風險取向問卷
Risk Profile Questionnaire

重要提示 Important Information

本風險取向問卷旨在協助本公司瞭解閣下所代表的公司的投資目標、風險取向和風險承擔，以助本公司確定適合閣下所代表的公司風險取向的投資選擇。This Risk Profile Questionnaire is designed to assist Eddid Securities and Futures Limited（“ESFL”）to understand your investment objectives, risk appetite and risk tolerance, as to identify the investment choices that would be suitable for you.

如公司有多於一位投資決定者，每名投資決定者均須填寫一份風險取向問卷，本公司將以取向最為穩健的一份為準。回答本風險取向問卷時，必須從所代表公司的角度回答問題（除涉及投資決定者的投資經驗和知識問題，即第 8 題、第 9 題、第 10 題、第 11 題及第 12 題）。When there are more than one decision makers for the Corporate Investor, each decision maker should complete a copy of this Risk Profile Questionnaire and the most conservative one shall prevail. When answering questions in this Risk Profile Questionnaire, the decision maker should answer from the relevant Corporate Investor’ s perspective (other than Questions 8, 9, 10, 11 and 12 that relate to the relevant investment decision maker’ s investment experience and knowledge).

本風險取向問卷分為三部分，**第一部分**：背景資料、**第二部分**：投資經驗及知識、**第三部分**：投資目標。This Risk Profile Questionnaire includes the following sections: **Section 1**: Background, **Section 2**: Investment Experience and **Section 3**: Investment Objectives.

除非另有說明，本風險取向問卷將採取以下定義 Unless otherwise stated, this Risk Profile Questionnaire will adopt the following definition:：

- **投資**即價值可升可跌的投資產品，當中包括股票、債券、單位信託基金、外幣、商品、結構性投資產品、認股權證、期權、期貨及投資相連保險等。**Investment** refers to investment products the value of which can fluctuate, include, for example, stocks, bonds, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans.

- **風險承擔**即該投資者的綜合投資方向，當中包括不同風險等級的投資組合及投資產品。**Risk Appetite** refers to the overall approach to the portfolio and may include products of a higher or lower risk grade than you or the relevant Corporate Investor would like to hold.

本風險取向問卷收集的個人資料將予以保密。個人資料謹供本公司在保密義務下用以設計及／或促進其金融產品或服務。Personal information collected in this test will be kept confidential. The information may be used under a duty of confidentially, for designing and/or promoting of financial products or service.

重要提示及免責聲明 Important Notes and Disclaimer：閣下可以於填寫本風險取向問卷的時候向本公司提出問題及索取獨立意見。當完成本風險取向問卷並獲評定風險取向及風險承擔後，相關的資料會被記錄於本公司並用於提供投資建議和評估該投資者是否適合相關的投資產品或服務。本公司將按照本風險取向問卷所提供資料作出評估，如其中的資料包含重大遺漏、錯誤或虛假陳述，本公司謹此免除就所有相關索賠、要求及訴訟承擔責任。 In completing this Risk Profile Questionnaire, you may ask questions and take independent advice. After your confirmation of the risk profile, the corresponding risk appetite will l be recorded in the Company that might be u sed in generating investment recommendation and assessing the suitability of products to you. We disclaim all claims and liabilities which you may have or claim against us arising from any information in case of any material omissions, errors or false statements in this Risk Profile Questionnaire you provided to us.

假如我們向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。If we solicit the sale of or recommend any financial product to you, the financial product must be reasonably suit able for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogate s from this clause.

艾德證券期貨有限公司 Eddid Securities and Futures Limited
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(852) 2655 0300

第一部分：背景資料 Section 1: Background

公司名稱 Company Name	____________	成立日期 Incorporation Date	____________
代表姓名 Representative Name	____________	職位 Position:	____________
電郵地址 Email	____________	聯絡電話 Phone	____________

請勾選適當的空格 Please tick as appropriate.

1. 業務性質 Nature of business

A)	投資控股 Investment Holding	☐	4
B)	業務營運 Operation of business	☐	3
C)	家族信託 Family Trust	☐	2
D)	專案主導 Project Based	☐	1

2. 資產總額 Total Asset

A)	10,000,000 港元以下 Below HK$ 10,000,000	☐	1
B)	10,000,000 港元至 20,000,000 港元 HK$10,000,000 to HK$20,000,000	☐	2
C)	20,000,001 港元至 40,000,000 港元 HK$20,000,001 to HK$40,000,000	☐	3
D)	40,000,000 港元以上 Above HK$40,000,000	☐	4

3. 預計開戶時可運用的流動資金 Estimated Amount of Liquidity Available for Investment at Account Opening

A)	1,000,000 港元以下 Below HK$1,000,000	☐	1
B)	1,000,001 港元至 5,000,000 港元 HK$1,000,001 to HK$5,000,000	☐	2
C)	5,000,001 港元至 10,000,000 港元 HK$5,000,001 to HK$10,000,000	☐	3
D)	10,000,000 港元以上 Above HK$10,000,000	☐	4

4. 收入來源 Source of Income

A)	股東個人儲蓄，而大多數股東在職 Shareholder's personal saving and the majority of the shareholders are working	☐	4
B)	股東個人儲蓄，而大多數股東已退休 Shareholder's personal saving and the majority of the shareholders have retired	☐	3
C)	業務營運收入 Operation of business	☐	2
D)	利息收入 Interest income	☐	1

5. 主要投資原因 (每項 1 分，可選多於一項) Primary purpose of investment (can choose more than 1 item)

A)	業務需要 Operation need	☐	1
B)	對抗通脹 Against inflation	☐	2
C)	資本增值 Capital appreciation	☐	3
D)	投機 Speculation	☐	4

6. 公司會否每年定期從這個賬戶提取款項？Do you need to take regular withdrawals from this account annually?

A) 會 Yes	☐	2
B) 不會 No	☐	4

7. 如有突發狀況，公司的流動資產可應付多少個月的一般開支？How many months of the share of operational expenses have your company put aside to meet unforeseen events?

A) 1 個月以下 Below 1 month	☐	1
B) 1 個月至 3 個月 1 month to 3 months	☐	2
C) 4 個月至 6 個月 4 months to 6 months	☐	3
D) 7 個月或以上 7 months or above	☐	4

第一部分分數 Marks of Section 1：__________

<u>第二部分：投資經驗及知識 Section 2: Investment Experience and knowledge</u>

8. 閣下有否掌握衍生產品的一般知識，包括性質及風險？Do you have general knowledge of derivatives including the nature and risks?

☐ 有，請說明取得相關知識的途徑：（可選多項） ☐ 4
Yes, please specify:（can choose more than 1 item）

- ☐ 參加由銀行、金融機構或專業機構所提供有關衍生產品的培訓或課程 Undergone training or attended courses on derivative products offered by Banks, Financial institutions and/or Professional organizations
- ☐ 過往投資衍生產品的經驗（過去三年內曾進行五宗或以上交易）Prior trading experience in derivative products (5 or more transactions within the past 3 years)
- ☐ 現時或過往有關衍生產品的工作經驗 Current or previous working experience related to derivative products
- ☐ 其他，請說明Others, please specify:：
  ____

☐ 没有 No ☐ 2

9. 閣下投資於保本產品 (如存款證)、債券、外匯、股票、股票基金及交易所買賣基金的經驗有多久？ What is your investment experience in capital protected products(e.g. Certificates of Deposit), Bonds, foreign exchange, stocks, equity fund and ETFs?

A) 全無經驗 None	☐	1
B) 少於 1 年 Below 1 year	☐	2
C) 1 年至 5 年 1 to 5 years	☐	3
D) 6 年或以上 6 years or above	☐	4

10. 閣下投資於商品、商品掛鈎結構性產品、衍生工具(如期權、期貨、牛熊證、窩輪)、對沖基金、槓桿產品及場外交易的經驗有多久？ What is your investment experience in commodities, commodity-linked structured products, derivatives (e.g. options, futures, callable bull/bear contracts, warrants), hedge funds, leveraged products and OTC?

A) 全無經驗 None	☐	1
B) 少於 1 年 Below 1 year	☐	2
C) 1 年至 5 年 1 to 5 years	☐	3
D) 5 年或以上 6 years or above	☐	4

11. 閣下平均每年進行多少次買賣交易？ How frequent do you trade per year?

A) 少於 5 次 Below 5 times	☐	1
B) 5 至 10 次 5 to 10 times	☐	2
C) 11 至 20 次 11 to 20 times	☐	3
D) 21 次或以上 21 times or above	☐	4

12. 閣下平均多久會檢視一次投資組合？How frequent do you review your investment portfolio?

A) 每月 Monthly	☐	4
B) 每季 Quarterly	☐	3
C) 每年 Yearly	☐	2
D) 不定期 Irregularly	☐	1

第二部分分數 Marks of Section 2：__________

第三部分：投資目標 Section 3: Investment Objectives

13. 閣下所代表的公司計劃的投資年期是？What is the investment horizon of your company?

A) 少於 6 個月 Below 6 months	☐	1
B) 6 個月至 1 年 6 months to 1 year	☐	2
C) 1 年至 3 年 1 to 3 years	☐	3
D) 3 年以上 More than 3 years	☐	4

14. 閣下所代表的公司計劃撥出多少百分比的流動資產（不包括自住物業、緊急現金儲備及其他財務承擔）作投資之用？ What is the average percentage of your company' s current net worth (excluding self-occupied property, emergency fund and other financial affordability) that will be allocated for investment purpose?

A) 少於 5% Below 5%	☐	1
B) 5%至 10% 5% to 10%	☐	2
C) 11%至 30% 11% to 30%	☐	3
D) 31% 或以上 31% or above	☐	4

15. 閣下所代表的公司的投資動機為？How would you describe the investment objective of your company?

A) 作為除銀行存款外的保本工具 To protect the capital and to receive returns in line with bank deposits.	☐	1
B) 尋求回報較定期存款略高的專案 To seek investment returns slightly higher than bank deposits.	☐	2
C) 尋求穩定的收入來源 To seek a regular stream of stable income.	☐	3
D) 希望於短期內取得豐厚回報 To seek predominately capital growth.	☐	4

16. **在一般情況下，閣下所代表的公司願意投資於平均每年波幅多大的投資產品？What is in average, the range of volatility your company would be comfortable with within your portfolio per year?**

A) -5%至+5% *-5% to +5%*	☐	1
B) -10%至+10% *-10% to +10%*	☐	2
C) -20%至+20% *-20% to +20%*	☐	3
D) -30%至+30%或以上 *-30% to +30% or above*	☐	4

17. **閣下所代表的公司期望所得到的投資回報為？What is your company expected investment return?**

A) 少於 5% *Below 5%*	☐	1
B) 6%至 10% *6% to 10%*	☐	2
C) 11%至 30% *11% to 30%*	☐	3
D) 31%或以上 *31% or above*	☐	4

18. **下列哪一項最能貼切地形容閣下所代表的公司對風險的取向？Which of the following statements best describe your company's acceptance and attitude towards investment market fluctuations?**

A) 非常抗拒風險，不能接受虧損。It is very risk averse and does not want to see the value of my investments drop.	☐	1
B) 想為資金保值，但不介意接受少許價格波動，藉以增加投資的回報潛力，達到略高於銀行存款的回報率。It wants to preserve its capital but does not mind accepting some small price fluctuation to enhance the potential return of its investments for a rate slightly better than bank deposits.	☐	2
C) 希望穩中求勝，願意承受若干風險，藉以提高投資的回報潛力。It is a fairly cautious investor but is willing to assume some risk to enhance the potential return of its investments.	☐	3
D) 富冒險精神，能夠承受高度的投資風險，藉以爭取較高的回報。It is a risk taker and is able to take a significant risk on investment in order to increase its potential returns.	☐	4

第三部分分數 Marks of Section 3：__________

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風險取向及風險承擔分析計分表 Risk Profile Analysis

1	2	3	4	5	6	7	8	9	10
11	**12**	**13**	**14**	**15**	**16**	**17**	**18**		
								總分 Score ________	

總分 Score	風險取向 Investment Profile	風險承担 Risk Level	描述 Illustration
0 – 15	保守型 Conservative	低風險 Low	一般而言，這類客戶優先考慮回報較為穩定的投資產品或偏好最低的投資損失。Generally speaking, these clients prioritize investment products of low uncertainty on risk or incline to minimize investment loss.
16 – 29	穩健型 Moderate	低至中等風險 Low to Medium	一般而言，這類客戶願意承擔適度的風險，以獲取比銀行存款稍佳的回報。Generally speaking, these clients are willing to take modest risk so as to achieve returns slightly better than bank deposits.
30 – 43	平衡型 Balance	中等風險 Medium	一般而言，這類客戶願意承擔一定程度的風險，及/或偏好綜合低至高風險產的投資組合。Generally speaking, these clients are willing to take a certain degree of risk and/or prefer investment portfolio mixed with products ranging from low to high risk.
44 – 57	增長型 Growth	中等至高風險 Medium to High	一般而言，這類客戶願意接受較高的價格波動和承擔相對較高的風險，以獲取可觀回報，及/或偏好增長主導的產品（當中可能包括複雜產品）或類似風險程度的產品。Generally speaking, these clients are willing to accept higher price fluctuation and take relatively higher risk for respectable returns and/or prefer growth-oriented products (which may be complex or sophisticated products) or products of similar risk level.
58 – 72	進取型 Aggressive	高風險 High	一般而言，這類客戶願意投資非常高風險的產品，以獲取最高的潛在回報。投資價值可能會有大幅波動，跌幅有機會使其價格顯著低於客戶原本的投資金額。他們願意投資於較複雜、高度複雜的產品或類似風險程度的產品。Generally speaking, these clients are comfortable with maximizing their potential return by investing in very high risk products. Investment values can fluctuate widely and may fall substantially below client's original investment. They are willing to invest in more complex or highly sophisticated products, or products of similar risk level.

閣下的風險取向（有關風險取向的描述請參閱上表）為：
The risk profile (illustration as above) of you represents:

☐ 保守型 Conservative　☐ 穩健型 Moderate　☐ 平衡型 Balance　☐ 增長型 Growth　☐ 進取型 Aggressive

適合性聲明 (只可選一項)　Suitability Declaration (Tick one only)：

☐ A. 本人同意並確認本風險取向問卷的總結能準確地形容本人所代表的公司的風險取向。
The Company I represent agree and confirm that the summary of this Risk Profile Questionnaire can accurately describe the risk profile of the company I represent.

☐ B. 本人不同意本風險取向問卷的總結，並認為以下所選擇的風險取向更能準確地形容本人所代表的公司。

The Company I represent do not agree with the summary of this Risk Profile Questionnaire, and believe that the risk profile selected below can more accurately describe the company I represent

☐保守型 Conservative ☐穩健型 Moderate ☐ 平衡型 Balance ☐增長型 Growth ☐進取型 Aggressive

本人明白及確認以上所選的風險取向與本風險取向問卷所確認的風險取向有差異，有風險錯配的可能，並明白產品**可能不適合**本人所代表的公司，但本人確認基於下述理由，本人所代表的公司打算及意欲繼續本申請。

I understand and confirm that the risk profile selected above is different from the risk profile confirmed in this Risk Profile Questionnaire, and there may be risk mismatch. I understand that the product **may not be suitable** for the company I represent, but I confirm that I intend to continue this application based on the following reasons.

原因 Reason：

____

____

免責聲明 Disclaimer：

1. 本問卷的結果是從閣下向艾德證券期貨有限公司(「艾德證券期貨」)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。艾德證券期貨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 based on the information you provided to Eddid Securities and Futures Limited ("ESFL") and are based on certain generally accepted assumptions and reasonable estimates. The methods and values used in this questionnaire are for illustrative purposes only. ESFL is not responsible or assumes any legal responsibility for the accuracy or completeness of the information contained in this questionnaire and/or the results obtained.
2. 本問卷及所得結果謹供閣下參考，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 obtained are for your reference only. It is not an offer or solicitation to buy or sell any financial products and services, nor should it be regarded as investment advice or recommendation.
3. 請注意，倘若閣下未能全面披露所有或任何有關閣下的個人狀況(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閣下對投資風險的態度及承受能力。如閣下的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議閣下再次填寫本問卷。Please note that if you fail to fully disclose all or any of your personal circumstances (such as financial status) incorrect, incomplete or outdated information may affect the assessment of your attitude and tolerance for investment risks. If your situation changes which may affect the answer to any question in this questionnaire, we strongly recommend that you fill out this questionnaire again.

本人同意並確認所有提供的信息均為準確。
I agree and confirm that all the information provided is accurate.

公司名稱 Company ______________________________

公司代表名稱 Name of Company Representative ______________________ 職位 Position ______________

簽署 Signature ______________________ 簽署日期 Sign Date ______________

謹供內部使用: 本人聲明已向客戶提供其自選語言（中文或英文）的聲明並已邀請客戶小心閱讀以上聲明並提出問題，及按照其意願接受獨立建議。本人進一步聲明，本人對客戶的財富來源和資金來源有充分的理解，並已進行客戶盡職審查，本人相信客戶並非受制裁的個人以及不曾被列為政治敏感人物(PEP)。

For Internal Use: I declare that I have provided the customer with a statement in the language of their choice (Chinese or English) and have invited the customer to carefully read the above statement, to ask questions and accept independent suggestions according to their wishes.

I further declare that I have a full understanding of the client's source of wealth and funds, and have conducted customer due diligence. I believe that the client is not a sanctioned individual and has not been listed as a politically exposed person(PEP)。

持牌人員姓名
Name of Licensed Representative ______________________________

持牌人員簽署
Signature of Licensed Representative ______________________________

會面 / 電話會議日期
Date of Appointment / Phone Call ______________________________

簽署日期
Sign Date: ______________________________