國信證券(香港)經紀有限公司
GUOSEN SECURITIES (HK) BROKERAGE COMPANY, LIMITED

Risk Profiling Questionnaire（Individual）
风险承受能力问卷（个人）

This Risk Profiling Questionnaire ("RPQ") will be used by Guosen Securities (HK) Brokerage Company Limited ("Guosen Securities (HK)") to assess the investment profile of client.
本风险承受能力问卷（"本问卷"）乃国信证券（香港)经纪有限公司（"国信证券（香港)"）用于评估客户风险承受能力。

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.
请回答以下的问题，这将有助于您在选择合适投资产品前，帮助您评估您的风险取向及投资目标。除另有规定外，每题请仅勾选一个答案。

PART I – CLIENT KNOWLEDGE OF DERIVATIVE INSTRUMENTS
第I部分 – 客户对衍生工具的认识

☐(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.
本人确认，如不符合以下任何一项，将被评估为对衍生工具的性质及风险没有认识。

☐(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):
本人确认是通过以下途径获得对衍生工具的一般认识并明白衍生工具的性质及风险(可多选):

☐(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:
本人拥有买卖衍生工具的经验，并于过去三年曾交易五笔或以上（不论在是否在交易所买卖）衍生工具

- ☐ Currency Linked Products 货币挂钩产品　☐ Interest Rate Linked Products 利率挂钩产品
- ☐ Equity Linked Products 股票挂钩产品　☐ Credit Linked Products 信贷挂钩产品
- ☐ Derivative Warrant / Callable Bull / Bear Contracts 衍生权证 / 牛熊证　☐ Future / Option 期货 / 期权
- ☐ Exchange Traded Funds that Invest in Derivative Instruments 投资于衍生工具的交易所买卖基金
- ☐ Unit Trusts that involve in Derivative Instruments 包含衍生工具成份的信托基金
- ☐ Others (Please specify): 其他 (请注明): ________________________________

☐ (2) Client has the following current or previous working experience related to derivative instruments:
本人现在或过去拥有与衍生工具有关的工作经验

Industry 行业

☐ Banking 银行　☐ Financial Services 金融服务　☐ Insurance 保险　☐ Education 教育
☐ Other (Please specify) 其他（请注明） ________________________________

Please specify no. of years of experience 请列明工作经验年限:

☐ Less than one year 小于一年　☐ 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.
本人曾接受有关衍生工具的培训或修读相关课程。

1. Name of course 课程名称：________________________________
2. Name of Institution 主办机构：________________________________
3. Date of the course attended 修读日期/年份：________________________________

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.
建议客户提供至少一项上述衍生产品交易的结单、上述培训/课程的出席记录/单据 或 其他相关资料作为证明。 如客户未能提供任何资料作为证明，或所提供的资料不适合用作评估，我司有权将客户分类为对衍生工具没有认识的投资者。

Part II – RISK TOLERANCE LEVEL 第 II部分 风险承受程度

1. Which age group does Client belong to? 您属于那一个年龄组别?

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

2. What is Client's primary investment objective? 您的主要投资目标是?

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

3. Normally, what percentage of Client's monthly household income could be available for investment or savings?
一般情况下，在您每月的家庭收入中，可用作投资或储蓄的比例，是多少？

- ☐ (a) 0% 无
- ☐ (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% 大于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?
您打算用作投资的资金，占净金融资产(不包括自住物业的价值)的比例，是多少?

- ☐ (a) Less than 10% 少于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?
您的预计的投资期限是多长?

- ☐ (a) Less than 6 months 少于6个月
- ☐ (b) 6 months to less than 1 year 6个月至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?
在一般情况下，您会预留多少金融资金 (包括现金或高流动性资产：如外币、黄金等) 作为每月家庭开支储备？

- ☐ (a) Amount that can sustain household expenses for less than 3 months
  可应付少于3个月的家庭开支
- ☐ (b) Amount that can sustain household expenses for 3 months or above but less than 6 months
  可应付3个月或以上但少于6个月的家庭开支
- ☐ (c) Amount that can sustain household expenses for 6 months or above but less than 12 months
  可应付6个月或以上但少于12个月的家庭开支
- ☐ (d) Amount that can sustain household expenses for 12 months or above
  可应付12个月或以上的家庭开支

7. Which of the following does Client think best describe its investment attitude?
一般而言，您能承受多少价格上下波动?

- ☐ (a) around 5%. 大约5%
- ☐ (b) around 10% 大约10%
- ☐ (c) around 20% 大约20%
- ☐ (d) around 30% 大约30%
- ☐ (e) any price fluctuation 任何价格波动

8. How long is Client's investment experience in the following products? (Please answer all items from a to e)
在下列投资产品中，您有多少年的投资经验？(请作答a至e项)

Investment Products 投资产品	Investment Experience多少年的投资经验				
	(a)	(b)	(c)	(d)	(e)
	NIL 无	Less than 1 year 少于一年	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 证券	☐	☐	☐	☐	☐
(2) Funds 基金	☐	☐	☐	☐	☐
(3) Foreign Exchange 外汇	☐	☐	☐	☐	☐
(4) Futures/ Options/Callable Bull/Bear Contracts /Derivatives 期货/期权/牛熊证/衍生产品（注①）	☐	☐	☐	☐	☐
(5) Fixed Income Products 固定收益产品(债券)	☐	☐	☐	☐	☐
(6) Others, please specific 其他(请注明):__________	☐	☐	☐	☐	☐

9.How many transactions has Client conducted in the following investment products in the recent 3 years?
最近3年，在下列投资产品中，您曾进行多少次交易？

Investment Products 投资产品	Investment Experience 投资经验			
	在过去的三年曾交易次数（注②）			
	(a)	(b)	(c)	(d)
	NIL 无	Less than 5 times 少于 5 次	5 to 40 times or below 5 次至 40 次以下	More than 40 times 超过 40 次
(1) Stocks 证券	☐	☐	☐	☐
(2) Funds 基金	☐	☐	☐	☐
(3) Foreign Exchange 外汇	☐	☐	☐	☐
(4) Futures/ Options/Callable Bull/Bear Contracts /Derivatives 期货/期权/牛熊证/衍生产品（注①）	☐	☐	☐	☐
(5) Fixed Income Products 固定收益产品(债券)	☐	☐	☐	☐
(6) Others, please specific 其他(请注明):__________	☐	☐	☐	☐

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)
衍生产品例如：货币挂钩产品、利率挂钩产品、股票挂钩产品、信贷挂钩产品、衍生权证/牛熊证、期货/期权、投资于衍生工具的交易所买卖基金、包含衍生工具成分的信托基金

注② ：1 purchase and 1 sale are counted as two transactions 1买1卖为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)
您是否拥有以下一项或多项的学历/专业资格? (以下(a) – (g 可多选)

☐(a) Passes in Hong Kong Securities Institute Examination
通过香港证券及投资学会课程

☐(b) Passes the SAC（Securities Association of China）examination
通过中国证券业协会组织的考试

☐(c) International recognized professional qualifications in law, accounting, or finance (including Chartered Financial Analyst (CFA), Cer
International Investment Analyst (CIIA) and Certified Financial Planner (CFP)
国际认可的法律 / 会计 / 财务专业资格(包括特许金融分析师、注册国际投资分析师及认可财务策划师)

☐(d) Degree in accounting, business administration, economics, finance or law; or above
会计/ 工商管理/ 经济 / 财务 / 法律学位或以上

☐(e) Other degree or above (with passes in at least two subjects in the above disciplines in (d))
其他学位或以上 (并取得不少于上述 (d)项任何两个科目的合格资格)

☐(f) Graduated from Secondary School / Post-Secondary School / College or above
高中毕业 / 预科 / 大专或以上

☐(g) None of the above
以上皆不适用

Risk Tolerance Assessment 风险承受能力评估总分 **Total Score**: ______________________

Client Confirmation 客户确认

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.
本人确认，本人的风险承受能力已在上述表格正确地陈述，而本人于风险承受能力问卷("本问卷")所提供的信息属完全真实,准确及完整。

   NOTE: If the client believes his/her Risk Tolerance Level Assessment Result is no longer valid, please contact Guosen Securities (HK) and complete a new RPQ for reassessment purposes.
注：如果客户认为其可承受能力的程度不再有效，请联系国信证券(香港)并重新完成一份新的风险评估问卷。

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，国信证券(香港)将根据以上提供之资料评估本人是否对相关投资工具的性质及风险有一般认识。除非国信证券(香港)收到本人的任何书面变更通知，否则他们有权完全倚赖该等资料作任何用途。本人有义务及时将可能影响适合性评估之个人情况变更通知国信证券(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.
本人承诺在必要时向国信证券(香港)提供任何合适之文件，以证明本人之资料评估。

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.
本问卷旨在根据本人当前的财务状况帮助国信证券(香港)了解本人的投资目标、投资期望、投资产品知识和经验以及风险承受能力、，以便国信证券(香港)在本人投资前可以进行适合性评估。

5. My answers to this RPQ will provide indications of the risk profile for a typical 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.
本人对此问卷的回复，将为风险承受能力的评估，提供具有本人个人投资特征的描述，然而，这可能无法准确反映本人的实际风险承受能力及任何投资产品对本人的适用性。本问卷及评估结果并不构成投资建议，亦不得视为建议游说买卖任何投资产品及服务。国信证券（香港）对本问卷内容及结果的准确性及完整性概不作出任何保证。

6. I confirm that I have been reminded and am aware that I should have adequate liquid funds to meet foreseen and unforeseen events.
本人确认本人已被提醒及了解到本人应有足够流动资金去应付可预见及不能预见的事件。

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.
本人确认上述的衍生产品知识已正确地陈述，而本人所提供的信息属正确及完整。

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.
本人确认明白必须先被评定为对衍生工具有认识及完全明白衍生工具的性质及风险，本人愿意承担潜在风险，并具备足以承担买卖衍生产品所带来的潜在的损失的资金，方可买卖衍生产品。

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.
本人承诺及确认国信证券(香港)已为本人就与衍生产品交易相关的风险提供解释说明，包括有关账户《条款与细则》及附件内以本人选择的语言（英文或中文）进行并已由本人阅读及完全理解或立即承诺完整阅读的风险披露声明。本人确认就本问卷内容及风险披露声明，本人已被给予足够的机会提出问题及寻求独立的专业意见，如有任何事项需要澄清，本人将进一步咨询国信证券(香港)及/或寻求独立专业意见。

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.
本人授权并同意国信证券(香港)使用本人于此问卷内由本人提供的信息，作为 (i) 开立或维持任何及所有本人于国信证券(香港)持有或将会持有之账户；(ii) 符合任何法律或法规之要求；及 (iii) 所有适用于相关账户之「证券交易条款与细则及附表」内的个人资料附件所载之其他用途。

11. In the event of any inconsistency between the English and Chinese versions of the RPQ, the English version shall prevail.
本问卷中、英文版如有抵触，以英文版为准。

Name 姓名: ____________________________ Passport/ID card No.护照/身份证号码: ____________________________________

Date 日期: ____________________________ Signature of Client 客户签署* ____

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 总分	Risk Tolerance Level 风险承受能力	Investor Characteristics 投资者特性	Investment Risk Profiles 风险承受能力解释
≤ 10	low risk 低风险	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. 属于能承受低投资风险的投资者；于金融投资方面只有有限的，或没有知识及经验。
11- 16	low to medium risk 低至中等风险	Moderate 稳健型	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. 属于能承受低至中度投资风险的投资者；于金融投资方面具有一定的知识或经验；及/或拥有稳定的财政能力，以承受投资带来的损失。
17-22	medium risk 中等风险	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. 属于能承受中度投资风险的投资者；于金融投资方面具有相当的知识或经验；及/或拥有良好的财政能力，以承受投资带来的损失。
23-31	high risk 高风险	Growth 增长型	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. 属于能承受高投资风险的投资者；于金融投资方面具有深度知识或经验；及/或拥有良好的财政能力，以承受投资带来的损失。
≥ 32	very high risk 极高风险	Aggressive 进取型	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. 属于能承受极高投资风险的投资者；于金融投资方面具有专业知识及经验；及/或拥有强健的财政能力，以承受投资带来的损失。