远源證券有限公司
Theia Securities Limited
SFC Licensed Corporation 證監會持牌法團 (CE# 中央編號: BJW079)
Suite 5103, 51/F, Central Plaza, 18 Harbour Road, Hong Kong
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Tel 電話: (852) 3168 0320 Fax 傳真: (852) 3168 0330 Email: cs@theiasec.com

Client/Company Name 客戶/公司名稱	Account No. 賬戶號碼

Risk Profiling Questionnaire 風險評估問卷

This Risk Profiling Questionnaire ("Questionnaire") is designed to help you consider your attitude toward investment risk. It asks questions which provide some indication of the overall general attitude toward risk for a typical investor displaying your personal investment characteristics. Please refer to our Questionnaire Disclaimer Statement. If any circumstances have changed, please notify us in writing in a timely manner.
本風險評估問卷「問卷」為協助您考慮對投資風險的取向而設。問題涉及典型投資者對風險的整體取向，顯示您的個人投資特色。請參閱問卷免責聲明。 如果您的情況有所更新，請及時以書面通過本公司。

As far as joint account is concerned, the individual designated in the relevant account opening documents as the primary joint account holder shall be the one completing this Questionnaire. The same risk classification assigned to the primary joint account holder shall be applied to other joint account holder of the same joint account.
就聯名賬戶而言，本問卷將由開戶表中被指定的第一聯名賬戶持有人填寫。第一聯名賬戶持有人之投資風險屬性歸類，一併適用於同一賬戶中的其他聯名賬戶持有人。

Age Band 年齡組別

☐ Between 21 and 40 21歲至40歲 [5]
☐ Between 41 and 50 41歲至50歲 [4]
☐ Between 51 and 60 51歲至60歲 [3]
☐ Between 61 and 70 61歲至70歲 [2]
☐ Above 70 or under 21 70歲以上/21歲以下 [@]

@ If you belong to this age band, there is no need to continue the questionnaire. The risk tolerance level will be classified as **LOW RISK**
若您屬於此年齡組別，則無需繼續填寫問卷，您將直接被評定為**低風險**承受能力。

Investment Objectives 投資目標 (#)

☐ Capital Conservative 保本 [1]
☐ Dividend Income 股息收入 [2]
☐ Capital Growth 資本增值 [3]
☐ Hedging 對沖 [4]
☐ Speculation 投機 [5]

Preferred type of instruments: 選擇投資工具的類型是 (#)

☐ Cash (Time deposit & savings a/c) 現金(定期存款及儲蓄帳戶) [1]
☐ Equities 股票 [5]
☐ Warrant 認股權證 [5]
☐ Options / Futures 期權/期貨 [5]
☐ Bonds /Bond Funds 債券/債券基金 [3]
☐ Unit Trusts / Mutual Funds 單位信託 /互惠基金 [3]
☐ Derivatives Products 衍生產品 [5]

Percentage of liquid assets (with high marketability) that you/your company will allocate in the investment
可分配作為投資的流動資產(高流通性資產)的百分比

☐ 0% - 10% [1]
☐ 11% - 20% [2]
☐ 21% - 30% [3]
☐ 31% - 40% [4]
☐ Over 40% (40%以上) [5]

Investment Experience 投資經驗 (#)

Please rate your experience with the following types of financial instruments 請評定您於以下種類金融工具的經驗：

Experience 經驗

A : No Experience 無經驗; B : 0-2 years年; C: 3 to 5 years 年; D: 6 to 10 years 年; E : Over 10 years 超過10年

	A	B	C	D	E	公司內部使用
Equities(Hong Kong & Foreign) / Equity Fund 股票(香港及外國) / 股票基金	☐	☐	☐	☐	☐	[0] / [2] / [3] / [4] / [5]
Warrant 認股權證	☐	☐	☐	☐	☐	[0] / [3] / [4] / [4] / [5]
Options / Futures 期權 / 期貨	☐	☐	☐	☐	☐	[0] / [3] / [4] / [4] / [5]
Deposit-linked products / Currency Fund 存款連結產品 / 貨幣基金	☐	☐	☐	☐	☐	[0] / [3] / [4] / [4] / [5]
Derivatives products :any listed or OTC derivatives products, including but not limited to equity linked notes/instruments and warrants 衍生產品：任何上市或場外交易衍生產品，包括但不限於股票掛鈎票據 / 工具及認股權證	☐	☐	☐	☐	☐	[0] / [3] / [4] / [4] / [5]
Bonds / Bond Funds 債券 / 債券基金	☐	☐	☐	☐	☐	[0] / [2] / [2] / [3] / [3]
Unit Trusts / Mutual Funds 單位信託 / 互惠基金	☐	☐	☐	☐	☐	[0] / [2] / [2] / [3] / [3]

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(#) Among all choices selected, choose the highest scores. 在被選定的所有選擇中，選擇最高的分數。

Frequency of trades in the past year 去年進行的交易宗數

☐ <20 transactions < 20宗交易 [1]
☐ 20 to 49 transactions 20 至 49 宗交易 [2]
☐ 50 to 99 transactions 50 至 99 宗交易 [3]
☐ 100 to 499 transactions 100 至 499 宗交易 [4]
☐ 500 or more transactions 500 宗或以上交易 [5]

Plan to hold investment for 計畫持有投資的時間為

☐ Up to 12 months 12 個月以內 [1]
☐ 1-2 years 1 - 2 年 [2]
☐ 3-4 years 3 – 4年 [3]
☐ 5-7 years 5 - 7 年 [4]
☐ Over 7 years 7年以上 [5]

Risk Tolerance 風險承受程度

Level of investment fluctuation would you/your company be comfortable with 願意承受多少投資波動

☐ Fluctuates between -5% and +5% 於 -5%至 +5%之間的波動 [1]
☐ Fluctuates between -10% and +10% 於 -10%至 +10%之間的波動 [2]
☐ Fluctuates between -15% and +15% 於 -15%至 +15%之間的波動 [3]
☐ Fluctuates between -20% and +20% 於 -20%至 +20%之間的波動 [4]
☐ Fluctuates between >-20% and > +20% 於 -20%以下至 +20%以上之間的波動 [5]

How long would you/your company expect your savings/reserves be used up once there is no further income generated
在沒有收入的情況下，儲蓄／儲備可用多久

☐ Within 1 month 1 個月內 [1]
☐ Less than 6 months 少於6 個月 [2]
☐ 6 months to 12 months 6個月至12個月 [3]
☐ Over 12 months to 18 months 超過12個月至18個月 [4]
☐ Over 18 months 18個月以上 [5]

What is your expectation towards investment return?您對投資回報的期望是

☐ Comparable to fixed deposit rates offered by banks 與銀行的定期存款利率相若 [1]
☐ Better than fixed deposit rates offered by banks 比銀行的定期存款利率為佳 [2]
☐ Beat inflation 跑贏通貨膨脹率 [3]
☐ Comparable to the performance stock market indices 與股票市場指數的表現相若 [4]
☐ Better than the performance of stock market indices 跑贏股票市場指數的表現 [5]

How would you/your company react if the value of your investments drop 15% in 6 months due to market fluctuations?
假設您的投資由於大市波動而在6個月內下跌了15%， 您會怎樣反應?

☐ Sell all investments to avoid taking risk 全數沽出，避免承受風險 [1]
☐ Switch part of the investments to more conservative investments 沽出部份，轉為較保守的投資 [2]
☐ Will not take any action, and will wait for market to rebound 不作任何變動，等候大市回升 [3]
☐ Consider investing more at bargain prices 考慮投入更多資金作趁低吸納 [5]
☐ Switch part of the investments to more aggressive investments, with an expectation to make up for the losses 沽出部份，轉而買入較進取的投資項目，期望可追回損失 [5]

Risk Tolerance Level Total Score
風險承受能力總分 ☐

Total Score 總分
20 or below 20分或以下
21 - 39 21分-39分
40 or above 40分或以上

Client Investment Suitability Classification 客戶投資屬性分類
☐ **LOW RISK** 低風險
☐ **MEDIUM RISK** 中風險
☐ **HIGH RISK** 高風險

Investment Suitability Classification 投資屬性分類	Description 說明
LOW RISK 低風險	You can bear low level of investment risks with a main concern of principal protection. You prefer products with stable income or small fluctuation. Low risk products will be suitable for you. 您能承受的風險程度為低，最關注保本。您偏向價格波動較少或可提供穩定收入的產品。低風險之產品可能適合您考慮。

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MEDIUM RISK 中風險	You can bear medium level of investment risks. You expect a balanced portfolio among principal protection, fixed income and capital gain. You can bear a higher level of short-term market fluctuation, which may fall, below your original investment. A balanced allocated portfolio with various types of assets may be suitable for your consideration. 您能承受中度投資風險。您期望組合在保本、定息與資本收益間取得平衡。您可以接受較高度的市場波動，以致投資於短期間可能出現虧損。均衡分配不同類別資產的投資組合可能適合您考慮。
HIGH RISK 高風險	You can tolerate volatile market fluctuation and high level of investment risks. You are looking for adventurous and speculative investment products. Aggressive investment portfolio may be suitable for you. Even so, you are suggested to strictly execute stop-loss and limit selling price investment principles to achieve your goal. 您能承受較大市場波動及投資風險。您物色進取及投機的投資產品。進取的投資組合會適合您。即使如此，建議您嚴格執行止蝕及止賺價的投資準則，實現您的目標。

I/We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my/our knowledge. I/We understand that I/we should promptly notify Theia Securities Limited and conduct the profiling again if any information provided by me/us is changed.
本人/吾等謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本人/吾等所知而作答。本人/吾等明白若本人/吾等所提供之資料有所改變，本人/吾等應立即通知遠源證券有限公司並再進行取向評估。

QUESTIONNAIRE DISCLAIMER STATEMENT 問卷免責聲明

The results of the questionnaire are derived from information that you have provided to us, and only serve as a reference for your consideration when making your own investment decisions. The questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. Theia Securities Limited accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in the questionnaire will be kept confidential by Theia Securities Limited. The information may be used by Theia Securities Limited under a duty of confidentiality to Theia Securities Limited, for designing and/or marketing of financial products and services.
問卷根據您所提供的資料而得出結果，並僅供您考慮為本身作出投資決定時供您考慮。問卷內容及結果不可視為對任何投資產品及服務的銷售或購買邀請，亦不應作為投資意見予以考慮。遠源證券有限公司對所提供資料的準確性及完整性並不負上義務或責任。遠源證券有限公司將就此問卷內的個人資料保密。您提供的資料只會在向遠源證券有限公司承擔保密責任的情況下，供遠源證券有限公司用作設計及 / 或推廣金融產品及服務之用。

I agree and accept the above assessment.
我同意並接受上述評估結果。

S.V.

____
Client Signature
客戶簽署

Name 姓名________________________________

Date 日期 ________ dd日________mm月__________yy年

S.V.

____
Client Signature (For joint account holder only)
客戶簽署 (只適用聯名賬戶另一持有人)

Name 姓名________________________________

Date 日期 ________ dd日________mm月__________yy年

FOR OFFICE USE ONLY			
AE/CS/Dealer	**Input by**	**Approved by RA1**	**Approved by RA4.9**
☐ **Face to Face** ☐ **Telephone** **Recorded Line No** ________ **Time** ______ **CE No.:** ________________			
Date:	**Date:**	**Date:**	**Date:**