



Risk Profiling Questionnaire for Corporate 風險取向調查問卷(公司)

客戶名稱 Client name: _____

Account No. 賬戶號碼: _____

請回答下列問題，以讓我們了解貴公司的投資需要及風險承受情況。

Please answer the following questions in order for us to understand your investment needs and risk profile.

1. 貴公司是否擁有合資格的專業人員負責投資？
Has your company appointed a professional to handle investment ?
 - a. 否，但我們對投資產品認識不多。
No, and the person handling our company's investments have little knowledge on investment products
 - b. 否，但我們對投資產品略有認識。
No, but the person handling our company's investments has basic knowledge on investment products
 - c. 否，但我們對投資產品有足夠認識
No, but the person handling our company's investments has extensive knowledge on investment products
 - d. 是
Yes
 - e. 是，多於 1 位專業人員
Yes, and more than 1 professional
2. 貴公司於過去 24 個月曾持有哪些投資產品？（可選擇多於一項）
Which investment product(s) have your company ever held during the past 24 months? (Tick one or more)
 - a. 保證金交易/期貨/期權/結構性產品
Margin Trading/Futures/Options/Structured Products
 - b. 股票/股票相連投資/均衡基金/外幣掛鈎存款
Stocks/Equity-link Investment/Balanced Investment Funds/Currency-linked Deposits
 - c. 債券/外幣/存款證/保本型投資產品
Bonds/Foreign Currencies/Certificate of deposits/Capital guaranteed Investment Products
 - d. 過去 24 個月未持有以上任何投資產品，但過去 24 個月前曾投資上述部分金融產品
None of the above during the past 24 months but some of the above financial products prior to the past 24 months
 - e. 迄今未持有任何投資產品
Never held any investment so far
3. 貴公司希望將流動資產中多少資金投資於股票市場？
What percentage of liquid assets would your company like to invest in the stock market ?
 - a. ≤20%
 - b. 20-40%
 - c. 40-60%
 - d. 60%-80%
 - e. Over 80%
4. 在貴公司的投資組合中浮動價值的非流動投資工具或證券所佔百分比是多少？
What percentage of your investment portfolio involves illiquid instruments or securities with fluctuating values ?
 - a. 0%
 - b. 1-10%
 - c. 10-25%
 - d. 25-50%
 - e. >50%
5. 下列哪一項最接近貴公司對投資回報(年度回報)的波幅水平的期望？
Which of the following statements would best reflects your company expectation on investment return fluctuation (p.a.)?
 - a. -7% 至 to +7%
 - b. -15% 至 to +15%
 - c. -20% 至 to +20%
 - d. 超過以上所有選項 Exceeding all of the above

6. 下列哪一項最接近貴公司對投資程度的虧損?
Which of the following describes the degree of loss you company will tolerate?
- a. 0%-7%
 - b. 7%-15%
 - c. 15-20%
 - d. 超過以上所有選項 Exceeding all of the above
7. 在貴公司的投資年期內，貴公司的投資於短時間內顯著下跌，貴公司會如何處理?
During the expected investment period, your company investment depreciates significantly over a short period time. What would you company like to do?
- a. 本公司將出售大部份投資，並持有餘下的投資及觀望其長線增長。
We will sell a large part of the investment, and hold the remaining investment in the expectation of growth over the long term.
 - b. 本公司將出售小部份投資，並持有餘下的投資及觀望其長線增長。
We will sell a small part of the investment, and hold the remaining investment in the expectation of growth over the long term.
 - c. 本公司將繼續持有現在的投資並且觀望其長線增長。
We will hold the investment in the expectation of growth over the long term.
 - d. 本公司將適量增持以降低平均投資成本。
We will adequately invest more to lower the average cost of our investment.
8. 下列那一項最能形容貴公司對投資回報與風險的態度?
Which of the following statements would best describe your company attitude towards return and risks?
- a. 本公司不能承受任何程度的資本損失。
We cannot tolerate any level of capital loss.
 - b. 保障資金並獲得與銀行存款利率相若的投資回報，本公司可以承受輕微程度的資本損失。
To protect our capital and to receive returns in line with bank deposits, and we can tolerate minimal capital loss.
 - c. 獲得低至中等程度的投資回報，本公司可以承受低至中等程度的資本損失。
To seek low to medium level of investment return and we can tolerate low to medium level of capital loss.
 - d. 獲得較高的投資回報，本公司可以承受中至高等程度的資本損失，包括損失超出原投資金額的可能性。
To seek higher level of investment return and we can tolerate medium to high level of capital loss, including the possibility of losing more than the capital invested.

你的得分 Your points						
問題 Question	a	b	c	d	e	Points
問題 1 Q.1	1	2	3	5	6	
問題 2 Q.2* (只選最高分 highest only)	5	3	2	1	0	
問題 3 Q.3	1	2	3	4	5	
問題 4 Q.4	0	1	2	3	4	
問題 5 Q.5	1	2	3	5		
問題 6 Q.6	1	2	3	5		
問題 7 Q.7	1	2	3	5		
問題 8 Q.8	0	1	3	5		

問題 1 至問題 8 的總分 Total points that you get from Q.1 to Q8 : _____

就以上問卷所示，本公司的風險承受程度為 From the above Questionnaire, our company Risk Tolerance Level is :

Points 9-17, 低風險 Low Risk Points 18-30 中風險 Medium Risk Points 31-40 高風險 High Risk

本公司確認以上由本公司提供之所有資料均為完整，準確及最新，並再次確認本公司的風險承受程度為 We confirm that all the above information provided by our company is complete, accurate and up-to-date, and further confirm our company Risk Tolerance Level is :

Points 9-17, 低風險 Low Risk Points 18-30 中風險 Medium Risk Points 31-40 高風險 High Risk

姓名 Name : _____

簽署 Signature : _____

日期 Date : _____

Approved by		
Name :	Signature :	Date :