Sinofides Securities Limited 中誠證券有限公司（BSH860)
Type 1 (Dealing in Securities), Type 4 (Advising on Securities) and Type 9 (Asset Management) regulated activity.
Addres：Room 2001, 20/F,, No. 303 Hennessy Road,, Wanchai, Hong Kong
Fax & Tel:+852-90755907， Email: info@sinofides.com

Risk Profiling Questionnaire （Individual）
風險承受能力問卷（個人）

This Risk Profiling Questionnaire ("RPQ") will be used by SINOFIDES Securities Limited ("SINOFIDES") to assess the investment profile of client.
本風險承受能力問卷("本問卷")乃中誠證券有限公司("中誠")用於評估客戶風險承受能力。

Please answer the following questions which may help you to appraise your risk attitudes and investment objectives prior to your selection of an appropriate investment product. Please check only one answer per question, unless otherwise provided.
請回答以下的問題，這將有助於您在選擇合適投資產品前，幫助您評估您的風險取向及投資目標。除另有規定外，每題請僅勾選一個答案。

PART I – CLIENT KNOWLEDGE OF DERIVATIVE INSTRUMENTS
第I部分 – 客戶對衍生工具的認識

☐ (a)	Client confirm(s) that he/she has not fulfilled any of the below items and understood that he/she would be assessed as not having knowledge of the nature and risks of derivatives instruments. 本人確認，如不符合以下任何一項，將被評估為對衍生工具的性質及風險沒有認識。
☐ (b)	Client confirms that he/she has acquired general knowledge of derivative instruments by the following mean(s) and understood the nature and risks of derivative instruments (more than one item can be chosen): 本人確認是通過以下途徑獲得對衍生工具的一般認識並明白衍生工具的性質及風險(可多選): ☐(1) Client has prior trading experience and has executed five or more transactions in the following derivative instruments (whether traded on an exchange or not) within the past three years: 本人擁有買賣衍生工具的經驗，並於過去三年曾交易五筆或以上（不論在是否在交易所買賣）衍生工具 ☐ Currency Linked Products 貨幣掛鉤產品 ☐ Interest Rate Linked Products 利率掛鉤產品 ☐ Equity Linked Products 股票掛鉤產品 ☐ Credit Linked Products 信貸掛鉤產品 ☐ Derivative Warrant / Callable Bull / Bear Contracts 衍生權證/牛熊證 ☐ Future / Option 期貨/期權 ☐ Exchange Traded Funds that Invest in Derivative Instruments 投資於衍生工具的交易所買賣基金 ☐ Unit Trusts that involve in Derivative Instruments 包含衍生工具成份的信託基金 ☐ Others (Please specify): 其他 (請注明): ☐(2) Client has the following current or previous working experience related to derivative instruments: 本人現在或過去擁有與衍生工具有關的工作經驗 **Industry 行業** ☐ Banking 銀行 ☐ Financial Services 金融服務 ☐ Insurance 保險 ☐ Education 教育 ☐ Other (Please specify) 其他（請注明） **Please specify no. of years of experience 請列明工作經驗年限**: ☐ Less than one year 小於一年 ☐ One year to Three years 一年至三年以下 ☐ Three to Five years 三年至五年以下 ☐ Five to Ten years 五年至十年以下 ☐ Over Ten years 十年或以上 ☐ (3) Client has undergone training or attended courses on derivative instrument. 本人曾接受有關衍生工具的培訓或修讀相關課程。 1. Name of course 課程名稱：«課程名稱» 2. Name of Institution 主辦機構：«主辦機構» 3. Date of the course attended 修讀日期/年份：«日期» We suggested Client to provide the statement which shows at least one transaction of any one of the derivative products mentioned above, or the invoice/attendant record of training/courses mentioned above or any other relevant information as a proof. If the Client cannot provide any information as a proof, or the information provided is not suitable for assessment, we are entitled to characterize the Client as investor without knowledge of derivative product. 建議客戶提供至少一項上述衍生產品交易的結單、上述培訓/課程的出席記錄/單據或其他相關資料作為證明。如客戶未能提供任何資料作為證明，或所提供的資料不適合用作評估，我司有權將客戶分類為對衍生工具沒有認識的投資者。

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Part II – RISK TOLERANCE LEVEL 第 II部分 風險承受程度

1. Which age group does Client belong to? 您屬於那一個年齡組別?

☐ (a) Between 18 and 24 18 至 24歲
☐ (b) Between 25 and 34 25 至 34歲
☐ (c) Between 35 and 50 35 至 50歲
☐ (d) Between 51 and 64 51 至 64歲
☐ (e) 65 or above 65歲或以上

2. What is Client's primary investment objective? 您的主要投資目標是?

☐ (a) Capital preservation 保本
☐ (b) High regular income 高定期收入
☐ (c) Capital appreciation 資本增值
☐ (d) Hedging 對沖

3. Normally, what percentage of Client's monthly household income could be available for investment or savings? 一般情況下，在您每月的家庭收入中，可用作投資或儲蓄的比例，是多少？

☐ (a) 0% 無
☐ (b) Over 0% and up to 10% 0%以上至10%
☐ (c) Over 10% and up to 25% 10%以上至25%
☐ (d) Over 25% and up to 50% 25%以上至50%
☐ (e) Over 50% 大於50%

4. What is the average percentage of Client's current net worth (excluding the value of Client's self-occupied property) that will be allocated for investment purpose?
您打算用作投資的資金，占淨金融資產(不包括自住物業的價值)的比例，是多少?

☐ (a) Less than 10% 少於10%
☐ (b) 10% to less than 20% 10%至20%以下
☐ (c) 20% to less than 30% 20%至30%以下
☐ (d) 30% to less than 40% 30%至40%以下
☐ (e) 40% or above 40%或以上

5. How long is Client's expected investment horizon? 您的預計的投資期限是多長?

☐ (a) Less than 6 months 少於6個月
☐ (b) 6 months to less than 1 year 6個月至1年以下
☐ (c) 1 year to less than 3 years 1年至3年以下
☐ (d) 3 years to less than 5 years 3年至5年以下
☐ (e) 5 years or above 5年或以上

6. In general, how much liquid assets (including cash or highly liquid assets: e.g. foreign currency, bullion etc.) has Client reserved for monthly household expenses?
在一般情況下， 您會預留多少金融資金 (包括現金或高流動性資產： 如外幣、黃金等) 作為每月家庭開支儲備？

☐ (a) Amount that can sustain household expenses for less than 3 months
可應付少於3個月的家庭開支
☐ (b) Amount that can sustain household expenses for 3 months or above but less than 6 months
可應付3個月或以上但少於6個月的家庭開支
☐ (c) Amount that can sustain household expenses for 6 months or above but less than 12 months
可應付6個月或以上但少於12個月的家庭開支
☐ (d) Amount that can sustain household expenses for 12 months or above
可應付12個月或以上的家庭開支

7. Which of the following does Client think best describe its investment attitude?
一般而言，您能承受多少價格上下波動?
☐ (a) around 5%. 大約5%
☐ (b) around 10% 大約10%
☐ (c) around 20% 大約20%
☐ (d) around 30% 大約30%
☐ (e) any price fluctuation 任何價格波動

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8. How long is Client's investment experience in the following products? (Please answer all items from a to e)
在下列投資產品中，您有多少年的投資經驗？(請作答a至e項)

Investment Products 投資產品	**Investment Experience多少年的投資經驗**				
	(a)	(b)	(c)	(d)	(e)
	NIL 無	Less than 1 year 少於一年	Over 1 year but less than 3 years 一年以上 三年以下	Over 3 years but less than 10 years 三年以上 十年以下	10 years or above 十年或以上
(1) Stocks 證券	☐	☐	☐	☐	☐
(2) Funds 基金	☐	☐	☐	☐	☐
(3) Foreign Exchange 外匯	☐	☐	☐	☐	☐
(4) Futures/ Options/Callable Bull/Bear Contracts /Derivatives 期貨/期權/牛熊證/衍生產品（注①)	☐	☐	☐	☐	☐
(5) Fixed Income Products 固定收益產品(債券)	☐	☐	☐	☐	☐
(6) Others, please specific 其他(請注明):	☐	☐	☐	☐	☐

9.How many transactions has Client conducted in the following investment products in the recent 3 years?
最近3年， 在下列投資產品中， 您曾進行多少次交易？

Investment Products 投資產品	**Investment Experience 投資經驗**			
	在過去的三年曾交易次數（注②)			
	(a)	(b)	(c)	(d)
	NIL 無	Less than 5 times 少於5 次	5 to 40 times or below 5 次至40 次以下	More than 40 times 超過40 次
(1) Stocks 證券	☐	☐	☐	☐
(2) Funds 基金	☐	☐	☐	☐
(3) Foreign Exchange 外匯	☐	☐	☐	☐
(4) Futures/ Options/Callable Bull/Bear Contracts /Derivatives 期貨/期權/牛熊證/衍生產品（注①)	☐	☐	☐	☐
(5) Fixed Income Products 固定收益產品(債券)	☐	☐	☐	☐
(6) Others, please specific 其他(請注明):	☐	☐	☐	☐

注① ： Derivatives Products (e.g. Currency-Linked Investments, Interest Rates-Linked Investments, Equity-Linked Investments, Credit-Linked Investment, Derivative Warrants / Callable Bull / Bear Contracts, Futures/Options, Exchange Traded Fund Invested in Derivatives, Trust Funds containing Derivative Components)
衍生產品例如：貨幣掛鉤產品、利率掛鉤產品、股票掛鉤產品、信貸掛鉤產品、衍生權證/牛熊證、期貨/期權、投資於衍生工具的交易所買賣基金、 包含衍生工具成分的信託基金

注②： 1 purchase and 1 sale are counted as two transactions 1買1賣為2次交易

10 . Does the Client possess any one or more of the following Educational/ Professional Qualifications?
(For (a) – (g), more than one item can be chosen)
您是否擁有以下一項或多項的學歷/專業資格? (以下(a) – (g 可多選)

☐(a) Passes in Hong Kong Securities Institute Examination
通過香港證券及投資學會課程

☐(b) Passes the SAC（Securities Association of China）examination
通過中國證券業協會組織的考試

☐(c) International recognized professional qualifications in law, accounting, or finance (including Chartered Financial Analyst (CFA), Certified International Investment Analyst (CIIA) and Certified Financial Planner (CFP)
國際認可的法律 / 會計 / 財務專業資格(包括特許金融分析師、註冊國際投資分析師及認可財務策劃師)

☐(d) Degree in accounting, business administration, economics, finance or law; or above
會計/ 工商管理/ 經濟 / 財務 / 法律學位或以上

☐(e) Other degree or above (with passes in at least two subjects in the above disciplines in (d))
其他學位或以上 (並取得不少於上述 (d)項任何兩個科目的合格資格)

☐(f) Graduated from Secondary School / Post-Secondary School / College or above
高中畢業 / 預科 / 大專或以上

☐(g) None of the above
以上皆不適用

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Risk Tolerance Assessment 風險承受能力評估總分 **Total Score**:

Client Confirmation 客戶確認

1. I confirm that my Risk Tolerance Level is correctly stated above and the information I provided in the Risk Profiling Questionnaire ("RPQ") is true, accurate and complete.
   本人確認，本人的風險承受能力已在上述表格正確地陳述，而本人於風險承受能力問卷("本問卷")所提供的資訊屬完全真實,準確及完整。
   NOTE: The client's Risk Tolerance Level Assessment Result is valid for 12 months from the date of this assessment. If the client's Risk Tolerance Level Assessment Result is expired, the client may not be able to purchase certain products. If the client believes his/her Risk Tolerance Level Assessment Result within the past 12 months is no longer valid, please contact Guosen Securities (HK) and complete a new RPQ for reassessment purposes.
   注：客戶的可承受風險程度取向有效期為十二個月(由此評估日計起)。如果客戶的可承受風險能力已經過期，客戶可能不可購買部份產品。如果客戶認為其過去十二個月內評估的可承受能力的程度不再有效，請聯繫中誠證券(香港)並重新完成一份新的風險評估問卷。
2. I also understand and agree that Guosen Securities (HK) will rely on the above information provided to assess whether I have acquired general knowledge of the nature and risks of the relevant investment instruments. Guosen Securities (HK) is entitled to rely fully on such information for all purposes, unless they receive notice in writing from me of any change. It is my responsibility to notify Guosen Securities (HK) in a timely manner of change in my circumstances that may affect my suitability assessment.
   本人明白及同意，中誠證券(香港)將根據以上提供之資料評估本人是否對相關投資工具的性質及風險有一般認識。除非中誠證券(香港)收到本人的任何書面變更通知，否則他們有權完全倚賴該等資料作任何用途。本人有義務及時將可能影響適合性評估之個人情況變更通知中誠證券(香港)。
3. I undertake to provide Guosen Securities (HK) with any appropriate documentary evidence as requested by them in connection with information provided for assessment, where necessary.
   本人承諾在必要時向中誠證券(香港)提供任何合適之檔，以證明本人之資料評估。
4. This RPQ is designed to base on my financial situation to help Guosen Securities (HK) understand my investment objective, investment horizon, level of knowledge and experience with investment products, and risk to lerance level, based on which Guosen Securities (HK) can conduct suitability assessment before I invest.
   本問卷旨在根據本人當前的財務狀況幫助中誠證券(香港)瞭解本人的投資目標、投資期望、投資產品知識和經驗以及風險承受能力、，以便中誠證券(香港)在本人投資前可以進行適合性評估。
5. My answers to this RPQ will provide indications of the risk profile for atypical investor who has personal investor traits, which, however, may not accurately represent my actual risk tolerance level and the suitability of any investment product for me. It is not intended to provide any investment advice on, an offer to sell, or a solicitation for an offer to purchase any investment products or services. Guosen Securities (HK) accepts no responsibility or liability as to the accuracy or completeness of the information provided in this RPQ and the results.
   本人對此問卷的回復，將為風險承受能力的評估，提供具有本人個人投資特徵的描述，然而，這可能無法準確反映本人的實際風險承受能力及任何投資產品對本人的適用性。本問卷及評估結果並不構成投資建議，亦不得視為建議遊說買賣任何投資產品及服務。中誠證券（香港）對本問卷內容及結果的準確性及完整性概不作出任何保證。
6. I confirm that I have been reminded and am aware that I should have adequate liquid funds to meet foreseen and unforeseen events. 本人確認本人已被提醒及瞭解到本人應有足夠流動資金去應付可預見及不能預見的事件。
7. I confirm that the knowledge of derivative products of me is correctly stated above and that the information I supplied is correct and complete. 本人確認上述的衍生產品知識已正確地陳述，而本人所提供的資訊屬正確及完整。
8. I confirm that I understand that it is compulsory that before I can trade derivatives products, I must be assessed as having derivatives knowledge and fully understand the nature and risk of derivatives, and must be willing to take responsibility for the potential risk concerned and potential monetary loss caused by trading derivative products.
   本人確認明白必須先被評定為對衍生工具有認識及完全明白衍生工具的性質及風險，本人願意承擔潛在風險，並具備足以承擔買賣衍生產品所帶來的潛在的損失的資金，方可買賣衍生產品。
9. I acknowledge and confirm that Guosen Securities (HK) has provided me with explanations of the relevant risks associated with trading derivative products, including the Risk Disclosure Statements in the Terms and Conditions(s) of the relevant account and Schedules in a language of my choice (English or Chinese), which I have read and fully understood, or which I forthwith undertake to read in full. I confirm that I have been given ample opportunity to ask questions and seek independent professional advice concerning the contents of this RPQ and the Risk Disclosure Statements and I will further consult Guosen Securities (HK) and/or seek independent professional advice should I require clarification of any matter.
   本人承諾及確認中誠證券(香港)已為本人就與衍生產品交易相關的風險提供解釋說明，包括有關帳戶《條款與細則》及附件內以本人選擇的語言（英文或中文）進行並已由本人閱讀及完全理解或立即承諾完整閱讀的風險披露聲明。本人確認就本問卷內容及風險披露聲明，本人已被給予足夠的機會提出問題及尋求獨立的專業意見，如有任何事項需要澄清，本人將進一步諮詢中誠證券(香港)及/或尋求獨立專業意見。
10. I hereby authorize, and give my consent to Guosen Securities (HK) to use the information provided by me in this RPQ for the purposes of (i) opening and maintaining any and all of my account(s) held with or to be held with Guosen Securities (HK); (ii) complying with any legal or regulatory requirements; and (iii) fulfilling all other aspects set out in the relevant personal data schedule of the Terms and Conditions and Schedules applicable to the relevant account.
    本人授權並同意中誠證券(香港)使用本人於此問卷內由本人提供的資訊，作為(i)開立或維持任何及所有本人於中誠證券(香港)持有或將會持有之帳戶；(ii)符合任何法律或法規之要求；及(iii)所有適用於相關帳戶之「證券交易條款與細及附表」內的個人資料附件所載之其他用途。
11. In the event of any inconsistency between the English and Chinese versions of the RPQ, the English version shall prevail.
    本問卷中、英文版如有抵觸， 以英文版為准。

Name 姓名: «姓名中文»	Passport/ID card No.護照/身份證號碼: «護照身份證號碼»
Signature of Client 客戶簽署* ✍**By:** ______________________	Date 日期:«日期»

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For Internal Use Only (Assessment)		**For Internal Use Only (if recorded office phone is used)**	
Signed by Licensed Representative __________________________ Name: CE No.:	Approved by Responsible Officer __________________________ Name: CE No.:	Called by: ______________________ Name: CE No.:	Call Date: Call Time: Tel. No. of recorded office phone:

Total Score 總分	**Risk Tolerance Level 風險承受能力**	**Investor Characteristics 投資者特性**	**Investment Risk Profiles 風險承受能力解釋**
≤ 10	low risk 低風險	Conservative 保守型	Refer to investors who can tolerate low level of investment risk; have limited or no knowledge and experience in financial investment. 屬於能承受低投資風險的投資者；於金融投資方面只有有限的，或沒有知識及經驗。
11- 16	low to medium risk 低至中等風險	Moderate 穩健型	Refer to investors who can tolerate low to medium level of investment risk; have reasonable knowledge or experience in financial investment; and / or have moderate financial capability to tolerate losses from investment. 屬於能承受低至中度投資風險的投資者；於金融投資方面具有一定的知識或經驗；及/或擁有穩定的財政能力，以承受投資帶來的損失。
17-22	medium risk 中等風險	Balanced 平衡型	Refer to investors who can tolerate medium level of investment risk; have considerable knowledge or experience in financial investment; and / or have strong financial capability to tolerate losses from investment. 屬於能承受中度投資風險的投資者；於金融投資方面具有相當的知識或經驗；及/或擁有良好的財政能力，以承受投資帶來的損失。
23-31	high risk 高風險	Growth 增長型	Refer to investors who can tolerate high level of investment risk; have advanced knowledge or experience in financial investment; and / or have strong financial capability to tolerate losses from investment. 屬於能承受高投資風險的投資者；於金融投資方面具有深度知識或經驗；及/或擁有良好的財政能力，以承受投資帶來的損失。
≥ 32	very high risk 極高風險	Aggressive 進取型	Refer to investors who can tolerate very high level of investment risk; have professional knowledge and experience in financial investment; and / or have solid financial capability to tolerate losses from investment. 屬於能承受極高投資風險的投資者；於金融投資方面具有專業知識及經驗；及/或擁有強健的財政能力，以承受投資帶來的損失。