

**投資評估問卷（公司客戶）**  
**Investment Profile Questionnaire （Corporate Client）**

客戶名稱 Name of Client: \_\_\_\_\_

賬戶號碼 Account Number: \_\_\_\_\_

**重要提示 Important Note**

本問卷旨在了解閣下的風險取向及投資需要。本問卷有助於我們了解閣下的投資目標、投資年期、對投資產品之知識和經驗水平以及可承受風險的能力，並協助閣下做投資適合性評估之用。本問卷的范围并非详尽无遗以涵盖閣下在投资时应考虑的所有因素，并且不能涵盖閣下的所有情况。 This Questionnaire is intended to assess the risk profile and investment needs. This Questionnaire helps us to understand your investment objective, investment horizon, level of knowledge and experience in investment products, and risk tolerance level. The scope of this Questionnaire is not meant to be exhaustive to cover all aspects of the factors you should take into consideration when investing, and it does not capture all your circumstances.

本問卷及其結果僅供參考。貴公司對本問卷進行回答所產生之結果將會是對一般投資偏好的描述，但這並不代表是在考慮閣下的所有情況之後而現實閣下的特定及實際投資取向。本問卷及其結果並不構成對任何投資產品交易的要約或招攬，也不應視為任何投資意見或建議。 This Questionnaire and the results thereof are for your reference only. Your answers to this Questionnaire will generate results that describe the general investor appetite, which, however, may not necessarily represent your specific and actual investment profile having regard to all your circumstances. This Questionnaire and the results thereof do not constitute any offer of solicitation to trade in any investment product and should not be considered as any investment advice or recommendation.

本問卷產生之結果將基於貴公司所提供之資料。如果閣下未能提供完整、準確和最新的資料，將會影響該結果。 The results generated from this Questionnaire will be based on the information you provide and any failure by you to provide complete, accurate and up-to-date information will affect such results.

本問卷結果將由最近一次更新日其 12 個月內有效。閣下應每年填寫一份新的我問卷，以便本公司更新閣下的風險取向。此外，如果閣下的情況有任何變化，應立即通知本公司，並應按本公司要求填寫一份新的問卷。 The results of this Questionnaire will be valid for 12 months form the last updated date. You should complete a new questionnaire annually in order for us to update your risk profile. Also, if there are any changes to your circumstances, you shall inform us promptly and should complete a new questionnaire as requested by us.

注：本問卷應由貴公司作出投資決定之授權簽署人填寫及簽署。請回答本問卷中的所有問題（如適用）。

Note: This Questionnaire shall be completed by the authorized signatory who makes investment decisions on behalf of the company. Please answer ALL questions in this Questionnaire (as applicable).

## A 部分. 風險偏好及風險承受能力 Risk Appetite and Tolerance

1. 貴公司會把多少淨值總額撥作金融投資? What is the percentage of total net worth will be allocate to financial investment?
 

A.) <input type="checkbox"/> 少於 10%	Less than 10%	(1)
B.) <input type="checkbox"/> 10%至 20%	10% to 20%	(2)
C.) <input type="checkbox"/> 21%至 30%	21% to 30%	(3)
D.) <input type="checkbox"/> 31%至 50%	31% to 50%	(4)
E.) <input type="checkbox"/> 多於 50%	More than 50%	(5)
  
2. 下列答題選項顯示 5 種不同投資組合於投資期的波動水平, 您會選擇哪項投資? Below shows the volatility of 5 types of investment portfolio during relevant investment period, which one will you chose?
 

A.) <input type="checkbox"/> -5% 至 +5% 波動	-5% to +5% volatility	(0)
B.) <input type="checkbox"/> -15% 至 +15% 波動	-15% to +15% volatility	(2)
C.) <input type="checkbox"/> -30% 至 +30% 波動	-30% to +30% volatility	(3)
D.) <input type="checkbox"/> -50% 至 +50% 波動	-50% to +50% volatility	(4)
E.) <input type="checkbox"/> -50% 以上 至 +50% 以上波動	above -50% to above +50% volatility	(5)
  
3. 以下哪一句子最能貼切描述貴公司對金融投資的一般態度? Which statement can best describe the general attitude of your company towards financial investment?
 

A.) <input type="checkbox"/> 本公司不能接受任何價格波動, 並且對賺取投資回報不感興趣。We cannot put up with any price	fluctuation and have no interest on earnings.	(0)
B.) <input type="checkbox"/> 本公司只能接受較小幅度的價格波動, 並且僅希望賺取稍高於銀行存款利率的回報。We can only	put up with little price fluctuation and wish to have earnings slightly higher than bank deposit rates.	(1)
C.) <input type="checkbox"/> 本公司可接受若干價格波幅, 並希望賺取高於銀行存款利率的回報。We can put up with some	price fluctuation and wish to have earnings much better than bank deposit rates.	(3)
D.) <input type="checkbox"/> 本公司可接受大幅度的價格波動, 並希望賺取與股市指數表現相若的回報。We can put up with	high degree of price fluctuation and wish to have earnings comparable to stock market indexes.	(4)
E.) <input type="checkbox"/> 本公司可接受任何幅度的價格波動, 並希望回報能跑贏股市指數。We can put up with any price	fluctuation and wish to have earnings remarkably higher than stock market indexes.	(5)
  
4. 如果貴公司的投資價值在六個月內大幅下降 30%, 貴公司將如何應對? How would you react if the markets you invest in were to drop by 30% within a six month period?
 

A.) <input type="checkbox"/> 不做任何策略性考慮而進行止損 Cut loss without any strategic consideration.		(1)
B.) <input type="checkbox"/> 觀察投資情況是否有改善并可能會理性的止損 Wait to see if investment improved and may cut	loss rationally.	(2)
C.) <input type="checkbox"/> 理解市場波動時不可避免的, 并用長期投資角度繼續保持既定的投資策略 Understand market	fluctuations are unavoidable, would take a longer term view and maintain current strategy and positions.	(3)
D.) <input type="checkbox"/> 進行仔細深度分析并重新配置投資組合 Undergo in-depth analysis and reallocate the investment	portfolio	(4)
E.) <input type="checkbox"/> 如果認為市場呈現出投資機會, 會增加投資 If the market presents opportunities, would increase	current positions.	(5)
  
5. 貴公司對使用杠杠以獲得更高的投資回報率的意願程度是怎樣的? How would you rank your willingness to use leverage to further enhance returns on investment?
 

A.) <input type="checkbox"/> 較高意願	High	(5)
B.) <input type="checkbox"/> 一般意願	Moderate	(4)
C.) <input type="checkbox"/> 較低意願	Low	(3)
D.) <input type="checkbox"/> 無意願	None	(0)

## B 部分. 投資年期及流動性 Investment Time Horizon and Liquidity

6. 一般而言, 投資年期越長, 投資者承受風險就越高。貴公司會選擇那種投資期限? It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What is the expected investment horizon of your entire investment portfolio?
- A.) ☐ 少於 1 年 Less than 1 year (1)
- B.) ☐ 1 至 3 年 1 to 3 years (2)
- C.) ☐ 3 至 5 年 3 to 5 years (3)
- D.) ☐ 5 至 10 年 5 to 10 years (4)
- E.) ☐ 超過 10 年 More than 10 years (5)
7. 貴公司會預留多少百分比的淨流動資產 (即現金或容易變為現金的資產如外幣、金銀條、自由買賣的證券等) 作金融投資? What is the percentage of net liquid asset (i.e. cash or assets easily converted into cash, for example, foreign currencies, bullion, and freely tradable securities) that your company will set aside for financial investment?
- A.) ☐ 少於 10% Less than 10% (1)
- B.) ☐ 10%至 20% 10% to 20% (2)
- C.) ☐ 21%至 30% 21% to 30% (3)
- D.) ☐ 31%至 50% 31% to 50% (5)
- E.) ☐ 多於 50% More than 50% (5)
8. 以平均每月營運開支計算, 貴公司預留以應付不時之需的金額為多少? In terms of average monthly operational expenses, how much does your company set aside for emergency use?
- A.) ☐ 少於 1 個月的營運開支 Less than 1-month operational expenses (0)
- B.) ☐ 1 至 6 個月以下的營運開支 1-month to less than 6-month operational expenses (1)
- C.) ☐ 6 至 12 個月以下的營運開支 6-month to less than 12-month operational expenses (3)
- D.) ☐ 12 至 24 個月以下的營運開支 12-month to less than 24-month operational expenses (4)
- E.) ☐ 24 個月或以上的營運開支 24-month or more operational expenses (5)
9. 假如經濟發展速度放緩, 貴公司預計未來 5 年的淨營業利潤趨勢如何? (對於非營利組織而言, 請使用淨現金流). How do you expect your net operating profit trend in the coming 5 years assuming that the economy may slow down? (For non-profit making organizations, please use new cash flows.)
- A.) ☐ 非常穩定, 且超過經濟增長 Very stable and outpacing economic growth (5)
- B.) ☐ 穩定 Stable (4)
- C.) ☐ 不穩定, 但虧損可能性較小 Unstable with low chance to suffer from loss (2)
- D.) ☐ 不穩定, 且虧損可能性較大 Unstable with high chance to suffer from loss (1)

## C 部分. 投資知識、經驗及專業性 Investment Knowledge, Experience and Expertise

10. 貴公司是否擁有合資格的專業人員負責投資/對沖決策? Does your company have any qualified professionals to make investment / hedging decisions?
- A.) ☐ 是, 公司內部擁有一個獨立部門/團隊, 負責投資/對沖決策。 Yes, we have an independent division / team within our company to make investment / hedging decision. (5)
- B.) ☐ 是, 我們的高級管理層具備專業資格, 可負責投資/對沖決策。 Yes, we have senior management with relevant professional qualifications to make investment / hedging decisions. (4)
- C.) ☐ 否, 但我們對金融投資有足夠的認識。 No, but we have adequate knowledge in financial investment. (3)
- D.) ☐ 否, 但我們對金融投資略有認識。 No, but we have some knowledge in financial investment. (2)
- E.) ☐ 否, 我們對金融投資認識不多。 No, we have little knowledge in financial investment. (1)

**11.請貴公司描述對以下非複雜性投資產品的認知及經驗 Please tick the appropriate boxes below to indicate your investment knowledge and experiences with non-complex investment products.**

投資經驗 Investment experience  投資產品 Products	Nil 無經驗 (Score:0)	Less than 1 year of experience 少於 1 年經驗 (Score:1)	1 year to 3 years of experience 1 年至 3 年經驗. (Score:1)	3 years to 10 years of experience 3 年至 10 年經 驗 (Score:3)	More than 10 years of experience 10 年以上經驗 (Score:5)
股票 Equity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
互惠基金，交易所交易基金， 單位信託 Mutual Funds, Exchange Traded Funds, Unit Trusts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
固定收益產品 Fixed Income Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Score 得分</b> *The score is derived from the highest point which your company have obtained from the above items 得分來自貴公司從上述項目獲得的最高分數。					

**12. 請貴公司描述對下列複雜及/或衍生出產品的認知及投資經驗 Please tick the appropriate boxes below to indicate your investment knowledge and experiences with complex and/or derivative products.**

投資經驗 Investment experience  投資產品 Products	Nil 無經驗 (Score:0)	Less than 1 year of experience 少於 1 年經驗 (Score:1)	1 year to 3 years of experience 1 年至 3 年經驗. (Score:1)	3 years to 10 years of experience 3 年至 10 年經 驗 (Score:3)	More than 10 years of experience 10 年以上經驗 (Score:5)
認股證 Warrants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
股票期權 Stock Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
槓桿式外匯 Leveraged Forex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
期貨及期權 Futures and Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
對沖基金 Hedge Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
結構性票據 如雙重貨幣票據、股票掛鈎票 據、觸及取消股票掛鈎票據、每日累計可 贖回票據、股票掛鈎投資工具 Structured Notes (e.g. DCN, ELN, KO ELN, DAC,ELI)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
場外市場掉期（如累積認購期權合約、累 積認沽期權合約） OTC Swap (e.g. accumulator, decumulator)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
其他衍生產品(包括但不限於 牛熊證、股 票掛鈎票據、結構性基金、有衍生特性的 交易所買賣基金及可換股債券等)Other Derivative Products (including but not limited to: Callable Bull/Bear Contracts, Equity Linked Instruments, Structured Funds, Exchange Traded Funds with Derivative Nature and Convertible Bonds etc)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Score 得分</b> *The score is derived from the highest point which your company have obtained from the above items 得分來自貴公司從上述項目獲得的最高分數。					

<b>A、B、C 部分總分：</b> <b>Total Score for Part A, B, C:</b>	
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### 風險評估結果 Risk Profiles Result

風險承受能力 Risk Tolerance		風險描述 Risk Description	適合該類投資者的投資產品 Products that suitable for them
<input type="checkbox"/>	保守型 Conservative (≤12)	閣下希望盡量避免風險，希望有輕微的資本增長機會，明白及願意承受輕微程度的資本風險。 You are risk adverse, willing and able to take low risks, while generating minimal returns and maintain low investment risk.	PRC 1 低風險產品 Low Risk Product
<input type="checkbox"/>	平穩型 Moderate (13-24)	閣下希望有低至中等程度的資本增值機會，明白及願意承受低至中等程度的資本風險。 You are willing and able to accept low to moderate level of risk and have preference to income.	PRC 2 低至中風險產品 Low to Medium Risk Product
<input type="checkbox"/>	平衡型 Balanced (25-36)	閣下希望有中等程度的資本增值機會，明白及願意承受中等程度的資本風險。 You want a combination of modest income and capital appreciation and willing to accept moderate level of risk.	PRC 3 中風險產品 Medium Risk Product
<input type="checkbox"/>	平穩進取型 Enhanced (37-48)	閣下希望有投資得到較高的資本增值機會，明白及願意承受較高程度的資本風險 You want the potential for capital appreciation and willing to accept moderate to high level of risk.	PRC 4 中至高風險產品 Medium to High Risk Product
<input type="checkbox"/>	進取型 Aggressive (≥49)	閣下希望投資有大幅度的資本增值，明白及願意承受大幅度的資本風險 You are willing to actively participate in speculative investments in order to seek enhanced returns. You are willing to accept very high level of risk.	PRC 5 高風險產品 High Risk Product

◆ 由於問題可選多於一項答案，計算時請選用得分最高的答案。

As the question allows multiple answers, only the answer carrying the highest score is used in the calculation.

# (i)如問題 2 或問題 3 答案選擇為 “A”，即使客戶總評分為屬於平穩型（13-24）、平衡型(25-36)、平穩進取型(37-48)或進取型(≥49)，客戶最終可承受的風險程度會被調低為保守型(≤12)；或

If answer of Question 2 OR Question 3 is selected “A”, even the total risk score of the client is belong to Moderate (13-24), Balanced (25-36), Enhanced (37-48) or Aggressive (≥49), the final risk tolerance of client will be adjusted to Conservative (≤12); OR

(ii)如問題 2 及問題 3 答案均選擇為 “B”，即使客戶總評分為屬於平衡型(25-36)、平穩進取型(37-48)或進取型(≥49)，客戶最終可承受的風險程度會被調低為平穩型（13-24）。

If answer of Question 2 AND Question 3 are both selected “B”, even the total risk score of the client is belong to Balanced (25-36), Enhanced (37-48) or Aggressive (≥49), the final risk tolerance of client will be adjusted to Moderate (13-24).

(iii)如問題 8 答案均選擇為 “A”，即使客戶總評分為屬於平穩進取型(37-48)或進取型(≥49)，客戶最終可承受的風險程度會被調低為平衡型(25-36)。

If answer of Question 8 are selected “A”, even the total risk score of the client is belong to Enhanced (37-48) or Aggressive (≥49), the final risk tolerance of client will be adjusted to Balanced (25-36).

(iv)如問題 9 答案均選擇為 “D”，即使客戶總評分為屬於平穩進取型(37-48)或進取型(≥49)，客戶最終可承受的風險程度會被調低為平衡型(25-36)。

If answer of Question 9 are selected “D”, even the total risk score of the client is belong to Enhanced (37-48) or Aggressive (≥49), the final risk tolerance of client will be adjusted to Balanced (25-36).



#### D 部分. 客戶確認 Client Confirmation

1. 我們明白於本問卷上提供之資料，作為我們在聚合金融服務有限公司的風險取向的記錄更新是自願的。倘未能提供有關資料，我們的風險取向將不獲更新。 We understand that the provision of information in this questionnaire is voluntary for the purposes of updating our risk profile on record with Future Growth Financial Services Limited. If we fail to provide the information, our risk profile will not be updated.
2. 我們確認已得到提醒及了解我們應有足夠流動資金去應付可預見及不可預見的事件。 We confirm that we have been reminded and are aware that we should have adequate liquid funds to meet foreseen and unforeseen events.
3. 我們確認上述的衍生產品知識已正確的描述，而本人所提供的資料屬正確及完整的。 We confirm that our knowledge of derivative products and is correctly stated above and that the information we supplied is accurate and complete.
4. 我們授權并同意聚合金融服務有限公司、其每一間子公司、聯營公司及有聯繫公司，包括但不限於聚合金融服務有限公司及聚合資產管理有限公司(統稱「聚合金融」)使用本人於此問卷內提供的資料，作為 (i) 開立及維持任何及所有我們現時或將來在聚合金融持有的任何和所有賬戶，(ii) 遵守任何法律和/或監管要求，及 (iii) 所有適用於相關賬戶之《客戶協議及附件》內的個人資料附件所載之其他用途。 We hereby authorize, and give our consent to Future Growth Financial Services Limited and each and every subsidiary company, associated company and affiliate of company, including but not limited to Future Growth Financial Services Limited and Future Growth Asset Management Limited (collectively, the "Future Growth") to use the information provided by us in this form for the purposes of (i) opening and maintaining any and all of our account(s) held with or to be held with the Future Growth; (ii) complying with any legal and/or regulatory requirements, and (iii) fulfilling all other aspects set out in the relevant Personal Data Schedule of the Client Agreement and Schedules applicable to the relevant account.
5. 我們確認，本問卷中或授權代表我們作出投資決定之人所具備之投資知識和經驗所提供的相關資料均已在上文正確載明，並且我們或該授權人士提供的資料屬真實、準確及完整的。 We confirm that the information concerning investment knowledge and experience in this Questionnaire in respect of the person(s) who is/are authorized to make investment decisions for and on our behalf is correctly stated above and that the information we or such authorized person supplied is true, accurate and complete.
6. 我們可致函聚合金融服務有限公司個人資料主任，要求查閱及更改我們的個人資料。 We have a right to request access to and correction of my personal data by writing to the Privacy Officer, Future Growth Financial Services Limited.
7. 我們明白及同意本問卷及測試結果僅供參考，並不構成投資建議，亦不得視為建議游說買賣任何投資產品或服務。聚合金融服務有限公司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。本問卷並非全面的理財策劃工具，不能取代獨立的專業意見。 We understand and agree that this risk profile questionnaire and the results should not be regarded as investment advice on, an offer to sell, or a solicitation for an offer to purchase any investment products or services. Future Growth Financial Services Limited accepts no responsibility or liability as to the accuracy or completeness of the information provided in this questionnaire and the results. This questionnaire is not a comprehensive financial planning tool and is not a substitute for independent professional advice.
8. 我們特此確認 I hereby confirm that:
  - 我們同意評估結果 We agree with the assessment results.
  - 我們不同意以上評估結果，並認為以下更為保守的風險接受程度更適合我們。我們同意以下選定的風險接受程度將存於聚合金融予以記錄。 We disagree with the above results of this Questionnaire, and believe that the risk tolerance level selected below, which is more prudent, is more suitable to us. We confirm that the risk tolerance level selected below will be the risk tolerance captured in the Future Growth's record.

保守型 Conservative	平穩型 Moderate	平衡型 Balanced	平穩進取型 Enhanced	進取型 Aggressive
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

獲授權人士簽署 Signature of Authorised Person

獲授權人士姓名 Name of Authorised Person:

日期 (日/月/年) Date (DD/MM/YYYY) :

獲授權人士簽署 Signature of Authorised Person

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日期 (日/月/年) Date (DD/MM/YYYY) :