風險評估問卷 ("問卷") - 只適用於非機構專業投資者/非認可法團專業投資者

Risk Profiling Questionnaire (the "Questionnaire") – Applicable to non- Institutional Professional Investors/non-Recognized Corporate Professional Investors

這份問卷是根據閣下/貴公司可承受風險的能力及風險接受程度以評估閣下的風險取向。如閣下/貴公司的情況或投資目標有變, 請儘快聯系我們及在本問卷中更新有關資料, 以便重新評估閣下/貴公司的風險概況。

The objective for this Questionnaire is to help you understand more about your attitude towards risk based on your ability to take risk and your risk tolerance level. If your situation or investment goals changes, you should approach us and update your information in this questionnaire as soon as possible to re-assess your risk profile.

客戶賬號:
Account Number: ____________________________

客戶名稱:
Client Name: ____________________________

請選擇適當答案。Please choose the appropriate answer.

A: 風險承擔程度及投資需要
Risk Profile and Investment Needs

1. 如閣下/貴公司有意投資, 可接受的最長投資期是多久?
What is the longest investment period which you / your company would be willing to commit?

☐ (A) 少 於 1 年 Less than 1 year
☐ (B) 1 至 2 年 Between 1 and 2 years
☐ (C) 2 至 4 年 Between 2 and 4 years
☐ (D) 4 至 7 年 Between 4 and 7 years
☐ (E) 多於 7 年 Over 7 years

2. 以下哪一個講法最能表達閣下/貴公司的投資目標?
Which of the following statements best describes your / your company's investment goal?

☐ (A) 要求保本, 即使回報極低甚至沒有獲利
We want to preserve capital even if it takes little or no gains
☐ (B) 希望有穩定的投資回報, 獲利較銀行存款利息高
We are looking for a stable stream of income that is higher than what bank deposits can provide
☐ (C) 要求有經常性收入, 而且資本也有所增長
We are looking for a combination of regular income as well as some capital growth
☐ (D) 要求大量長遠資本增長
We are looking for substantial long term capital growth
☐ (E) 要求高額的資本增長
We are looking for high capital growth

3. 假設投資基本面沒有任何改變, 請問閣下/貴公司在**<u>投資組合中風險最高的投資</u>**價值下跌之時會做何反應（例如, 該公司的前景沒有改變, 但股價仍然下跌）? What would be your /your company's response to a drop in value of the **<u>highest risk investment in your portfolio</u>** in the absence of any changes to that investment's fundamentals (for instance the company's outlook has not changed but the stock price has nonetheless dropped)?

☐ (A) 即使價值只是輕微下跌, 也立刻沽出投資以減低損失
Sell that investment immediately to avoid further losses, even if the drop in value is small
☐ (B) 雖然價值下跌令閣下感到好有壓力, 但也只會在價值大幅下跌時沽出
Although any drop in value would make you feel quite uneasy, only sell if the drop in value is significant
☐ (C) 沽出部份投資產品以減低損失, 但視乎該投資項目基本面的變化, 仍會維持投資
Sell some of the investment to decrease exposure but still maintain the investment subject to any change in the fundamentals of the investment
☐ (D) 雖然價格有所波動, 但如未到任何止蝕位及視乎該投資項目基本面的變化, 仍會維持投資
Maintain the investment regardless of any price fluctuations as long as it does not hit any stop loss and subject to any change in the fundamentals of the investment
☐ (E) 除非該投資項目基本面有變化, 否則不論虧損多大, 仍會維持投資
Maintain the investment no matter how large the losses are, and only sell if there was a change in the fundamentals of that investment

4. 就閣下/貴公司的總資產淨值 (不計算自用物業的價值) 而言, 拿出多少比例來投資金融產品會令你感到安心（比如, 股票、結構性投資產品、權證、期權、期貨）?
What percentage of your /your company's total net wealth (excluding the value of your self-use properties) do you feel comfortable to invest in financial products (such as stocks, structured investment products, warrants, options, futures)?

☐ (A) 0% 0%
☐ (B) 少於 20% Less than 20%
☐ (C) 20% 至少於 40% 20% to less than 40%
☐ (D) 40% 至少於 60% 40% to less than 60%
☐ (E) 多於 60% Over 60%

5. 閣下/貴公司期望的投資組合整體回報率是多少 (假設通脹率大於或等於 0%)? What is your /your company's expected return for your investment portfolio as a whole (assuming the inflation rate is higher than or equal to 0%)?

☐ (A) 與通脹率一樣 The same as the inflation rate
☐ (B) 高於通脹率至 2% Greater than and up to 2% above the inflation rate
☐ (C) 高於通脹率 2% 以上至 5% Greater than 2% and up to 5% above the inflation rate
☐ (D) 高於通脹率 5% 以上至 8% Greater than 5% and up to 8% above the inflation rate
☐ (E) 高於通脹率 8% 以上 Greater than 8% above the inflation rate

6. 假設閣下/貴公司一年前購買了某公司的股票而所計劃的投資年期為 5 年, 現時股價比那時增加了 30%, 市場上沒有任何消息、資料顯示該公司會有潛在或重大的轉變。在這種情況下, 閣下會：
Suppose you/your company purchased a stock one year ago planning an investment period of five years. Since then, its share price has increased by 30%. There is no news or market information about any potential or material changes in the company. In this case, you will:

☐ (A) 變賣所有股票, 獲取利潤 Sell all your shares to secure the profit
☐ (B) 一方面變賣 2/3 股票, 獲取大部份利潤, 另一方面繼續持有餘下的股票並期望股價會在未來上升
Sell 2/3 of shares to secure a major part of profit while retaining 1/3 to benefit from any further increase in stock price
☐ (C) 一方面變賣 1/3 股票, 獲取小部份利潤, 另一方面繼續持有餘下的股票並期望股價會在未來上升
Sell 1/3 of shares to secure a minor part of profit while retaining the remaining to benefit from any further increase in stock price
☐ (D) 繼續持有股票, 等待更高股價才變賣 Hold on and wait for a higher selling price
☐ (E) 趁股價有上升的趨勢, 繼續購入股票 Buy more to take full advantage of the upward trend

7. 閣下/貴公司現時的儲備足够應付多少個月的生活/營運開支，以面對突如其來的情況?
How many months of your/company's living/operational expenses have you reserved to meet unforeseen events?

☐ (A) 少於 2 個月的日常開支 Less than 2 month of monthly expense.
☐ (B) 2 - 6 個月的日常開支 2 - 6 months of monthly expense.
☐ (C) 6 - 9 個月的日常開支 6 - 9 months of monthly expense.
☐ (D) 9 - 12 個月的日常開支 9 - 12 months of monthly expense.
☐ (E) 超過 12 個月的日常開支 Over 12 months of monthly expense.

8. 在一段時間之內, 投資價值可升可跌, 我們稱之為「波動」。一般而言, 風險愈高的投資, 其潛在波動愈大, 但潛在回報亦愈高。相反, 風險愈低的投資, 其潛在波動愈小, 但潛在回報亦愈低。總體來看, 閣下/貴公司願意投資於波動幅度多大的投資產品?（**注意：於此描述的投資波動數字只供說明之用, 閣下/貴公司不應倚賴此等數字作為於本公司進行投資之損失/回報指引。**）
Over a period of time the value of investments can rise and fall, we call it "fluctuation". *Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. In general, which of the following return profiles is most attractive to you /your company? **(Note: Fluctuation figures here are for illustrative purpose only. You / your company should not rely on such figures to be indicative of your investment gain/loss with us.)**

☐ (A) 於-5% 至 +5% 之間的波動 Fluctuation between -5% and +5%
☐ (B) 於-10% 至 +10% 之間的波動, 以期取得潛在資本回報
Fluctuation between -10% and +10% for the opportunity of potential capital return.
☐ (C) 於-15% 至 +15% 之間的波動, 以期取得較佳的潛在資本回報
Fluctuation between -15% and +15% for the opportunity of better potential capital return.
☐ (D) 於-20% 至 +20% 之間的波動, 以期取得更高的潛在資本回報
Fluctuation between -20% and +20% for the opportunity of higher potential capital return.
☐ (E) 於-20% 以下或+20% 以上之間的波動。我相信長期投資可以抵銷短期波動, 並可以取得更高的潛在資本回報。Fluctuation beyond -20% or +20%. I believe in long-term investment can average out short-term volatility and achieve higher potential capital return.

B：期貨及衍生品相关知识

Knowledge of Futures and Derivatives

此部分旨在協助評估閣下是否具期貨及備衍生工具的知識。本公司將根據閣下於下方提供的資料，評估閣下是否了解衍生產品的性質和風險。請回答以下問題並在最符合閣下情況的方格上打勾( )。

This part assesses whether you have knowledge of futures and derivatives. Based on the information provided below, we will assess whether you understand the nature and risks of derivative products. Please answer the following questions and tick the box that best describes you.

1. 請提供以下有關於衍生產品的資料：
   With regards to derivative products, please provide the following information:

	是 Yes	否 No
請問閣下/貴公司在過去三年內，有否進行過五次或以上相關於以下衍生產品的投資交易？ 優先股、永久債券、可換股債券、次級債券、可贖回債券、可回售債券、應急可轉換債券（也可稱之為「CoCo 債券」）、遞增票息債券、債券回購/逆回購協議、對沖基金、遠期、利率上/下限、遠期利率協議、掉期期權、債務抵押債券、期權、認股權證、期貨、掉期、合成交易所交易基金、結構性產品、無本金交割遠期外匯、雙幣投資、累計期權／累沽期權、中期票據（與信用、指數、債券、外匯-固定/浮動/區間計息或基金掛鈎）和重新包裝票據。 Have you /your company made 5 or more investment transactions in the past 3 years in any of the following derivatives products? Preference shares, perpetual bonds, convertible bonds, subordinated bonds, , callable bonds, puttable bond, contingent convertible (also known as "CoCos"), step-up coupon bonds, repos / reverse repos, hedge funds, forwards, caps and floors, forward rate agreement, swaption, collateralized debt obligation, options, warrants, futures, swaps, synthetic ETFs, structured products, non-delivery forward, dual currency investment, accumulator/decumulator, medium term notes (linked to credit, index, bond, FX – fixed/floating/range accrual, Funds), repackaged notes.	請具體說明： Please provide details: -- -- -- -- -- -- -- -- -- -- -- -- -- -- --	☐
請問閣下/貴公司有否參加過由銀行、金融機構、教育機構或專業組織所舉辦與衍生工具相關之培訓或課程呢？ Have you /your company received any training or attended any courses related to derivatives offered by banks, financial institutions, educational institutions or professional organization?	□ 銀行 Banks □ 其他金融機構 Other financial institutions □ 教育機構 Education institutions □ 專業組織 Professional organizations 請具體說明（包括但不限於參加培訓的日期、培訓的主題及培訓組織的名稱）： Please provide details (including but not limited to the date of the training(s) attended, the subject of the training(s) and the name of the organization which delivered the training): -- -- --	☐
請問閣下/貴公司是否擁有與衍生產品相關的工作經驗？ Do you/your company have any work experience relating to derivatives products?	請具體說明： Please provide details: -- -- -- --	☐

2. 請回答以下問題並選擇正確的一個選項。Please select only ONE choice of each question:

(1) 下列哪一項是期貨市場的基本功能? Which is the basic function for futures market?

☐(A) 投機 Speculate
☐(B) 套利 Arbitrary
☐(C) 操縱價格 Price Manipulation
☐(D) 價格發現 Price Discovery

(2) 下列哪一項屬於衍生產品? Which one is derivatives product?

☐(A) 白銀現貨 Spot Sliver
☐(B) 銅期權合約 Copper Options Contract
☐(C) 國企指數 China Enterprises Index
☐(D) 黃金ETF Gold ETF

(3) 下列哪一項不屬於商品衍生工具? Which one is NOT commodities futures?

☐(A) 恒生指數期貨合約 Hang Seng Index Futures
☐(B) 黃金期權合約 Gold Options Contract
☐(C) 原油期貨合約 Crude Oil Futures
☐(D) 大豆期貨遠期合約 Soybean Forward Contract

(4) 下列哪項風險是衍生品交易涉及的主要風險? Which of the following risks is the main risk involved in derivatives trading?

☐(A) 損失本金的風險 Risk of Losing Principal Amount
☐(B) 杠杆風險 Leverage Risk
☐(C) 流動性風險 Liquidity Risk
☐(D) 以上都是 All

(5) 為避免實物交割，投資者在期貨現貨月合約到期前可以採取以下哪些做法? To avoid physical delivery, which of the following actions can take before the futures spot month contract expires?

☐(A) 平倉了結 Close Position
☐(B) 設置止損 Set Stop Loss Order
☐(C) 轉移到遠期合約 Rollover to a Another Contract Further in The Future
☐(D) A和C

(6) 下列哪一個市場主要從事農產品衍生品交易? Which of the following markets is mainly engaged in agricultural derivatives trading?

☐(A) LME
☐(B) SGX
☐(C) CBOT
☐(D) HKEX

(7) 下列哪一個產品是香港期貨交易所的衍生產品? Which of the following products is a derivative product of Hong Kong Futures Exchange?

☐(A) 玉米期貨 Corn Futures Contract
☐(B) 恒生科技股指數期貨 Hang Seng Tech Index Futures
☐(C) 原油期權 Crude Oil Options
☐(D) 碳排放期貨 Carbon Emission Allowance Futures

(8) 以下哪項是中介人針對投資者期貨交易帳戶進行風險管理的措施? Which of the following method can be taken by intermediaries for risk management of clients' futures trading accounts?

☐(A) 提高保證金 Raise Margin Level
☐(B) 保證金追加 Margin Call
☐(C) 強行平倉 Forced Liquidation
☐(D) 以上都是 All

(9) 以下哪項是期貨期權交易者應當履行的義務? Which of the following is an obligation for investor to trade futures and options?

☐(A) 配合中介人處置帳戶風險和進行大額未平倉合約申報 Cooperate with intermediaries to reduce account risks and report Large Open Positions
☐(B) 不從事擾亂市場的交易行為 Comply with the trading rules for the market
☐(C) 控制帳戶持倉不得超出交易所持倉上限水準 Ensure the account not exceed the exchange's position limit
☐(D) 以上都是 All

(10) 以下哪項對國際期貨期權交易的描述是錯誤的? Which of the following statements about international futures and options trading is incorrect?

- ☐(A) 部分國際期貨市場區分T和T+1時段交易，通常T時段交易和上一交易日的T+1時段交易合併為T日交易出日結單 Some international futures markets have T and T+1 trading sessions. Usually, T session and T+1 session of the previous trading day are combined into the daily statement of T-day transaction
- ☐(B) 期權按行權的方式可以分為美式期權和歐式期權 Options can be divided into American options and European options according to the way they are exercised
- ☐(C) 國際期貨都沒有漲跌停板限制 There are no price limits for trading any international futures
- ☐(D) 國際期貨涉及的結算貨幣種類較多，投資者可能會被要求進行換匯 International futures involve many types of settlement currencies, and investors may be required to make currency exchanges

(11) 期權合約到期後，期權買方持有人有權以什麼價格買入或者賣出相應數量的標的資產? After the option contract expires, at what price does the option buyer have the right to buy or sell the corresponding amount of the underlying asset?

- ☐(A) 行權價格 Strike Price
- ☐(B) 權利金 Option Premium
- ☐(C) 標的價格 Spot Price
- ☐(D) 結算價 Settlement Price

(12) 投資者賣出認沽期權，則有什麼義務/權利買入或賣出一定數量的標的資產? When an investor sells a put option, he or she has obligations/rights to buy or sell a certain amount of the underlying asset?

- ☐(A) 有義務賣出 Obligation to sell
- ☐(B) 有權利買入 Right to buy
- ☐(C) 有權利賣出 Right to sell
- ☐(D) 有義務買入 Obligation to buy

(13) 期權買方在期權到期前任一交易日或到期日均可以選擇行權的是? Which option buyer can choose to exercise the option on any trading day before or on the option expiration date?

- ☐(A) 歐式期權 European Option
- ☐(B) 百慕大式期權 Bermuda Option
- ☐(C) 亞式期權 Asian Option
- ☐(D) 美式期權 American Option

(14) 期權的履約價格又稱（）The exercise price of an option is also called ( )

- ☐(A)行權價格 Strike price
- ☐(B)權利金 Option Premium
- ☐(C)標的價格 Spot Price
- ☐(D)結算價 Settlement price

(15) Amy買入甲股票的成本為20港幣/股，隨後備兌開倉賣出一張行權價格為22港幣、下個月到期、權利金為0.8港幣的認購期權，則使用該策略理論上最大收益是多少？ Amy buys stock A at a cost of HK$20/share, and then opens a position to sell a call option with an exercise price of HK$22, expiration date of the next month, and an option premium of HK$0.8. What is the maximum profit of this strategy theoretically?

- ☐(A) 2.8
- ☐(B) 2
- ☐(C) 0.8
- ☐(D) 無限大 Infinite

C: 投資經驗
Investment Experience

1. 閣下/貴公司有否委派專業人士處理投資事宜？
Have you/Has your company appointed professional to handle investment?

(A) 無，而且本人/本公司負責處理投資事宜的人員對投資產品的瞭解並不多
No, and the person handling our company's investments / myself does not have much knowledge on investment products
(B) 無，但本人/本公司負責處理投資事宜的人員對投資產品有基本認識
No, but the person handling our company's investments / myself has basic knowledge on investment products
(C) 無，但本人/本公司負責處理投資事宜的人員對投資產品十分熟悉
No, but the person handling our company's investments /myself has extensive knowledge on investment products
(D) 有 Yes
(E) 有，而且多過一名 Yes, and more than 1 professional

【僅適用於企業客戶】如果閣下的回答是（C），請提供代表貴公司作出投資決策之人員的姓名和職位。

[Applicable to corporate client only] If you answered (C), please provide name and title of the person(s) who are responsible for making investment decision on behalf of your company: ___________________________________

2. 閣下/貴公司或負責處理貴公司投資事宜的人員有多少年投資於以下投資產品（G10 國家外加中國香港、新加坡、紐西蘭和澳洲）的經驗？
How many years of experience do you (or the person handling your company's investment) have in respect of the following investment products (G10 countries plus Hong Kong, Singapore, New Zealand and Australia)?

a)

現金、存款、存款證、保本產品 Cash, deposits, certificate of deposits, capital protected products	中國香港、新加坡、澳洲、加拿大、法國、德國、意大利、日本、荷蘭、瑞典、瑞士、紐西蘭、英國和美國 Hong Kong, Singapore, Australia, Canada, France, Germany, Italy, Japan, the Netherlands, Sweden, Switzerland, New Zealand, the United Kingdom and the United States	新興市場（其他市場） Emerging markets (other markets)
A）無經驗 No Experience		
B）少於 3 年 Less than 3 years		
C）3 至6 年 Between 3 and 6 years		
D）7 至 10 年 Between 7 and 10 years		
E）10 年以上 Over 10 years		

b)

債券、次級債券、永久債券、可換股債券、可贖回債券、可回售債券、應急可轉換債券（也可稱之為「CoCo 債券」）、遞增票息債券、債券基金、非保本之債券/與信用掛鈎之結構性投資產品 Bonds subordinated bonds, perpetual bonds, convertible bonds, callable bonds, puttable bond, contingent convertible (otherwise known as 'CoCos"), step-up coupon bonds, bond funds, non-capital protected bond/credit linked structured products	中國香港、新加坡、澳洲、加拿大、法國、德國、意大利、日本、荷蘭、瑞典、瑞士、紐西蘭、英國和美國 Hong Kong, Singapore, Australia, Canada, France, Germany, Italy, Japan, the Netherlands, Sweden, Switzerland, New Zealand, the United Kingdom and the United States	新興市場（其他市場） Emerging markets (other markets)
A）無經驗 No Experience		
B）少於 3 年 Less than 3 years		
C）3 至6 年 Between 3 and 6 years		
D）7 至 10 年 Between 7 and 10 years		
E）10 年以上 Over 10 years		

c)

外幣、利率、商品、非保本之貨幣/利率/與商品掛鈎之結構性投資產品 Foreign currencies, interest rate, commodities, non-capital protected currency/interest rate/commodity linked structured products	中國香港、新加坡、 澳洲、加拿大、法國、德國、意大利、日本、荷蘭、瑞典、瑞士、紐西蘭、英國和美國 Hong Kong, Singapore, Australia, Canada, France, Germany, Italy, Japan, the Netherlands, Sweden, Switzerland, New Zealand, the United Kingdom and the United States	新興市場（其他市場） Emerging markets (other markets)
A）無經驗 No Experience		
B）少於 3 年 Less than 3 years		
C）3 至6 年 Between 3 and 6 years		
D）7 至 10 年 Between 7 and 10 years		
E）10 年以上 Over 10 years		

d)

股票、交易所交易基金、開放式基金、場內衍生工具（包括認股權證、牛熊證、合成交易所基金、槓桿及反向產品、股票期權等）、非保本且與股票掛鈎之結構性投資產品 Stocks, exchange traded funds (ETF), open-ended funds, listed derivatives (including warrants, CBBC, synthetic ETFs , Leveraged and inverse (L&I) products, share options etc.), non-capital protected equity linked structured products	中國香港、新加坡、 澳洲、加拿大、法國、德國、意大利、日本、荷蘭、瑞典、瑞士、紐西蘭、英國和美國 Hong Kong, Singapore, Australia, Canada, France, Germany, Italy, Japan, the Netherlands, Sweden, Switzerland, New Zealand, the United Kingdom and the United States	新興市場（其他市場） Emerging markets (other markets)
A）無經驗 No Experience		
B）少於 3 年 Less than 3 years		
C）3 至6 年 Between 3 and 6 years		
D）7 至 10 年 Between 7 and 10 years		
E）10 年以上 Over 10 years		

e)

其他衍生工具產品，如場內期貨/ 遠期、場內/場外期權、債券回購/逆回購協議、對沖基金、遠期、利率上/ 下限、遠期利率協議、掉期期權、債務抵押債券、累積/累沽期權、掉期、中期票據（與信用、指數、債券、外匯-固定/浮動/區間計息或基金掛鈎）和重新包裝票據。 Other derivatives such as listed/OTC futures/forwards, listed/OTC options, repos / reverse repos, hedge funds, forwards, caps and floors, forward rate agreement, swaption, collateralized debt obligation, accumulator/ decumulator, swaps, medium term notes (linked to credit, index, bond, FX – fixed/floating/range accrual, Funds), repackaged notes	中國香港、新加坡、 澳洲、加拿大、法國、德國、意大利、日本、荷蘭、瑞典、瑞士、紐西蘭、英國和美國 Hong Kong, Singapore, Australia, Canada, France, Germany, Italy, Japan, the Netherlands, Sweden, Switzerland, New Zealand, the United Kingdom and the United States	新興市場（其他市場） Emerging markets (other markets)
A）無經驗 No Experience		
B）少於 3 年 Less than 3 years		
C）3 至6 年 Between 3 and 6 years		
D）7 至 10 年 Between 7 and 10 years		
E）10 年以上 Over 10 years		

f)

封閉式基金、設有鎖定期的投資產品、另類投資（包括私募股權投資等）、基金掛鉤衍生品 Close-ended funds, investment products with lock-up, alternative investments (including private equities etc.), fund linked derivatives	中國香港、新加坡、澳洲、加拿大、法國、德國、意大利、日本、荷蘭、瑞典、瑞士、紐西蘭、英國和美國 Hong Kong, Singapore, Australia, Canada, France, Germany, Italy, Japan, the Netherlands, Sweden, Switzerland, New Zealand, the United Kingdom and the United States	新興市場（其他市場） Emerging markets (other markets).
A）無經驗　No Experience		
B）少於 3 年　Less than 3 years		
C）3 至6 年　Between 3 and 6 years		
D）7 至 10 年　Between 7 and 10 years		
E）10 年以上　Over 10 years		

3. 閣下/貴公司現在是否持有以下任何投資產品？(可多選)
Are you / your company currently holding any of the below investment products? (You can choose more than one answer)

☐ (A) 現金、存款、存款證、保本產品
Cash, deposits, certificate of deposits, capital protected products

☐ (B) 債券、債券基金
Bonds, bond funds

☐ (C) 外幣、非保本之貨幣掛鈎結構性投資產品
Foreign currencies, non-capital protected currency linked structured products

☐ (D) 股票、開放式基金 (不包括債券基金或貨幣市場基金)、非保本之股票掛鈎結構性產品、有投資性質的保險計劃、商品
Stocks, open-end funds (excluding bond funds & money market funds), non-capital protected equity linked structured products, investment-linked insurance plan, commodities

☐ (E) 期權、期貨、認股權證 (俗稱「窩輪」)
Options, futures, covered warrants

責任聲明:

Disclaimer:

此問卷由中信期货国际及中信信期國際證劵提供以協助客戶了解其可承受風險的能力及風險接受程度以評估客户的風險取向。中信期货国际及中信信期國際證劵 對於本問卷提供的資料及結果的準確性及完整性不負任何責任。

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本問卷和結果只是客户作出投資前應考慮的**其中一個因素,** 不應視作投資建議、銷售要約或購買任何金融產品的招攬。閣下應該仔細考慮閣下的投資目標及風險承受能力, 並尋求獨立的專業人士建議, 才適宜作出任何投資決定。

This questionnaire and the result is **only one of the factors** that the customer should take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision.

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The investment advices are derived from information that the customer has provided to CFI/CFIS. Customers are advised to answer all questions of the questionnaires. Otherwise, we may not be able to provide any investment advisory service to you / your company.

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The risk tolerance level derived from use of the scoring point as shown in the Questionnaire (the "Tools") are provided only as general guidelines. CFI/CFIS is not providing investment or financial advice to any of its customers by providing the Tools. CFI/CFIS makes no warranties, expressed or implied, as to results to be obtained from use of the Tools. CFI/CFIS shall not be liable to any customer for any loss, damage or penalties suffered or incurred by, any claim or demand made against or settled by or any regulatory issues or disputes faced by customer arising out of the use of the Tools.

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CFI/CFIS will keep personal information collected in this test confidential. The information will only be used by CFI/CFIS under a duty of Confidentiality to CFI/CFIS, for designing and/or marketing financial services.

此問卷的中、英文版本若有不一致或差異之處, 概以中文版本為準。

In case of inconsistency or discrepancy between the Chinese version and the English version of this Questionnaire, the Chinese version shall prevail for all purposes.

客戶聲明及承諾

Customer Acknowledgement & Undertaking

本人/吾等確認、理解及同意：
I/We hereby acknowledge, understand and agree that:

據中信期货国际及中信信期國際證券 所知, 在設計「工具」時, 並未將個別客戶的特定需要、投資準則、個別基金或 投資產品的合適性考慮在內。因此, 「工具」所包含之資料不應視為或當作任何投資或個人化的建議。於作出投資決定前, 本人/吾等應根據自己的判斷及/或尋求財務及法律顧問之專業意見。中信期货国际及中信信期國際證券 對「工具」的 任何資料及其使用無須負責, 及對「工具」之內容的準確性及完整性均不作出任何保證, 並拒絕就客戶或任何人士因使用「工具」之資料或避免使用「工具」的資料而招致或帶來之任何損失或損害承擔任何責任。投資涉及風險, 投資產品的價格可能會有波動, 在特定情況下甚至有可能變得毫無價值。於投資前, 客戶應參考有關投資的銷售文件。「工具」之內容僅供參考, 並不構成買賣要約。過往的表現數據及資料並不表示未來也有同樣的表現。

To the knowledge of CFI/CFIS, in the design of the Tools, the specific needs, investment criteria or suitability of any particular funds or investments of individual customers have not been taken into account. Accordingly, the information in the Tools shall not be treated, nor relied upon, as any investment or individualized advice. I/We should ultimately rely on my/our own judgment and/or the judgment of my/our own financial and legal advisers in making any investment decision. CFI/CFIS takes no responsibility for any information or use relating to the Tools and makes no representation as to the accuracy or completeness of any such information and expressly disclaims any liability whatsoever for any loss or damage as a result of or arising from customers or any other persons acting or refraining from actions based on the information or results contained in the foregoing. Investments involve risks and the prices of investments can and do fluctuate and in certain circumstances may become valueless. Customers should refer to the relevant offering documents before investing. The Tools is for information only and does not constitute any offer or solicitation to buy or sell. Data and information on past performance are not indicative of future performance.

本人/吾等已獲中信期货国际及中信信期國際證券 邀請細閱本問卷、此客户確認聲明及承諾及免責聲明, 提出問題及(假如本人/吾等希望) 諮詢獨立意見。本人/吾等聲明本人/吾等會就本人/吾等之判斷作出投資決定。

I/We have been invited by CFI/CFIS to read the Questionnaire, this Customer Acknowledgement & Undertaking and the Disclaimer, to ask questions and take independent advice if I/we wish and I/we declare that I/we will make investment decision based on my/our own judgment.

本人/吾等已獲中信期货国际及中信信期國際證券 邀請查閱了中信期货国际及中信信期國際證券 官網並確認已獲知了本調查問卷和指定的風險承受能力水平的相關資訊，及就調查問卷的結果和指定的風險承受能力水平向中信期货国际及中信信期國際證券 的代表咨询(假如本人/吾等希望)。

I/We confirm that I/We have been invited by CFI/CFIS to read related information on the CFI/CFIS website explaining this Questionnaire and the assigned risk tolerance level and been invited to ask questions about the results this Questionnaire and the assigned risk tolerance level if I/we wish.

客戶簽名及用印（如用）： **日期：**

Client Signature with chop (If Any)： ______________________ **Date：** ______________________

僅供内部使用Internal Use Only	
A部分：	
總分數： *Total Score：* ____________	*客戶的風險評級：* *Client's Risk Rating (CRR)：* ____________
**個人/聯名客戶或個人獨資公司股東的年齡是否超過65歲？Individual/Joint Client or BO of solely owned entity age over 65?* ☐否*No* ☐是*Yes（另请填妥[風險承受能力薄弱的客户聲明]Please also fill out the "Vulnerable Customer Declaration"）*	