

Corporate Client Risk Profiling Questionnaire
公司客戶風險承受能力問卷

Name of Client 客戶姓名: _____

Account No. 帳戶號碼: _____

Notice to Client 客戶須知:

1. This Questionnaire is designed and intended to help GSIL¹ assess your company's investment risk profile. This Questionnaire does not constitute any offer, solicitation or recommendation of any investment product.
本問卷用以協助基業投資²評估貴公司的投資風險取向。本問卷並不構成任何投資產品的要約、招攬或建議。
2. GSIL is required to obtain information on your company's financial needs, objectives and current financial situation in order to perform product suitability obligations. Your company are advised to consult your company's financial adviser for further understanding of your company's own investment risk profile (if necessary).
為履行產品合適性的責任，基業投資需要貴公司提供有關財務需要、目標及現時財政狀況的資料。如有需要，建議貴公司諮詢貴公司的財務顧問以進一步了解貴公司的投資風險取向。
3. For questions on your company's financial and investment information, such as the amount of investable assets, total amount invested in a specific product, or investment experience, ALL your company's holdings and transactions (whether within GSIL or otherwise) should be taken into account.
有關貴公司的財務或投資資料之問題，例如可投資資產、某一產品的總投資金額或投資經驗等(包括在基業投資以內或其他方面)的所有資產及交易均應計算在內。
4. All information obtained in this Questionnaire will be used for the purposes specified in and kept confidential in accordance with our Personal Data Privacy Policy.
基業投資將會根據本公司的《個人私隱政策》內指明的用途使用，並根據上述的《個人私隱政策》保密處理本問卷所收集的資料。
5. Please complete Part A and Part B of this Questionnaire.
請填備本問卷的第 A 部份及第 B 部份。
6. Please circle the appropriate answer.
請圈出適合的答案。

PART A 第 A 部份

1. What is the average percentage of the net liquid assets that your company will set aside for investment?
貴公司用作投資的資金佔流動資產淨值的平均百分比是多少?
 - 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
2. Does your company employ any dedicated personnel responsible for making investment decisions?
貴公司有否聘用專責人員負責作出投資決定?
 - A. No, we do not have knowledge on making investment decisions.
沒有，本公司對如何作投資決定並沒有知識。
 - B. No, but we have a little knowledge on making investment decisions.
沒有，但本公司對如何作投資決定有少許知識。
 - C. No, but we have some knowledge on making investment decisions.
沒有，但本公司對如何作投資決定有一定知識。
 - D. No, but we have adequate knowledge on making investment decisions.
沒有，但本公司對如何作投資決定有足夠知識。
 - E. Yes, we have senior management with relevant professional qualifications to make investment decisions.
有，本公司擁有相關專業資格的管理層負責作出投資決定。
3. How many years of investment experience does your company have?
貴公司有多少年投資經驗?
 - A. No experience or less than 1 year 沒有經驗或少過 1 年
 - B. Between 1 and 3 years 1 至 3 年
 - C. Between 4 and 6 years 4 至 6 年
 - D. Between 7 and 10 years 7 至 10 年
 - E. Over 10 years 超過 10 年
4. How long is the expected investment horizon of your company?
貴公司的預計投資年期是多少?
 - A. Less than 1 year 少於 1 年
 - B. 1-3 years 1-3 年
 - C. 4-6 years 4-6 年
 - D. 7-10 years 7-10 年
 - E. Over 10 years 多於 10 年

¹ GSIL means Gear Securities Investment Limited.

² 基業投資指基業證券投資有限公司。

5. In general, how much liquid assets (including cash or highly liquid assets: e.g. foreign currency, bullion etc.) has your company reserved for monthly operational expenses?
 在一般情況下，貴公司會預留多少流動資金(包括現金或高流通性資產: 如外幣、黃金等) 作為每月營運開支儲備?
- A. Less than 3 months operation expenses 少於3個月的營運開支
 B. 3 months to less than 6 months operational expenses 3個月至6個月以下的營運開支
 C. 6 months to less than 9 months operational expenses 6個月至9個月以下的營運開支
 D. 9 months to less than 12 months operational expenses 9個月至12個月以下的營運開支
 E. 12 months or above operational expenses 12個月或以上的營運開支
6. Generally, the higher the expected return the higher price fluctuation may be involved. What level of annualized price fluctuation would your company generally be comfortable with?
 一般而言，預期較高回報，亦會涉及較高的價格波幅，貴公司可以接受以下哪個幅度的年度價格波幅？以下哪一段句子最能反映貴公司對風險的態度？
- A. No price fluctuation 沒有價格波幅
 B. Price fluctuates between -5% and +5% 價格波幅介乎-5%至+5%
 C. Price fluctuates between -10% and +10% 價格波幅介乎-10%至+10%
 D. Price fluctuates between -15% and +15% 價格波幅介乎-15%至+15%
 E. Price fluctuates between -20% and +20% 價格波幅介乎-20%至+20%
7. Which of the following statements best describes your company's investment attitude?
 下列那項陳述最能表達貴公司的投資取向？
- A. We are risk averse and don't want to take any risk.
 本公司不願意承受任何風險。
- B. We will try to avoid risks but minor ones are still acceptable.
 本公司會盡量迴避風險，但仍可承受較低的波動。
- C. We are willing to strike a balance between risks and returns.
 本公司會平衡風險與回報。
- D. We are willing to accept more risks, as we aim for more returns.
 本公司願意承受較高的風險，以換取更高回報。
- E. We never consider risks, as we aim to maximize returns.
 本公司不會考慮風險，務求得到最高回報。

PART B 第B部份

1. How long is your company's investment experience in the following products?
 貴公司在下列投資產品有多少年投資經驗？

Investment Products 投資產品	Investment Experience 投資經驗		
	No 沒有	3 years or below 3年或以下	Above 3 years 3年以上
Principal Protected Products (e.g. Certificate of Deposit, Principal Protected Structured Deposits/Notes) 保本產品 (例如：存款證、保本的結構性存款 / 票據)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign Currency 外幣	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Products (e.g. Bonds, Bond Investment, Funds) 定息投資產品 (例如：債券、債券基金)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Equity Investment Funds 股票投資基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investment Linked Assurance Scheme 投資相連保險計劃	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-principal Protected Structured Product (e.g. Equity Linked Products) 不保本結構性產品 (例如：股票掛鉤產品)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commodity/Derivatives/Leverage Products (e.g. Options, Futures, Warrants, Margin trading, Accumulator) 商品 / 衍生工具 / 槓桿產品 (例如：期權、期貨、認股權證、孖展交易、累計期權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. How many transactions have your company undertaken in the following investment products in the recent 3 years?
 在最近3年，貴公司在下列投資產品曾進行多少宗交易？

Investment Products 投資產品	No 沒有	Less than 5 transactions 少於5宗	5 transactions or above 5宗或以上
Principal Protected Products (e.g. Certificate of Deposit, Principal Protected Structured Deposits/Notes) 保本產品 (例如：存款證、保本的結構性存款 / 票據)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign Currency 外幣	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Fixed Income Products (e.g. Bonds, Bond Investment, Funds) 定息投資產品 (例如：債券、債券投資、基金)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Equity Investment Funds 股票投資基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investment Linked Assurance Scheme 投資相連保險計劃	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non Principal Protected Products (e.g. Equity Linked Products) 不保本結構性產品 (例如：股票掛鈎產品)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commodity/Derivatives/Leverage Products (e.g. Options, Futures, Warrants, Margin trading, Accumulator)商品 / 衍生工具 / 槓桿產品 (例如：期權、期貨、認股權證、孖展交易、累計期權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FOR OFFICE USE ONLY 僅供本公司使用					
Your Company's Risk Tolerance Level 貴公司的風險承受程度					
Total Score 總分: _____					
Your company risk tolerance level is: 貴公司的風險承受程度為：	<input type="checkbox"/> Conservative 穩健	<input type="checkbox"/> Balanced 均衡	<input type="checkbox"/> Balanced Growth 均衡增長	<input type="checkbox"/> Aggressive 進取	<input type="checkbox"/> Aggressive Growth 進取增長

Risk Profiling Classification 風險評估類別		
Total Score 總分	Risk Tolerance Level 風險承受程度	Investment Risk Profiles 投資風險剖析
7-15	Conservative 穩健	Conservative Investor means the investors who can tolerate low level of investment risk; have limited knowledge and experience in financial investment. 穩健投資者指屬於能承受低程度投資風險的投資者；於金融投資方面具有有限的知識及經驗。
16-20	Balanced 均衡	Balanced Investor means the investors who can tolerate low to medium level of investment risk; have some knowledge and experience in financial investment. 均衡投資者指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些知識及經驗。
21-25	Balanced Growth 均衡增長	Balanced Growth Investor means the investors who can tolerate medium level of investment risk; have reasonable knowledge or experience in financial investment; and/or have moderate financial capability to tolerate losses from investment. 均衡增長投資者指屬於能承受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來承受投資帶來的損失。
26-30	Aggressive 進取	Aggressive Investor means the investors who can tolerate medium to high level of investment risk; have considerable knowledge or experience in financial investment; and/or have strong financial capability to tolerate losses from investment. 進取投資者指屬於能承受中至高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來承受投資帶來的損失。
31-34	Aggressive Growth 進取增長	Aggressive Investor means the investors who can tolerate high level of investment risk; have extensive knowledge and experience in financial investment; and/or have solid financial capability to tolerate losses from investment. 進取增長投資者指屬於能承受高度投資風險的投資者；於金融投資方面具有廣泛知識及經驗；及/或擁有強健的財政能力來承受投資帶來的損失。

Customer Declaration and Acknowledgement 客戶聲明及確認:

- The results of this Individual Client Risk Profiling Questionnaire are derived from the information that our company have provided to GSIL. I acknowledge and confirm that the information our company provided in this Questionnaire is true, complete and correct, and that our company agree to my risk profile result assessed by this Questionnaire and our company have been provided with a copy of this Questionnaire.

「個人客戶風險承受能力問卷」的結果是從本公司向基業投資提供的資料而得出。本公司確認於此問卷所提供的資料是真實、完整及正確的，並確認本公司同意此問卷評估本公司所屬的風險取向結果及本公司已獲得此問卷副本一份。

- Our company understand that the Client Risk Profiling Questionnaire aim at assessing our investment risk profile in order to assist us in choosing suitable investment portfolio. The result is only one of the factors we may take into account when investing and shall not be treated as any opinion on investment. Our investment decision may be different from the above result but we should consider carefully our investment objective and risk tolerance ability. We may seek for independent professional consultant before making any investment decision(s).

本公司明白此「客戶風險承受能力問卷」之目的在於評估本公司的投資風險取向，從而協助本公司選擇合適的投資組合，但所得之結果僅為本公司提供眾投資考慮因素之一，並不能視為投資意見。本公司的投資決定可能會與以上分析結果不同，惟本公司在作出投資決定前，應謹慎考慮本公司的投資目標、承擔風險的能力，並諮詢獨立專業意見。

Client Signature 客戶簽署

AE Signature 業務經理簽署

AE Name: _____ (Code: _____)

For Office Use Only					
Signature verified by:		Reviewed by:			
Staff Name:		Staff Name:			
<input type="checkbox"/> Copy provided to Client					
Phone confirmed by:		Ext No.:		Date & Time:	
Name:					
Code:					