Hong Kong.
Tel: 2530 2213 Fax: 2523 5069
Email: cs@hongkongstocklink.com.hk

風險承受能力問卷

Account No. 帳戶號碼:____________________ Client's Name 客戶名稱:______________________________

This questionnaire serves to help you to assess your risk attitude based on your ability to take risk and your risk tolerance level
這份問卷是根據閣下承受風險的能力及風險接受程度以評估閣下的風險態度。

Please circle your answer 請圈出你的答案

PART 1: For All client 第一部份: 適用於全部客戶		Score 分數 (For Official Use Only 只供本行使用)
Q1	How many years of investment experience (exclude savings, fixed deposit and foreign currency deposit) do/does you/your company do have? 您/貴公司有多少年投資經驗(不包括儲蓄、定期儲蓄及外幣儲蓄)? A. Over 10 years, 多 於 10 年 B. 6 - 10 years, 6 - 10 年 C. 1 - 5 years, 1 - 5 年 D. None or less than 1 year, 沒有或少於 1 年	
Q2	Which of the following products you/your company have/has previously invested? 您/貴公司曾否投資於以下產品? (you may select more than 1 option, 您可選擇多於一項) A. Options, futures, warrants, hedge funds and other structured products such as equity linked note/investment.期權、期貨、認股權證(俗稱「窩輪」)、對沖基金。 B. Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but excluding money market funds), investment-linked insurance plans. 股票、債券、股票或債券基金(包捨強積金,不包括貨幣市場基金)、投資相連保單。 C. Cash, Deposits, Certificates of Deposit, capital protected products, HKSAR Government Bond 現金、存款、存款證、保本產品、香港政府債券。	
Q3	What is current objective for investment? 現時之投資目標是? A. Maximize capital growth as soon as possible 以最短時間，爭取最高回報 B. Gradual long-term capital growth 資本長期地逐漸增長 C. Stable, balanced income and capital growth 穩定、平衡收入與資本增長 D. Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報	
Q4	How long is the expected Investment horizon? 預期投資年期是多少? A. Over 3 years, 多於 3 年 B. 1 - 3 years, 1 - 3 年 C. None or less than 1 year, 沒有或少於 1 年	
Q5	Which of the following statement could best describe your/your company attitude towards investment risk? 以下那一段句子最能反映您/貴公司對風險的態度? A. 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 B. I am trying to strike a balance between risks and returns 我會平衡風險與回報 C. I will try to avoid risks but minor ones are still acceptable 我會盡量回避風險，但仍可承受較低的波動	
Q6	Generally, the higher the expected return the higher price fluctuation may be involved. What level of annualized price fluctuation would you generally be comfortable with? 一般而言，預期較高回報，亦會涉及較高的價格波幅。您可以接受以下哪個年度價格波幅? A. Price fluctuates under-30% and over +30% 價格波幅多於-30%至+30%之間 B. Price fluctuates between -30% and +30%, 價格波幅介乎-30% 至 +30% C. Price fluctuates between -5% and +5%, 價格波幅介乎-5% 至 +5%	

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PART 2A: For Individual/Joint Account (Corporate Account please go to PART 2B) **第 2A 部份: 以下只適用個人/聯名客戶(公司客戶請跳至第 2B 部份)**		
Q7	What is your age? 您現時的歲數是? A. Age 18 - 35, 18 - 35 歲 B. Age 36 - 50, 36 - 50 歲 C. Age 51 - 65, 51 - 65 歲 D. 65 or above, 65 歲或以上	
Q8	What is your highest education level? 您的教育程度是? A. Post-secondary/ university above 大專/ 大學或以上 B. Secondary 中學 C. Primary or below 小學或以下	
Q9	How much of your investments would you require to liquidate to meet liquidity need for an unforeseen event? 您有多需要將投資項目變現,來滿足對突發事件的流動資金需要? A. I would not have to sell any of my investments. 我不一定會出售任何投資。 B. I would sell no more than 30% of my investments. 我會出售不多於 30%的投資。 C. I would sell more than 30% but less than 50% of my investments. 我會出售多於 30%但少於 50%的投資。 D. I would sell more than 50% of my investments. 我會出售 50%以上的投資。	
PART 2B: For Corporate Account **第 2B 部份: 以下只適用公司客戶**		
Q7	What is your company's profit expectation in the next five years? (For non-profit making organization, please use net cash flow instead) 閣下預期貴公司在未來五年的純利走勢是？(如果屬於非牟利機構，請以淨現金流量代替純利走勢) A. Stable and outpacing economic growth/ 穩定並領先經濟增長 B. Stable and in line with economic growth/ 穩定並與經濟增長看齊 C. Somewhat stable with very low possibility to incur any loss for the next five years/ 尚算穩定，預計在未來五年虧本機會不大 D. Unstable with some possibility to incur losses over the next five years/ 不穩定，預計在未來五年有機會虧本	
Q8	Does your company employ any dedicated personnel responsible for making investment decisions? 貴公司有否聘用專責人員負責作出投資決定? A. Yes, we have senior management with relevant professional qualifications to make investment decisions. 有, 本公司擁有相關專業資格的管理層負責作出投資決定。 B. No, but we have some knowledge on making investment decisions. 沒有, 但本公司對投資決定有一定知識。 C. No, we do not have knowledge on making investment decisions. 沒有, 本公司對投資決定沒有知識。	
Q9	How much of your company investments would you require to liquidate to meet liquidity need for an unforeseen event? 貴公司有多需要將投資項目變現,來滿足對突發事件的流動資金需要? A. I would not have to sell any of my investments. 我不一定會出售任何投資。 B. I would sell no more than 30% of my investments. 我會出售不多於 30%的投資。 C. I would sell more than 30% but less than 50% of my investments. 我會出售多於 30%但少於 50%的投資。 D. I would sell more than 50% of my investments. 我會出售 50%以上的投資。	
TOTAL SCORE 總分數		

Score: (A=5 B=3; C=1; D=-1)

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Overall Assessment Result 投資者取向評估結果

Total Score 總分數	≦ 17	17 - 37	≧ 37
Risk Tolerance Level 風險承受程度	Low 低	Medium 中	High 高
Investor Characteristics 投資者特徵	**Conservative 保守型** You are willing to accept low risks. In return, you understand that you will receive low returns. 閣下願意承受低度的風 險，亦明白會接受比較保守回報。	**Balance 平衡型** You are willing to accept medium risks in exchange for some potential returns over the medium to long term. 閣下願意承受中度的風 險，於中長線換取潛在回報。	**Aggressive 進取型** You are willing to accept very high risks to maximize your potential return over the long term. You understand that you may lose a significant part or all of your capital. 閣下願意承受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部份或全部本金。

Disclaimer 免責聲明

The results of this questionnaire are derived from the information that you have provided to Hong Kong Stock Link Securities Limited(“HKSLSL”) and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only. HKSLSL accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results. 本問卷的結果是從您向港股通證券有限公司(‘港股通”)提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途。港股通對本問卷所載資料及/或所得結果的準確性或完整性並不負責或承擔任何法律責任。

This questionnaire and the results only serve as a reference for your consideration and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.
本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。

Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire, we strongly recommend that you should complete this questionnaire again. 請注意，倘若您未能全面披露所有或任何有關您的個人狀況(如財務狀況)、不正確、不完整或過時的資料可能影響本集團評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

Client’s Declaration 客戶聲明

I /we hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.
本人/我們謹此聲明: 本人/我們為本問卷所提供的資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

Client Signature with Company Chop (if applicable) 客戶簽署及公司蓋章(如適用)

Client Signature 客戶簽署

Date 日期

For Official Use Only 只供本行使用

A.E. / Licensed Person 持牌人 Name 姓名: CE No. 中央編號:	R.O. 負責人員 Name 姓名: CE No. 中央編號: