(**Applicable to Corporate Client** 適用於法團客戶)

風險承受能力問卷
Risk Profile Questionnaire

以下是一份風險及投資經驗評估問卷，目的是評估貴公司對風險的承受能力及據此選擇適合閣下的投資組合。
This is a risk and investment experience assessment questionnaire to help the company assess its risk tolerance level and the portfolio options that match your profile.

客戶資料 Client Information

帳戶名稱 Client Name:______________________________ 帳戶號碼 Client No: ___________________________

問 卷 Questionnaire

請在適當的方格內加上(✓)並回答全部 10 條問題。
Please tick (✓) the appropriate one and fill in all 10 questions.

1. 貴公司有否聘用專責人員負責作出投資決定？
Does your company employ any dedicated personnel responsible for making investment decisions?

- ❑ A. 沒有, 但本公司對投資決定有少許知識。No, but we have a little knowledge on making investment decisions. (1)
- ❑ B. 沒有, 但本公司對投資決定有一定知識。No, but we have some knowledge on making investment decisions. (2)
- ❑ C. 沒有, 但本公司對投資決定有足夠知識。No, but we have adequate knowledge on making investment decisions. (3)
- ❑ D. 有, 本公司擁有相關專業資格的管理層負責作出投資決定。Yes, we have senior management with relevant professional qualifications to make investment decisions. (4)

2. 貴公司預留多少淨流動資產用在初始期及投資期內的投資？
What is the amount of net liquid assets that your company will set aside for investing in investment product initially and additionally during its investment period?

- ❑ A. 少於 港幣$1,000,000 Less than HK$1,000,000 (1)
- ❑ B. 港幣$1,000,001 至 港幣$5,000,000 HK$1,000,001 to HK$5,000,000 (2)
- ❑ C. 港幣$5,000,001 至 港幣$10,000,000 HK$5,000,001 to HK$10,000,000 (3)
- ❑ D. 多於港幣$10,000,000 Over HK$10,000,000 (4)

3. 貴公司買賣投資產品有多少年的經驗？ How many year(s) has your company been investing in investment product? (投資產品的定義：投資產品是指其價值可隨時波動，並可跌至低於其投資本金的產品。投資產品包括認股權證、期權、期貨、股票、債券、基金、股票掛鈎工具、外匯交易、商品、結構性產品等。)
(Definition of investment products: An investment product means that its value can fluctuate over time and can fall below its original invested capital. These include warrants, options, futures, stocks, bonds, funds, equity-linked instruments, foreign exchange trades, commodities, structured products, etc.)

- ❑ A. 少 於 1 年 Less than 1 year (1)
- ❑ B. 1 年 至 5 年 1 – 5 years (2)
- ❑ C. 6 年 至 10 年 6 – 10 years (3)
- ❑ D. 超 過 10 年 Over 10 years (4)

4. 買賣投資產品時，貴公司認為持有多久才合適？一般來說，投資年期越長，投資價值的波動越少。換言之，投資年期較長， 錄得 虧損的機會一般較低，但資金需要被鎖定一段較長時期。
When investing in investment products, how long will the company investment horizon be? In general, the longer the investment horizon, the more you can ride out the ups and downs of the market. That is, the chance to lose money is generally lower when the investment horizon increases, but the money needs to be locked in longer.

- ❑ A. 少於 1年 Less than 1 year (1)
- ❑ B. 1 年 至 5 年 1 – 5 years (2)
- ❑ C. 6 年 至 10 年 6 – 10 years (3)
- ❑ D. 超 過 10 年 Over 10 years (4)

5. 貴公司的主要投資目標是？What is your company prime investment objective?

- ❑ A. 保障本金 Capital Preservation (1)
- ❑ B. 抗衡通脹 Against Inflation (2)
- ❑ C. 均衡增長 Balanced Growth (3)
- ❑ D. 高速增長 High Growth (4)

6. 貴公司願意投資於波幅多大的投資產品？Which of the following potential returns your company would generally be most comfortable with?

- ❑ A. 介乎– 5%至+ 5%之間的波幅 Fluctuates between – 5% and + 5% (1)
- ❑ B. 介乎– 10%至+ 10%之間的波幅 Fluctuates between – 10% and + 10% (2)
- ❑ C. 介乎– 20%至+ 20%之間的波幅 Fluctuates between – 20% and + 20% (3)
- ❑ D. 介乎– 20%以上至+ 20%以上之間的波幅 Fluctuates between > – 20 % and > + 20% (4)

7. 貴公司現時是否持有以下任何投資產品？(如為多項，請選擇最高比例的一項。) Is your company currently holding any of the following investment products? (If more than 1 option, please choose the one with highest proportion.)	
❑ A. 現金、存款 Cash, Deposits	(1)
❑ B. 債券、債券基金 Bonds, Bond Funds	(2)
❑ C. 股票、基金、非保本投資產品 Stocks, Funds, Non Capital Protected Investment Product	(3)
❑ D. 認股權證(窩輪) 、期權、期貨 Warrants, Options, Futures	(4)

8. 在過往一年，貴公司曾執行過多少次交易？In the past year, how many transactions your company executed?	
❑ A. 少於 10 次交易 Less than 10 transactions	(1)
❑ B. 10 至 30 次交易 Between 10 and 30 transactions	(2)
❑ C. 31 至 50 次交易 Between 31 and 50 transactions	(3)
❑ D. 超過 50 次交易 Over 50 transactions	(4)

9. 在一般情況下, 貴公司會預流多少流動資金(包括現 金或高流通性資產: 如外幣、黃金等)作為每月營運開支儲備？ In general, how much liquid assets (including cash or highly liquid assets: e.g. foreign currency, bullion etc.) has your company reserved for monthly operational expenses?	
❑ A. 少於 3 個月 Less than 3 months	(1)
❑ B. 3 個月至少於 6 個月 Between 3 months and < 6 months	(2)
❑ C. 6 個月至少於 9 個月 Between 6 months and < 9 months	(3)
❑ D. 超過 9 個月 Over 9 months	(4)

10. 以下那一段句子最能反映貴公司對風險的態度？ Which of the following statement could best describe your company’s attitude towards investment risk?	
❑ A. 本公司會盡量回避風險, 但仍可承受較低的波動 We will try to avoid risks but minor ones are still acceptable	(1)
❑ B. 本公司會平衡風險與回報 We are willing to strike a balance between risks and returns	(2)
❑ C. 本公司願意承受較高的風險, 以換取更高回報 We are willing to accept more risks, as we aim for more returns	(3)
❑ D. 本公司不會考慮風險, 務求得到最高回報 We never consider risks, as we aim to maximize returns	(4)

總 分 **Total Score**	

結果Result

根據貴公司對以上所有問題的回答，貴公司的投資風險取向為: According to your company answers to all questions above, your company risk aptitude is

	分數 Score	投資風險取向分類 Risk Aptitude Classification	參考投資策略 Reference Investment Strategy
❑	10 – 15	低風險 Low Risk	保守型 Conservative 您能承受低度投資風險，而您的投資主要目的為保本，您會偏向收取固定穩定回報。The level of your investment risk is low with the capital protection is the main objective. You would prefer receiving fixed and stable returns. 適合的投資產品: Available Investment Products: 低風險的投資產品應當適合您。 Investment products with low risk rating are likely to be suitable for you.
❑	16 – 28	中風險 Medium Risk	平衡型 Balance 您能承受中度投資風險，而您的投資主要目的為尋求長期平穩增長，您樂意接受更大波動及風險以取得較高投資回報和資本增長。The level of your investment risk is moderate with the stable long term growth is the main objective. You are happy to accept a higher level of volatility and risk to achieve higher investment income and capital growth. 適合的投資產品: Available Investment Products: 中或低風險的投資產品應當適合您。 Investment products with medium risk rating or below are likely to be suitable for you.
❑	≥ 29	高風險 High Risk	進取型 Aggressive 您能承受高度投資風險，而您的投資主要目的為達到最高回報，您樂意接受極大波動以取得最高回報。您基本上能接受重大的損失，以換取得重大的潛在投資回報。您明白風險越大，回報越高的原則，而您可接受此程度的波動。The level of your investment risk is high with the maximization of rate of return is the main objective. You are happy to accept large fluctuations in the value of your investments. You are generally comfortable with maximizing your potential return on investment coupled with maximized risk. You understand the risk-return principle and are comfortable with this level of fluctuation. 適合的投資產品: Available Investment Products: 高，中或低風險的投資產品應當適合您。 Investment products with high risk rating or below are likely to be suitable for you.

如果貴公司不同意這結果，請選出貴公司認為更符合貴公司的風險取向分類。 (請於適當的方格上「✓」)。貴公司只能選取較評估所得的風險取向較低的分類，本行將紀錄此為閣下的風險取向分類。
If your company disagrees with this assessment, please select the Risk Appetite that your company believe can best describe your company (please tick on the appropriate box). This can only be lower than the Risk Appetite assessed above, and will be the Risk Appetite captured in our record.

❑ 保守型 Conservative	❑ 平衡型 Balance	❑ 進取型 Aggressive

❑ 本公司確認，上述投資風險取向分類和投資策略與本公司的投資風險要求和投資目標相符。
We hereby acknowledge that the above Risk Aptitude Classification and Investment Strategy are consistent with our investment risk requirements and investment objective.

越秀証券 YUEXIU SECURITIES

客戶聲明 **Declaration by Client**

1. 本公司確認在本問卷提供的資料在提供當下是真確、正確和準確。如上述資料有任何變動，本公司承諾知會越秀証券有限公司 (“越秀証券”)。

   We hereby affirm that the information provided in questionnaire is true, correct and accurate as of the moment of provision. We undertake to inform Yue Xiu Securities Company Limited (“YXSC”) about any changes in the above-mentioned information.

2. 本公司明白如問卷內填寫的內容不實，越秀証券將不能評估所要求服務對本公司的適合性。

   We understand that by filling in the questionnaire incorrectly, Yue Xiu will be unable to assess the suitability of the requested service to our interest.

3. 本公司確認收到已填妥並簽署的本問卷副本。
   We acknowledge the receipt of a copy of this questionnaire which is duly completed and signed by us.

____
客戶簽署及公司蓋章(如適用)
Client Authorized Signature(s) (with company chop, if applicable)

____
日期
Date

____
姓名
Name

免責聲明 **Disclaimer**

1.本問卷的結果是從您向越秀証券提供的資料，並根據若干普遍接納的假設，合理評估而得出。本問卷採用的方法及取值僅供說明用途。越秀証券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。
The results of this questionnaire are derived from the information that you have provided to YXSC and on certain generally accepted assumptions and reasonable estimate. Calculations and values used in this questionnaire are used for illustration purpose only. YXSC accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.

2.本問卷及所得結果僅供您的參考，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。
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.

3.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越秀証券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，我司極力建議您再次填寫本問卷。
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 recommended that you should complete this questionnaire again.

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