

Fortune Origin Securities Limited 富中證券有限公司

Room 404-405, 4/F, Nan Fung Tower, 88 Connaught Road Central, Central, Hong Kong
香港中環干諾道中 88 號南豐大廈 4 樓, 404-405 室

RISK PROFILE QUESTIONNAIRE (INDIVIDUAL)

風險評估問卷(個人)

(to be completed by the representative of joint holders, if applicable) 由聯名持有人之代表填寫 (如適用)

1. The following Risk Profile Questionnaire (the “**Profile**”) is intended to assist you to understand your risk acceptance level and your willingness to accept risk. The result is derived from the information you provided to Fortune Origin Securities Limited (CE: ASS782) (the “**Company**”). Inaccurate, incomplete or outdated information may affect the profiling results. If the information provided is changed, it is recommended that you should conduct the profiling again as the profiling result may be different. The result of the Profile is merely for your consideration and reference only and it should not be considered as recommendation or advice on the suitability of any investment product, nor does it constitute any offer or solicitation to buy or sell any investment products.

以下的風險評估問卷 (「**風險評估**」) 的主要用途是協助了解閣下的風險承受能力及願意承擔風險的程度。此風險評估乃根據閣下向富中證券有限公司 (中央牌照號碼: ASS782) (「**本公司**」) 提供的資料而編列。倘若資料有欠準確或有欠完備又或過時, 風險取向結果或會受到影響。所提供資料若有改變, 閣下應再進行風險評估, 因為屆時取向結果可能有所不同。本取向旨在協助閣下明白本身的投資需要及個人風險取向, 並僅供閣下考慮及參考。本風險評估不應被視作有關是否適合買賣任何投資產品的建議或意見, 亦不構成有關買賣任何投資產品的要約或招攬。

2. It is important to understand that the risk category to which any investment product is currently classified may change from time to time. The risks arising from any transaction in relation to such investment product may not correspond to your risk tolerance level reflected in the Profile which you have completed.

閣下應明白任何投資產品的現有風險等級會不時改變, 而有關該等投資產品的交易所產生的風險未必與閣下的個人風險評估所反映的風險承受能力相符。

3. Concentration ratio of an investment in a particular product is a percentage showing the amount of such investment in aggregated term against customer's total investible assets. It is one of the methods employed for the diversification of risk.

集中程度比率是於單一產品的總投資, 佔客戶可投資資產總額的百分比, 乃其中一種分散風險的方法。

Generally speaking, investment in a particular product should not constitute more than certain percentages of the customer's total investible assets. Although your risk tolerance level may match the risk rating of a product, the product may not match your profile if the purchase of the product leads to a high degree of concentration with respect to your total investible assets.

一般而言, 客戶於某產品的投資, 不應超過閣下可投資資產總額的某一個百分比。儘管閣下的風險承受能力可能與某產品的風險等級相符, 但若閣下買入該產品, 導致可投資資產組合過份集中, 該項產品則可能不符合閣下的理財取向。

4. The Company does not make any representation or warranty and shall have no liability whatsoever as to the completeness or accuracy of the information contained in this Profile and in respect of any consequences should you choose to rely on the information herein contained.

本公司對於本風險評估所載資料的完備性或準確性並不作出任何聲明或保證, 亦不會就閣下倚賴該等資料所招致的任何後果而承擔任何責任。

5. You agree to notify the Company in writing within 14 days in the event of any change to the information you have provided to us in this form.

如閣下提供給本公司的資料有變化, 閣下應該在 14 天內書面通知本公司。

6. Where inconsistency exists between the English and Chinese version, the English version shall prevail.

英文與中文文本如有歧異, 概以英文文本為準。

1. How many months of basic household expenses can be covered by your savings? 儲蓄金額大約可應付多少個月的家庭基本開支?

- ☐ Less than 2 months < 2 個月 (1)
- ☐ 2 months to 5 months 2 - 5 個月 (3)
- ☐ 5 months to 8 months 5 - 8 個月 (5)
- ☐ 8 months to 12 months 8 - 12 個月 (7)
- ☐ More than 12 months > 12 個月 (9)

2. How many years of experience have you invested in investment products with fluctuating value (including long-term holding and frequent trading)? Investment products with fluctuating value may include, for example, stocks, unit trust funds, foreign currencies, commodities, structured products, warrants (commonly known as "warrant"), options, futures, investment-linked insurance, etc.?

您有多少年投資於價值波動之投資產品的經驗 (包括長期持有及頻繁交易)? 價值會波動之投資產品可包括: 例如股票、單位信託基金、外幣、商品、結構性產品、認股權證(俗稱“窩輪”)、期權、期貨、投資相連保單等。

- ☐ Less than 1 year < 1 年 (1)
- ☐ 1 - 3 years 1 - 3 年 (3)
- ☐ More than 3 years > 3 年 (5)

3. In the past year, which of the following investment products have you held or purchased? (Multiple ones can be selected)

過去一年有哪些產品投資經驗, 您持有或購買過以下哪些投資產品? (可選擇多於一項)?

- ☐ Cash, Deposit, Certificate of Deposit, Capital Protected Investment, Bonds, Debenture Fund (5)
現金、存款、存款證、保本產品、債券、債券基金
- ☐ Developed market equity funds or stocks (e.g.: Europe, US, Japan, Hong Kong, etc.); Developing market/Emerging markets equity funds or equities (7)
已發展市場股票基金或股票 (例如: 歐洲、美國、日本、香港等)、發展中市場/新興市場股票基金或股票 (例如: 中國、東歐等)
- ☐ Hedge funds, foreign exchange margin accounts, structured products (such as: foreign currency-linked, stock-linked, credit-linked instruments, etc.) or derivatives (such as: options, futures, warrants, swap contracts, etc.) (9)
對沖基金、外匯保證金帳戶、結構性產品 (例如: 外幣掛鉤、股票掛鉤、信用掛鉤工具等) 或衍生工具 (例如: 期權、期貨、認股證、掉期合約等)

4. In the past year, how many times have you executed derivatives transactions (buy and sell derivatives or other financial instruments)?

在過去一年, 你曾執行過多少次衍生產品交易 (買賣衍生工具或其他金融工具)?

- ☐ 0 time 0 次 (3)
- ☐ 1 - 5 times 1 - 5 次 (5)
- ☐ 6 - 10 times 6 - 10 次 (7)
- ☐ More than 10 times > 10 次 (9)

5. What percentage of your assets are you willing to invest in financial products with market risks (e.g. stocks, interest rates, currency, commodity risks)?

在理想情況下, 您願意把您的資產中多少百分比投資於有市場風險的金融產品 (例如: 股票風險、利息風險、貨幣風險、商品風險等)?

- ☐ < 10% (1)
- ☐ 10 - 20% (3)
- ☐ 21 - 40% (5)
- ☐ 41 - 60% (7)
- ☐ > 60% (9)

6. Which sentence describes your attitude towards investment risk? 以下哪句最能形容您對投資風險的態度?

- ☐ You are very concerned about price volatility and prefer to accept low returns to avoid all risks. (1)
您非常關注價格波幅，寧願接受低回報來避免所有風險。
- ☐ You care about price volatility and would rather avoid most of the risk with less return. (3)
您關注價格波幅，寧願以較少的回報來避免大部份風險。
- ☐ You are willing to accept some price volatility in exchange for a reasonable return. (5)
您願意接受一些價格波幅以換取合理的回報。
- ☐ You are willing to accept higher price volatility when returns are attractive. (7)
您在回報吸引的情況下願意接受較高的價格波幅。
- ☐ You are willing to tolerate extremely high price volatility in pursuit of maximum returns. (9)
您願意承受極高的價格波幅以追求最大的回報。

7. Proportion of your investable assets that are currently allocated to low-risk assets (e.g. savings deposits, fixed term deposits, cash values of insurance policies, government bonds such as forex funds and bills, and bonds) :

綜觀您現時所有的投資及低風險的資產 (例如：儲蓄存款、定期存款、保險現金值、政府債券如外匯基金票據及債券等)佔您的可投資資產中的比例是：

- ☐ > 80% (1)
- ☐ 60 - 80% (3)
- ☐ 40 - 59% (5)
- ☐ 20 - 39% (7)
- ☐ < 20% (9)

8. What is your acceptable level of volatility for investment products? 您願意投資於波幅程度多大的投資產品?

- ☐ Volatility between -15% and +15% (5)
於 -15% 至 +15% 之間的波幅
- ☐ Volatility between -30% and +30% (10)
於 -30% 至 +30% 之間的波幅
- ☐ Volatility more than -30% and +30% (15)
多於 -30% 至 +30% 之間的波幅

9. What is the maximum loss you can accept on your investment portfolio? 您接受您的投資組合最多虧損多少?

- ☐ < 5% (1)
- ☐ 5 - 10% (3)
- ☐ 11 - 20% (5)
- ☐ 21 - 35% (7)
- ☐ > 35% (9)

10. Which of the following describes your investment goals? 以下哪一項最適合形容您的投資目標?

- ☐ Safety and emergency needs (1)
安全及緊急需要
- ☐ Capital preservation and liquidity purposes (3)
保本及作周轉用途
- ☐ Accumulate wealth (investment returns can catch up with inflation) (5)
累積財富(投資回報能趕上通脹)
- ☐ Accumulate wealth (investment returns can be significantly higher than inflation) (7)
累積財富(投資回報能明顯高於通脹)
- ☐ Earn the most wealth (high risk and aggressive) (9)
賺取最多財富(高風險及進取)

11. How long do you intend to hold your portfolio? 您打算持有您的投資組合多久?

- ☐ < 3 個月 (1)
- ☐ 3 - 6 個月 (3)
- ☐ 7 - 12 個月 (5)
- ☐ 13 - 36 個月 (7)
- ☐ > 36 個月 (9)

12. Do you need to sell your investments for liquidity purposes? 您是否需要依賴您的投資作周轉用途?

- ☐ I need to sell more than 50% of my investment this year for liquidity (1)
我今年需要出售多於 50% 的投資作周轉
- ☐ I need to sell more than 25% but less than 50% of my investment this year for liquidity (3)
我今年需要出售多於 25% 但少於 50% 的投資作周轉
- ☐ I need to sell more than 15% but less than 25% of my investment this year for liquidity (5)
我今年需要出售多於 15% 但少於 25% 的投資作周轉
- ☐ I need to sell no more than 15% of my investment this year for liquidity (7)
我今年需要出售不多於 15% 的投資作周轉
- ☐ I don't need to rely on my investments for liquidity (9)
我不需要依賴我的投資作周轉

Total Score for Question 1 to 12 (Please circle the correct one) 第一至第十二題總分 (請圈出適當選擇) :

Total Score 總分	Risk Level 風險類型	Suitable Product Risk 合適之產品風險類型	Investor Risk Profile 投資風險分析
22 - 35	Conservative 保守型	RR1	You can only tolerate little price and value fluctuations (i.e. investment risk) for your investment. You also realize that your investment choices may not earn return high enough to match inflation rates in the long run. Nevertheless, you prefer investment products with no or very little price fluctuations. 你可承受少量價格及市值波動(即投資風險)。儘管你亦明白自己的投資選擇所帶來的回報長遠未必能高於通脹率，你仍選擇沒有價值波動或波動較低之投資產品。
36 - 55	Moderately Conservative 中度保守型	RR2	You can tolerate some price and value fluctuations in order to achieve higher return. However, you do not prefer investment products with wide range of price fluctuations. Moreover, you do not prefer to have a large percentage of risky assets in your portfolios. Your expectation is to have investment returns that keep up with inflation in the long run. 你可承受一些價格及市值波動以換取較高回報，但你並不接受價格波動程度較大的投資產品。此外，你並不希望自己的投資組合持有大比重的具風險的資產。你期望投資回報長遠能趕上通脹。
56 - 65	Balanced 平衡型	RR3	You can tolerate a wide range of price and value fluctuations. You are also willing to have risky assets in your portfolio. By accepting investment products with medium level of investment risk, you hope to achieve a higher investment return that can best inflation by a meaningful margin in the long run. 你可承受較大的價格及市值波動程度。你願意投資組合內持有具風險之資產。你接受中度投資風險的投資產品，從而希望長遠能獲取明顯高於通脹的回報。
66 - 75	Moderately Aggressive 中度進取型	RR4	You can tolerate a relative high level of investment risk and are willing to accept a high price and value fluctuations in order to increase your return. You accept that such a risk is necessary to earn higher return in the long run. 你可承受較高的投資風險及願意接受高的價格及市值波動來增加回報。你接受以較高風險換取長遠較高的回報。
76 or above 76 or above	Aggressive 進取型	RR5	You can tolerate high level of investment risk and are willing to accept a very high price and value fluctuations in order to maximize your return. You accept that such a high risk is necessary to maximize return in the long run. 你可承受高度投資風險及願意接受很高的價值及市值波動來換取最大回報。你接受以高風險換取長遠最大的回報。

Declaration 聲明:

- I. I / We hereby declare that the information that I/we have provided herein is true, correct and complete to the best of my/our knowledge and belief. I / We agree that I / we shall notify the Company of any change to such information within 14 days from the day of change. 本人 / 吾等確認吾等在此提供的全部資料均是正確及真實。如有任何變更，吾等同意在 14 個工作天內通知本公司。
- II. I / We hereby confirm that the Risk Profile Questionnaire was provided to me / us in a language of my / our choice and that I / we have been invited by the Company to ask question and take independence advice before completing this questionnaire. 本人 / (吾等) 確認本風險評估問卷的語言版本是本人 / (吾等) 選擇及適合的。在填寫本風險評估問卷前，本公司已邀請本人 / (吾等) 發出提問及建議本人 / (吾等) 在填寫本風險評估問卷前，諮詢獨立專業意見。
- III. I / We hereby agree that my / our risk tolerance level as determined in the Risk Profile Questionnaire is correct. 本人 / (吾等) 同意以上評估本人 / (吾等) 的風險承受能力是正確的。

Full Name(s) of Applicant (or representative of joint holders): 申請人姓名 (或聯名賬戶的代表):	
Signature(s) of Applicant: 申請人簽名:	Date: 日期:

For official use only			
AE/Dealing	R.O.	Settlement input	Settlement checker