

Individual Client Risk Profiling Questionnaire
個人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 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評估您的投資風險取向。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 financial needs, objectives and current financial situation in order to perform product suitability obligations. You are advised to consult your financial adviser for further understanding of your own investment risk profile (if necessary).
為履行產品合適性的責任，基業投資需要您提供有關財務需要、目標及現時財政狀況的資料。如有需要，建議您諮詢您的財務顧問以進一步了解您的投資風險取向。
3. For questions on your financial and investment information, such as the amount of investable assets, total amount invested in a specific product, or investment experience, ALL your holdings and transactions (whether within GSIL or otherwise) should be taken into account.
有關您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. Please indicate your age group that you belong to:
請選出您所屬的年齡組別:
 - A. 65 or above 65 或以上
 - B. 51-64
 - C. 35-50
 - D. 25-34
 - E. 18-24
2. What is your highest education level?
您的最高學歷是?
 - A. Primary school or below 小學或以下
 - B. Secondary 中學程度
 - C. University Graduate 大學畢業
 - D. Postgraduate or above 碩士或以上
3. How many years of investment experience do you have?
您有多少年投資經驗?
 - 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. What is the average percentage of your income that can be set aside for savings or investment?
您可以用作儲蓄或投資的款項平均佔您收入百分比為?
 - A. Less than 5% 少於 5%
 - B. 5% to less than 10% 5% 至少於 10%
 - C. 10% to less than 20% 10% 至少於 20%
 - D. 20% to less than 30% 20% 至少於 30%
 - E. 30% or above 30%或以上
5. What is the average percentage of your total net worth that will be allocated for investment purpose (excluding real estate properties)?
您打算用作為投資用途的款項平均佔您的總資產淨值中的百分比為(物業除外)?
 - A. Less than 5% 少於 5%
 - B. 5% to less than 10% 5% 至少於 10%
 - C. 10% to less than 20% 10% 至少於 20%
 - D. 20% to less than 30% 20% 至少於 30%
 - E. 30% or above 30%或以上

¹ GSIL means Gear Securities Investment Limited.

² 基業投資指基業證券投資有限公司。

6. Which of the following investment tenures is within your acceptable comfort level without you needing to redeem your investment?
下列哪個投資年期會令您安心而不需提早贖回資金?
- A. Less than 1 year 少於 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
7. Which of the following statements best describes your investment attitude?
下列那項陳述最能表達您的投資取向?
- A. I am not willing to bear any price fluctuation of my financial investment even if the returns cannot keep pace with inflation.
本人不願意承受金融投資任何價格波動縱使投資回報不能追上通脹。
- B. I am willing to bear 5% to less than 10% price fluctuation of my financial investment and wish to gain a return that is higher than the interest rate of bank deposits.
本人願意承受金融投資 5% 至少於 10% 的價格波動，並希望獲得高於銀行存款利率的回報。
- C. I am willing to bear 10% to less than 20% price fluctuation of my financial investment and wish to gain a return that is much better than the interest rate of bank deposits.
本人願意承受金融投資 10% 至少於 20% 的價格波動，並希望獲得遠高於銀行存款利率的回報。
- D. I am willing to bear 20% to less than 30% price fluctuation of my financial investment and wish to gain a return that is comparable to the stock market indexes.
本人願意承受金融投資 20% 至少於 30% 的價格波動，並希望獲得媲美股票市場指數的回報。
- E. I am willing to bear 30% or higher price fluctuation of my financial investment and wish to gain a return that is remarkably higher than the stock market indexes.
本人願意承受金融投資 30% 或以上的價格波動，並希望獲得明顯高於股票市場指數的回報。

PART B 第 B 部份

1. How long is your investment experience in the following products?
您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 you undertaken in the following investment products in the recent 3 years?
在最近 3 年，您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"/> |
|--|--------------------------|--------------------------|--------------------------|

| FOR OFFICE USE ONLY 僅供本公司使用 | | | | | |
|---|---|---|--|---|--|
| Your Risk Tolerance Level 您的風險承受程度 | | | | | |
| Total Score 總分: | | | | | |
| Your risk tolerance level is: 您的風險承受程度為： | <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 I have provided to GSIL. I acknowledge and confirm that the information I provided in this Questionnaire is true, complete and correct, and that I agree to my risk profile result assessed by this Questionnaire and I have been provided with a copy of this Questionnaire.
「個人客戶風險承受能力問卷」的結果是從本人向基業投資提供的資料而得出。本人確認於此問卷所提供的資料是真實、完整及正確的，並確認本人同意此問卷評估本人所屬的風險取向結果及本人已獲得此問卷副本一份。
- I understand that the Individual Client Risk Profiling Questionnaire aims at assessing my investment risk profile in order to assist me in choosing suitable investment portfolio. The result is only one of the factors I may take into account when investing and shall not be treated as any opinion on investment. My investment decision may be different from the above result but I should consider carefully my investment objective and risk tolerance ability. I may seek for independent professional consultant before making any investment decision(s).
本人明白此「個人客戶風險承受能力問卷」之目的在於評估本人的投資風險取向，從而協助本人選擇合適的投資組合，但所得之結果僅為本人提供眾投資考慮因素之一，並不能視為投資意見。本人的投資決定可能會與以上分析結果不同，惟本人在作出投資決定前，應謹慎考慮本人的投資目標、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: _____)

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|--|--|--------------|--|--------------|--|
| 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: | | | | | |