廣發証券(香港)經紀有限公司
GF SECURITIES (HONG KONG) BROKERAGE LIMITED

風險取向問卷 (公司賬戶適用)

Risk Profiling Questionnaire (For Corporate Account)

本問卷旨在評估 貴公司對風險的態度及對投資風險的承受程度，未必能準確反映 貴公司的實際可接受的風險水平。如有需要，請尋求專業意見。 This questionnaire is designed to help assess your company's attitude towards risk and risk tolerance level. It may not accurately reflect your company's actual risk tolerance level. If necessary, please seek professional advice.

本問卷應由 貴公司的授權人填寫及簽署

**This questionnaire should be completed and signed by the authorized person(s) of your company. **

A 部分：投資目標 Section A: Investment Objective

1) 以下哪一項最適合形容 貴公司的投資目標？ **Which of the following best describes your company's investment objective?**

☐ A) 保本 - 傾向資本保障 /較謹慎的投資以賺取相當於 短期貨幣市場利率的回報。本公司於任何時候均不願意承受投資有任何損失。****
Capital Preservation - A preference for preservation / relative safety of invested capital with returns in line with short-term money market rates. We are not willing to assume any financial loss on any investment at any point in time. ****

☐ B) 收益為本 - 傾向主要以提供穩定收益為目標的投資，而非追求資本增值。本公司只願意承受非常低之投資風險 (投資組合價值下跌介乎 1% - 10 %)
Income Oriented - A preference for investments primarily intended to generate income rather than achieve appreciation of capital. We are only comfortable in taking a very low level of investment risk (Investment portfolio value loss from 1% - 10%)

☐ C) 收益及增長 - 傾向收益及資本增值比重均衡的投資或投資策略。本公司願意承受低至中等水平的投資風險 (投資組合價值下跌介乎 >10% - 15%)
Income & Growth - A preference for investments or investment strategies that aim to provide a balance of income and capital appreciation. We are willing to take a low to moderate level of investment risk (Investment portfolio value loss from >10% - 15%)

☐ D) 增長為本 - 傾向以主要提供資本增值而較少比重於固定收益回報為目標的投資或投資策略。本公司願意承受中等至高水平的投資風險 (投資組合價值下跌介乎>15% - 20%)
Growth Oriented - A preference for investments or investment strategies that typically aim to provide mostly capital appreciation with less emphasis on regular income returns. We are willing to take a moderate to high

level of investment risk (Investment portfolio value loss from >15% - 20%)

☐ E) 高增長 - 傾向積極地追求高資本增值的投資或投資策略。本公司願意承受高水平的投資風險 (投資組合價值下跌介乎>20% - 30%)
High Growth - A preference for investments or investment strategies that seek exclusively to provide aggressive capital appreciation over time. We are willing to take a high level of investment risk (Investment portfolio value loss from >20% - 30%)

☐ F) 市場投機 - 傾向利用金融資產的短期定價異常以積極地追求高資本增值的投資或交易策略。本公司願意承受非常高水平的投資風險 (投資組合價值下跌>30%)
Market Speculation - A preference for investments or trading strategies that seek exclusively to provide aggressive capital appreciation through exploiting short-term pricing anomalies among financial assets. We are willing to take an extremely high level of investment risk (Investment portfolio value loss >30%)

****如 貴公司選擇此答案，為保障 貴公司的利益，廣發証券（香港）經紀有限公司將把 貴公司的風險取向定為 1：保守，而不會參照 貴公司於其他問題中的選項。因此，我們不會接受 貴公司認購低風險（如貨幣市場基金和流動基金）以外的產品。 If your company chooses this answer, in order to protect your company's interest GF Securities (Hong Kong) Brokerage Limited will profile your company as Risk Profile 1: Conservative, irrespective of your company's selections in other questions. As a consequence, we will not accept your company's subscription instruction other than for low risk products. (e.g. money market funds and liquidity funds).

2) 貴公司預期中的投資年期為多久？What is your company's expected investment horizon?

☐ A) 少於 1 年 Less than 1 year

☐ B) 1 年至 3 年 1 year to 3 years

☐ C) 3 年至 5 年 3 years to 5 years

☐ D) 5 年至 10 年 5 years to 10 years

☐ E) 10 年以上 More than 10 years

3) 貴公司期望每年的投資回報率為多少? What is your company's target annualized investment rate of return?

☐ A) 5%或以下 5% or below

☐ B) 5%至 10% Between 5% and 10%

☐ C) 10%至 15% Between 10% and 15%

☐ D) 15%至 20% Between 15% and 20%

☐ E) 20%或以上 20% or above

B 部分：風險承受水平 **Section B: Risk Tolerance Level**

4) 貴公司會願意投資於價值波動程度多大的產品？**What level of fluctuation in the value of products will your company be willing to commit?**

注意：您的答案應反映於一般情況下 貴公司能接受投資產品價值的波動程度。Note: Your answer should reflect the volatility level of investment product value which your company could accept under normal circumstances.

☐ 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 Fluctuation between -10% and +10%
☐ C) 於-15%至+15%之間的波動 Fluctuation between -15% and +15%
☐ D) 於-20%至+20%之間的波動 Fluctuation between -20% and +20%
☐ E) 於-20%以下至+20%以上之間的波動 Fluctuation more than -20% and +20%

5) 如 貴公司的整體投資組合價值下跌超過 **30%**，將如可以影響 貴公司**? If your company's overall investment portfolio falls more than 30% in value, how would your company be affected?**

☐ A) 沒有影響 No impact
☐ B) 輕微影響 Slight impact
☐ C) 中等影響 Medium impact
☐ D) 嚴重影響 Significant impact
☐ E) 不能承受 Intolerable

C 部分：財務狀況 **Section C: Financial Profile**

6) 貴公司預計未來五年可投資之金額會怎樣**? How does your company expect future investable amount over the next five years?**

☐ A) 預計可投資之金額會急速上升 Expect the investable amount will increase sharply
☐ B) 預計可投資之金額會逐漸上升 Expect the investable amount will increase gradually
☐ C) 預計可投資之金額會維持不變 Expect the investable amount will remain unchanged
☐ D) 預計可投資之金額會逐漸減少 Expect the investable amount will decrease gradually
☐ E) 預計可投資之金額會急速減少 Expect the investable amount will decrease sharply

7) 貴公司在最近五年的純利狀況是？**What is your company's net profit status in the last five years?**

☐ A) 非常不穩定 Very unstable
☐ B) 不穩定 Unstable
☐ C) 尚算穩定 Somewhat stable
☐ D) 穩定並與經濟增長看齊 Stable and in line with economic growth
☐ E) 穩定並領先經濟增長 Stable and outpacing economic growth

8) 貴公司希望此理財戶口的投資佔 貴公司的流動資產淨值多少個百分比？**How many percent of your company's liquid net worth you'd like to invest in this account?**

☐ A) 少於 10% Less than 10%

☐ B) 10%至 25% Between 10% and 25%

☐ C) 25%至 50% Between 25% and 50%

☐ D) 多於 50% More than 50%

9) 貴公司會依賴此理財戶口內的多少資產百分比，包括所有收入，以應付 貴公司年度的開支？**How many percent of the assets in this account, including any earnings, will your company rely on to cover your company's annual expense?**

☐ A) 少於 10% Less than 10%

☐ B) 10%至 25% Between 10% and 25%

☐ C) 25%至 50% Between 25% and 50%

☐ D) 多於 50% More than 50%

D 部分：投資知識及經驗 Section D: Investment Knowledge and Experience

10) 貴公司各獲授權人對金融市場和投資的整體認識有多少**? What is the overall knowledge of your company's authorized person(s) on financial markets and investments?**

☐ A) 沒有認識：本公司各獲授權人對金融市場和投資完全沒有任何認識。None: The authorized person(s) of our company have no knowledge of financial markets and Investment.

☐ B) 低水平：本公司各獲授權人對金融市場只有一些基本知識，例如股票和債券的分別。Low: The authorized person(s) of our company have only some basic knowledge of financial markets such as differences between stocks and bonds.

☐ C) 中等水平：本公司各獲授權人達基本知識以上的水平，明白分散投資的重要性，並作出分散投資（即把資金配置於不同類別的投資，以分散風險）。Medium: The authorized person(s) of our company have above basic knowledge and understand the importance of diversification and practice it (i.e., Our company has invested in different types of investment to diversify the risks).

☐ D) 高水平：本公司各獲授權人懂得閱讀一家公司的財務報告（即損益表及資產負債表），並明白影響股票和債券價格的因素。High: The authorized person(s) of our company know how to read a company's financial reports (i.e., profit and loss statements and balance sheet) and understand the factors affecting the prices of stocks and bonds.

☐ E) 精通：本公司各獲授權人熟識大部分金融產品（包括債券、股票、認股權證、期權及期貨），並明白可能影響這些金融產品的風險和表現的各項因素。Advanced: The authorized person(s) of our company are familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand the various factors that may affect the risk and performance of these financial products.

11) 在過往一年，貴公司曾執行過多少次投資交易**? In the past year, how many investment transactions did your company execute?**

☐ A) 少於 10 次交易 Less than 10 transactions

☐ B) 10 至 30 次交易 Between 10 and 30 transactions

☐ C) 31 至 50 次交易 Between 31 and 50 transactions

☐ D) 超過 50 次交易 Over 50 transactions

12) 貴公司各獲授權人在過去 **3** 年有否曾投資以下產品？**Have your company's authorized person(s) invested in the following products in the past 3 years?**

12.1	外幣 Currency (例如:外匯買賣、貨幣掛鈎存款 e.g.: Foreign Exchange or Currency Linked Deposit)	☐有 Yes ☐沒有 No
*12.2	※衍生工具 - 保本結構性產品 ※Derivatives Products – Principal Protected Structural Products (例如:保本結構性存款／票據 e.g.: Principal Protected Structure Deposit / Note)	☐有 Yes ☐沒有 No
*12.3	※衍生工具 - 非保本結構性產品 ※Derivatives Products – Non Principal Protected Structural Products (例如: 高息貨幣掛鈎存款、股票掛鈎票據、非保本結構性票據 e.g.: High Yield Currency Linked Deposit, Equity Linked Note and Non Principal Protected Structure Note)	☐有 Yes ☐沒有 No
12.4	固定收入工具 Fixed Income Instrument (例如: 債券 e.g.: Bond) ※具有某些特點的債券 Bonds which contain some special features	☐有 Yes ☐沒有 No
12.5	互惠基金 Mutual Fund ※衍生產品基金及對沖基金 Derivative Funds and Hedge Funds	☐有 Yes ☐沒有 No
12.6	股票 Stock	☐有 Yes ☐沒有 No
*12.7	※交易所交易的衍生工具 Exchange-traded derivatives (例如:期權、期貨、認股權證、槓桿交易或可贖回牛證熊證 e.g.: Options, Futures, Warrant, Margin trade or Callable Bull/Bear Contracts)	☐有 Yes ☐沒有 No

*如問題 **12.2**，**12.3** 或 **12.7** 的答案是"沒有" ，請於第 **7** 頁提供資料

Please provide information in p.7 if the answer is "No" for Question 12.2, 12.3 or 12.7

※複雜產品 包括但不限於 Complex Product including but not limited to

1. 於期交所買賣的期貨合約；
   Futures contracts traded on the HKFE;
2. 於聯交所買賣的股票衍生工具（例如衍生權證、牛熊證及上市認股權）；
   Equity derivatives traded on the SEHK (e.g., DWs, CBBCs and listed share options);
3. 證監會認可及於聯交所買賣的合成 ETF 及期貨 ETF；
   Synthetic ETFs and futures-based ETFs authorized by the SFC and traded on the SEHK;
4. 證監會認可及於聯交所買賣的槓桿及反向產品；
   L&I products authorized by the SFC and traded on the SEHK;
5. 複雜債券 - 複雜債券是指具有某些特點的債券（包括（但不限於）屬永續性質或後償性質的債券，或那些具有浮息或延遲派付利息條款、可延遲到期日，或那些屬可換股或可交換性質或具有或然撇減或彌補虧損特點的債券，或那些具備非單一信貸支持提供者及結構的債券）及／或由一項或以上特點組成的債券；
   Complex bonds. Complex bonds are bonds with special features (including, but not limited to, perpetual or subordinated bonds, or those with variable or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures) and/or bonds comprising one or more special features;
6. 證監會根據《單位信託守則》認可並屬於衍生產品基金的基金；
   Funds authorized by the SFC under the UT Code which are derivative funds;
7. 證監會根據《單位信託守則》第 8.7 條認可的基金（即證監會認可對沖基金）；
   Funds authorized by the SFC under 8.7 of the UT Code (ie, SFC-authorized hedge funds);
8. 證監會認可的非上市結構性投資產品（包括證監會認可股票掛鈎存款、股票掛鈎投資工具／投資等）；
   SFC-authorized unlisted structured investment products (including SFC-authorized equity-linked deposits, equity-linked instruments/investments, etc.);
9. 其他並非在交易所買賣的結構性投資產品；及
   Other non-exchange-traded structured investment products; and
10. 證監會可能不時指明的任何其他投資產品。
    Any other investment product the SFC may specify from time to time.

承上，如問題 **12.2**，**12.3** 及 **12.7** 的答案是“沒有”，請提供以下資料:

As above, please provide below information if the answer is "No" for Question 12.2, 12.3 and 12.7

12.2 衍生工具 - 保本結構性產品 **Derivatives Products – Principal Protected Structural Products**

A) 您是否曾接受過任何由銀行或金融機構所提供的有關衍生工具的培訓或課程？

Have you ever received any training or courses on derivatives offered by banks or financial institutions?

☐有，請提供機構及課程名稱____

Yes, please provide the institution and course name________________________________

☐沒有 No

B) 您有否接受過任何由教育機構或專業團體所提供的有關衍生工具的培訓或課程？

Have you ever received any training or courses on derivatives offered by educational institutions or professional bodies?

☐有，請提供教育機構及課程名稱____

Yes, please provide the institution and course name_________________________________

☐沒有 No

C) 您是否具有與衍生產品有關的工作經驗？

Do you have work experience related to derivatives?

☐有，請提供僱主名稱及職位____

Yes, please provide the employer name and position_________________________________

☐沒有 No

12.3 衍生工具 - 非保本結構性產品 **Derivatives Products – Non-Principal Protected Structural Products**

A) 您是否曾接受過任何由銀行或金融機構所提供的有關衍生工具的培訓或課程？

Have you ever received any training or courses on derivatives offered by banks or financial institutions?

□有，請提供機構及課程名稱____

Yes, please provide the institution and course name________________________________

□沒有 No

B) 您有否接受過任何由教育機構或專業團體所提供的有關衍生工具的培訓或課程？

Have you ever received any training or courses on derivatives offered by educational institutions or professional bodies?

□有，請提供教育機構及課程名稱____

Yes, please provide the institution and course name_________________________________

□沒有 No

C) 您是否具有與衍生產品有關的工作經驗？

Do you have work experience related to derivatives?

□有，請提供僱主名稱及職位____

Yes, please provide the employer name and position___________________________________

□沒有 No

12.7 交易所交易的衍生工具 Exchange-traded derivatives

A) 您是否曾接受過任何由銀行或金融機構所提供的有關衍生工具的培訓或課程？

Have you ever received any training or courses on derivatives offered by banks or financial institutions?

□有，請提供機構及課程名稱____

Yes, please provide the institution and course name_________________________________

□沒有 No

B) 您有否接受過任何由教育機構或專業團體所提供的有關衍生工具的培訓或課程？

Have you ever received any training or courses on derivatives offered by educational institutions or professional bodies?

□有，請提供教育機構及課程名稱____

Yes, please provide the institution and course name__________________________________

□沒有 No

C) 您是否具有與衍生產品有關的工作經驗？

Do you have work experience related to derivatives?

□有，請提供僱主名稱及職位____

Yes, please provide the employer name and position___________________________________

□沒有 No

E 部分：資產集中度 Section E: Asset Concentration Level

13. 請提供擬投資於以下類型產品佔 貴公司總資產的比率上限：Please state the proposed maximum limit % of concentration level for each of the following product types out of your company's total assets:

	產品類型 **Product Type**	集中度上限 **Maximum concentration limit**
i.	外幣 Currency	☐ 10% ☐ 20% ☐ 30% ☐ 40%
ii.	衍生工具 - 保本結構性產品 Derivatives Products – Principal Protected Structural Products	☐ 10% ☐ 20% ☐ 30% ☐ 40%
iii.	衍生工具 - 非保本結構性產品 Derivatives Products – Non Principal Protected Structural Products	☐ 10% ☐ 20% ☐ 30% ☐ 40%
iv.	固定收入工具 Fixed Income Instrument	☐ 10% ☐ 20% ☐ 30% ☐ 40%
v.	互惠基金 Mutual Fund	☐ 10% ☐ 20% ☐ 30% ☐ 40%
vi	交易所交易的衍生工具 Exchange-traded Derivatives	☐ 10% ☐ 20% ☐ 30% ☐ 40%

風險取向計分表 **Risk Profile Calculation Table**

根據下表計算貴公司的得分：Please calculate your company's scores according to the table below:

問題 **Question**	**A**	**B**	**C**	**D**	**E**	**F**	**G**	閣下得分 **Your scores**
問題 1 **Question** 1	1	2	3	4	5	6		
問題 2 **Question** 2	1	2	3	4	5			
問題 3 **Question** 3	1	2	3	4	5			
問題 4 **Question** 4	1	2	3	4	5			
問題 5 **Question** 5	5	4	3	2	1			
問題 6 **Question** 6	5	4	3	2	1			
問題 7 **Question** 7	1	2	3	4	5			
問題 8 **Question** 8	4	3	2	1				
問題 9 **Question** 9	4	3	2	1				
問題 10 **Question** 10	1	2	3	4	5			
問題 11 **Question** 11	1	2	3	4				
問題 12 **Question** 12*	12.1	12.2	12.3	12.4	12.5	12.6	12.7	
	1	1	1	1	1	1	1	

* 由於問題是多項題，答案是"有"的每項一分，得分計算為每項分數的總加。* This question involves multiple sub-questions, one point for each answer of "Yes". The score is calculated as the sum of each sub-score.

請將 12 條問題的得分加起來並在方格內寫出貴公司的總風險分數：
Please aggregate the scores for the 12 questions and write down your company's total risk score in the box:

風險分數 Risk Score	風險取向描述 Risk Profile Description
11-20	風險取向 **1**：保守 **Risk Profile 1: Conservative** 閣下接受較低的風險及價格波動，和較低的投資回報 You can accept a low level of risk and price fluctuation on your investment coupled with a low level of potential return
21-30	風險取向 **2**：中度 **Risk Profile 2: Moderate** 閣下接受低至中風險及價格波動，和一些投資回報 You can accept a low to moderate level of risk and price fluctuation on your investment coupled with some potential return
31-40	風險取向 **3**：均衡 **Risk Profile 3: Balanced** 閣下接受中至高風險及價格波動，並以資本增長為中期目標 You can accept a moderate to high level of risk and price fluctuation on your investment, and aim at a medium term capital growth
41-50	風險取向 **4**：增長 **Risk Profile 4: Growth** 閣下接受高風險及價格波動，並以資本增長為短期目標 You can accept a high level of risk and price fluctuation on your investment, and aim at a short term capital growth
51-60	風險取向 **5**：進取 **Risk Profile 5: Aggressive** 閣下接受最高風險及價格大幅波動，並以高資本增值為目標 You can accept the highest level of risk and price fluctuation on your investment, and aim at substantial capital growth

備註：**Note:**

本問卷及測試結果僅供參考，並不構成投資意見或推薦，亦不得視為建議招攬買賣任何投資產品或服務。本問卷並不能取代獨立的專業意見。廣發証券(香港)經紀有限公司（廣發証券（香港））及其相關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。 貴公司應定期檢討投資策略。如有需要， 貴公司可於日後再次填寫本問卷以重新評估 貴公司的風險取向。

This questionnaire and the test results are for reference only. It does not constitute investment advice or recommendation and should not be regarded as a solicitation for an offer to buy or sell any investment products or services. The questionnaire is not a substitute for independent professional advice. GF Securities (Hong Kong) Brokerage Limited ("GF Securities (Hong Kong)") and its associated companies shall not give any guarantee for the accuracy and completeness of the content of the questionnaire and the results. Your company should regularly review your investment strategy. If necessary, your company may complete the questionnaire again in the future in order to re-evaluate the risk appetite.

投資涉及風險。過往的表現不能作為日後表現的指標。

Investment involves risk. Past performance is not indicative of future performance.

聲明**: Declaration:**

本公司謹此聲明上文所提供的資料屬真實及準確。廣發証券（香港）可倚賴此等資料以履行其義務。本公司明白及同意廣發証券（香港）可根據本公司填寫的「風險取向問卷」所披露現時的投資需要及風險概況評估適合本公司的金融產品。

We hereby declare that the information as provided in the above is true and accurate and can be relied upon by GF Securities (Hong Kong) in the satisfaction of its obligations. We understand and agree that our investment needs and risk profiles as set out in the "Risk Profiling Questionnaire" can be relied upon by GF Securities (Hong Kong) in assessing the type of financial product(s) that is suitable to us.

註**:** 客戶必須完成此風險評估問卷，才可購買交易所買賣產品及非交易所買賣產品，如債券、基金及其他結構性產品。

Remark: Customers should complete this Risk Profiling Questionnaire before proceeding to purchase any exchange traed products and non-exchange traded products, such as bonds, funds and other structured products.

填寫及簽署人
Completed and signed by
公司客户簽署：
Signature of Corporate Client:

____

公司客户全名：
Name of Corporate Client:

____

獲授權人姓名：
Name of Authorized Signatory(ies):

____

日期（日/月/年）：
Date (DD/MM/YYYY): __________________________

見證人
Witness
證監會持牌人簽署：
Signature of SFC Licensed Representative: ________________

證監會持牌人全名：
Full name of SFC Licensed Representative: ________________

持牌人中央編號：
CE No. of SFC Licensed Representative: __________________

日期（日/月/年）：
Date (DD/MM/YYYY): _________________________________

收悉確認 **Acknowledgement of Receipt**
本公司謹此確認已收到已填寫及簽署之風險取向問卷的副本。
We hereby confirm that we have received a copy of this completed and signed Risk Profiling Questionnaire.

公司客户簽署：
Signature of Corporate Client: _________________________
日期（日/月/年）：
Date (DD/MM/YYYY): __________________________

For Internal Use Only *只供內部填寫*

Signature verified by:	Document checked by:
Sign: Date:	Sign: Date:

For special approval only:					
Final Risk Profile	☐ 1	☐ 2	☐ 3	☐ 4	☐ 5
Case description:					
RO approval by: (signature)					
Date:					