风险取向问卷
Risk Profile Questionnaire

重要提示 Important Information

本风险取向问卷旨在协助本公司了解阁下所代表的公司的投资目标、风险取向和风险承担，以助本公司确定适合阁下所代表的公司风险取向的投资选择。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.

如公司有多于一位投资决定者，每名投资决定者均须填写一份风险取向问卷，本公司将以取向最为稳健的一份为准。回答本风险取向问卷时，必须从所代表公司的角度回答问题（除涉及投资决定者的投资经验和知识问题，即第 8 题、第 9 题、第 10 题、第 11 题及第 12 题）。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).

本风险取向问卷分为三部分，**第一部分**：背景资料、**第二部分**：投资经验及知识、**第三部分**：投资目标。This Risk Profile Questionnaire includes the following sections: **Section 1**: Background, **Section 2**: Investment Experience and **Section 3**: Investment Objectives.

除非另有说明，本风险取向问卷将采取以下定义 Unless otherwise stated, this Risk Profile Questionnaire will adopt the following definition:：

- **投资**即价值可升可跌的投资产品，当中包括股票、债券、单位信托基金、外币、商品、结构性投资产品、认股权证、期权、期货及投资相连保险等。**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.

- **风险承担**即该投资者的综合投资方向，当中包括不同风险等级的投资组合及投资产品。**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.

本风险取向问卷收集的个人资料将予以保密。个人资料谨供本公司在保密义务下用以设计及／或促进其金融产品或服务。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.

***重要提示及免责声明 Important Notes and Disclaimer*：**阁下可以于填写本风险取向问卷的时候向本公司提出问题及索取独立意见。当完成本风险取向问卷并获评定风险取向及风险承担后，相关的资料会被记录于本公司并用于提供投资建议和评估该投资者是否适合相关的投资产品或服务。本公司将按照本风险取向问卷所提供资料作出评估，如其中的资料包含重大遗漏、错误或虚假陈述，本公司谨此免除就所有相关索赔、要求及诉讼承担责任。 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.
假如我们向阁下招揽销售或建议任何金融产品，该金融产品必须是我们经考虑阁下的财政状况、投资经验及投资目标后而认为合理地适合阁下的。本协议的其他条文或任何其他我们可能要求阁下签署的文件及我们可能要求阁下作出的声明概不会减损本条款的效力。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.

第一部分：背景资料 Section 1: Background

公司名称 Company Name		成立日期 Incorporation Date	
代表姓名 Representative Name		职位 Position:	
电邮地址 Email		联络电话 Phone	

请勾选适当的空格 Please tick as appropriate.

1. 业务性质 Nature of business

A)	投资控股 Investment Holding	☐	4
B)	业务营运 Operation of business	☐	3
C)	家族信托 Family Trust	☐	2
D)	专案主导 Project Based	☐	1

2. 资产总额 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. 预计开户时可运用的流动资金 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. 收入来源 Source of Income

A)	股东个人储蓄，而大多数股东在职 Shareholder's personal saving and the majority of the shareholders are working	☐	4
B)	股东个人储蓄，而大多数股东已退休 Shareholder's personal saving and the majority of the shareholders have retired	☐	3
C)	业务营运收入 Operation of business	☐	2
D)	利息收入 Interest income	☐	1

5. 主要投资原因（每项 1 分，可选多于一项) Primary purpose of investment (can choose more than 1 item)

A)	业务需要 Operation need	☐	1
B)	对抗通胀 Against inflation	☐	2
C)	资本增值 Capital appreciation	☐	3
D)	投机 Speculation	☐	4

6. 公司会否每年定期从这个账户提取款项? Do you need to take regular withdrawals from this account annually?

A) 会 Yes	☐	2
B) 不会 No	☐	4

7. 如有突发状况，公司的流动资产可应付多少个月的一般开支? How many months of the share of operational expenses have your company put aside to meet unforeseen events?

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

第一部分分数 Marks of Section 1： __________

第二部分：投资经验及知识 Section 2: Investment Experience and knowledge

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，请说明取得相关知识的途径：（可选多项） ☐ 4
Yes, please specify:（can choose more than 1 item）

- ☐ 参加由银行、金融机构或专业机构所提供有关衍生产品的培训或课程 Undergone training or attended courses on derivative products offered by Banks, Financial institutions and/or Professional organizations
- ☐ 过往投资衍生产品的经验（过去三年内曾进行五宗或以上交易）Prior trading experience in derivative products (5 or more transactions within the past 3 years)
- ☐ 现时或过往有关衍生产品的工作经验 Current or previous working experience related to derivative products
- ☐ 其他，请说明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) 全无经验 None	☐	1
B) 少于 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) 全无经验 None	☐	1
B) 少于 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) 少于 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

第二部分分数 Marks of Section 2: __________

第三部分：投资目标 Section 3: Investment Objectives

13. **阁下所代表的公司计划的投资年期是？** What is the investment horizon of your company?

A) 少于 6 个月 Below 6 months	☐	1
B) 6 个月至 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) 少于 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) 作为除银行存款外的保本工具 To protect the capital and to receive returns in line with bank deposits.	☐	1
B) 寻求回报较定期存款略高的专案 To seek investment returns slightly higher than bank deposits.	☐	2
C) 寻求稳定的收入来源 To seek a regular stream of stable income.	☐	3
D) 希望于短期内取得丰厚回报 To seek predominately capital growth.	☐	4

16. 在一般情况下，閣下所代表的公司愿意投资于平均每年波幅多大的投资产品？ 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) 少于 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) 非常抗拒风险，不能接受亏损。It is very risk averse and does not want to see the value of my investments drop.	☐	1
B) 想为资金保值，但不介意接受少许价格波动，藉以增加投资的回报潜力，达到略高于银行存款的回报率。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) 希望稳中求胜，愿意承受若干风险，藉以提高投资的回报潜力。It is a fairly cautious investor but is willing to assume some risk to enhance the potential return of its investments.	☐	3
D) 富冒险精神，能够承受高度的投资风险，藉以争取较高的回报。It is a risk taker and is able to take a significant risk on investment in order to increase its potential returns.	☐	4

第三部分分数 Marks of Section 3：__________

风险取向及风险承担分析计分表 Risk Profile Analysis

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

总分 Score	风险取向 Investment Profile	风险承担 Risk Level	描述 Illustration
0 – 15	保守型 Conservative	低风险 Low	一般而言，这类客户优先考虑回报较为稳定的投资产品或偏好最低的投资损失。Generally speaking, these clients prioritize investment products of low uncertainty on risk or incline to minimize investment loss.
16 – 29	稳健型 Moderate	低至中等风险 Low to Medium	一般而言，这类客户愿意承担适度的风险，以获取比银行存款稍佳的回报。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	中等风险 Medium	一般而言，这类客户愿意承担一定程度的风险，及/或偏好综合低至高风险产品的投资组合。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	增长型 Growth	中等至高风险 Medium to High	一般而言，这类客户愿意接受较高的价格波动和承担相对较高的风险，以获取可观回报，及/或偏好增长主导的产品（当中可能包括复杂产品）或类似风险程度的产品。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	进取型 Aggressive	高风险 High	一般而言，这类客户愿意投资非常高风险的产品，以获取最高的潜在回报。投资价值可能会有大幅波动，跌幅有机会使其价格显著低于客户原本的投资金额。他们愿意投资于较复杂、高度复杂的产品或类似风险程度的产品。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 ☐ 稳健型 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:

____
____

免责声明 Disclaimer:

1. 本问卷的结果是从阁下向艾德证券期货有限公司(「艾德证券期货」)提供的资料，并根据若干普遍接纳的假设及合理估算而得出。本问卷采用的方法及取值仅供说明用途。艾德证券期货对本问卷所载资料及/或所得结果的准确性或完整性并不负责或承担任何法律责任。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. 本问卷及所得结果谨供阁下参考，并非购买或出售任何金融产品及服务的要约或招揽、亦不应被视为投资意见或推荐。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. 请注意，倘若阁下未能全面披露所有或任何有关阁下的个人状况(如财务状况)、不正确、不完整或过时的资料可能影响本集团评估阁下对投资风险的态度及承受能力。如阁下的状况出现变动而可能影响本问卷中任何问题的答案，我们极力建议阁下再次填写本问卷。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.

本人同意并确认所有提供的信息均为准确。
I agree and confirm that all the information provided is accurate.

公司名称 Company ____

公司代表名称
Name of Company Representative ______________________________

职位
Position ______________________________

签署 Signature ______________________________

签署日期
Sign Date ______________________________

谨供内部使用: 本人声明已向客户提供其自选语言（中文或英文）的声明并已邀请客户小心阅读以上声明并提出问题，及按照其意愿接受独立建议。本人进一步声明，本人对客户的财富来源和资金来源有充分的理解，并已进行客户尽职审查，本人相信客户并非受制裁的个人以及不曾被列为政治敏感人物(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 ______________________________

持牌人员签署
Signature of Licensed Representative ______________________________

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

簽署日期
Sign Date: ______________________________