

ZH SECURITIES LIMITED 中昊證券有限公司

Risk Profiling Questionnaire (For Individuals) 風險取向調查問卷(個人)

客戶名稱 Client name: _____

請回答下列問題，以讓我們了解閣下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. 閣下屬於以下哪年齡組別?

Which age group do you belong to?

- a. 18-29歲 18-29
 b. 30-49歲 30-49
 c. 50-64歲 50-64
 d. 64歲以上 Above 64

2. 閣下的教育程度是:

Your educational level is:

- a. 大學或以上 University or above
 b. 預科畢業 Post-Secondary
 c. 中學畢業 Secondary Completed
 e. 其他 Others: _____

3. 閣下通常如何作出投資決定?

How do you normally make investment decisions?

- a. 跟電視及報紙推薦 following TV and newspaper recommendations
 b. 跟從朋友及親屬介紹 following ideas from friends and relatives
 c. 跟從經紀及銀行經理意見 following the advice of brokers and bank managers
 d. 聘用財富經理投資 hiring wealth managers
 e. 參考上述意見自行進行個人分析 generating the above ideas and conduct own analysis

4. 閣下於過去24個月曾持有哪些投資產品? (可選擇多於一項)

Which investment product(s) have you 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

5. 閣下希望將流動資產中多少資金投資於股票市場?

What percentage of your liquid assets would you like to invest in the stock market?

- a. ≤20%
 b. 20-40%
 c. 40-60%
 d. 60%-80%
 e. Over 80%

6. 在閣下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%
7. 下列哪一項最接近閣下對投資回報(年度回報)的波幅水平的期望?
Which of the following statements would best reflects your expectation on investment return fluctuation (p.a.)?
- a. -7%
- b. -15%
- c. -20%
- d. 超過以上所有選項Exceeding all of the above
8. 下列哪一項最接近閣下對投資程度的虧損?
Which of the following describes the degree of loss you 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
9. 在閣下的投資年期內，閣下的投資於短時間內顯著下跌，閣下會如何處理?
During the expected investment period, your investment depreciates significantly over a short period time. What would you like to do?
- a. 我將出售大部份投資，並持有餘下的投資及觀望其長線增長。
I will sell a large part of the investment, and hold the remaining investment in the expectation of growth over the long term.
- b. 我將出售小部份投資，並持有餘下的投資及觀望其長線增長。
I will sell a small part of the investment, and hold the remaining investment in the expectation of growth over the long term.
- c. 我將繼續持有現在的投資並且觀望其長線增長。
I will hold the investment in the expectation of growth over the long term.
- d. 我將適量增持以降低平均投資成本。
I will adequately invest more to lower the average cost of my investment.
10. 下列那一項最能形容閣下對投資回報與風險的態度?
Which of the following statements would best describe your attitude towards return and risks?
- a. 我不能承受任何程度的資本損失。
I 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，我可以承受輕微程度的資本損失。
To protect my capital and to receive returns in line with bank deposits, and I can tolerate minimal capital loss.
- c. 獲得低至中等程度的投資回報，我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 I can tolerate low to medium level of capital loss.
- d. 獲得較高的投資回報，我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 I 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	5	3	1		
問題2 Q.2	7	5	3	1		
問題3 Q.3	0	0	1	3	2	
問題4 Q.4* (只選最高分highest only)	5	3	2	1	0	
問題5 Q.5	1	2	3	4	5	
問題6 Q.6	0	1	2	3	4	
問題7 Q.7	1	2	3	5		
問題8 Q.8	1	2	3	5		
問題9 Q.9	1	2	3	5		
問題10 Q.10	0	1	3	5		
<p>問題1至問題10的總分Total points that you get from Q.1 to Q10: _____</p> <p>就以上問卷所示，我的風險承受程度為From the above Questionnaire, my Risk Tolerance Level is :</p> <p><input type="checkbox"/> Points 9-17, 低風險Low Risk <input type="checkbox"/> Points 18-30 中風險Medium Risk <input type="checkbox"/> Points 31-47 高風險High Risk</p>						
<p>本人確認以上由本人提供之所有資料均為完整，準確及最新，並再次確認本人的風險承受程度為</p> <p>I confirm that all the above information provided by me is complete, accurate and up-to-date, and further confirm my Risk Tolerance Level is:</p> <p><input type="checkbox"/> Points 9-17, 低風險Low Risk <input type="checkbox"/> Points 18-30 中風險Medium Risk <input type="checkbox"/> Points 31-47 高風險High Risk</p>						

簽署 Signature : _____

日期 Date : _____

姓名 Name :

For Official Use Only

Compliance check by:			Remarks:
Name:	Signature:	Date:	