

根據《證券及期貨條例》下的持牌法團(CE 編號 API164)及香港聯合交易所有限公司參與者
Licensed Corporation under the Securities & Futures Ordinance (CE No.API164) and Exchange
Participant of the Stock Exchange of Hong Kong Limited

Individual Risk Profiling Questionnaire – Investment Products 個人風險承受能力問卷 - 投資產品

Account Number: 帳戶號碼：	Client Name: 客戶姓名：
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Please read this page carefully before you start filling Risk Profiling Questionnaire.

於開始填寫風險承受能力問卷前，請仔細閱讀本頁。

- This Risk Profiling Questionnaire ("Questionnaire") is designed to base on your financial situation to help us understand your investment objective, investment horizon and risk tolerance level, based on which we can conduct suitability assessment before you invest.
本風險承受能力問卷("問卷")旨在根據閣下當前的財務狀況幫助我們了解閣下的投資目標、投資期望以及風險承受能力，以便我們在閣下投資前可以進行適合性評估。
- Your answers to this Questionnaire will provide indications of the risk profile for a typical investor who has your personal investment traits, which, however, may not accurately represent your actual risk tolerance level and the suitability of any investment product for you.
閣下在回答此問卷，將提供擁有閣下個人典型投資特徵的投資者的風險狀況的描述，但未必能準確反映閣下的實際風險承受能力及任何投資產品對閣下的適用性。
- You acknowledge that the information provided in this Questionnaire is complete, accurate and up-to-date. It is your responsibility to notify us in a timely manner of change in your circumstances that may affect your suitability assessment.
閣下確認於此問卷中提供的信息是完整、準確和最新的如果閣下的情況有任何轉變，閣下有責任盡快通知我們，以免有可能影響我們對閣下的適合性評估。
- This questionnaire and the result is only one of the factors you may take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products.
本問卷和結果只是閣下考慮投資的其中一個因素。以上並不應被視為投資建議，要約出售，或徵求購買任何金融產品。
- Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the product before making any investment decision.
投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升亦可跌，而所呈列的過往表現資料並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細了解該產品的性質和風險。
- You are advised to seek independent financial advice before completing this Questionnaire should you deem necessary.
我們建議閣下如有需要，請於填寫前進行獨立財務諮詢。
- For Joint account, please complete a Questionnaire for each account holder.
如屬聯名帳戶，每位帳戶持有人須各填寫一份問卷。
- For Company account, this questionnaire is not applicable. Please complete Corporate Risk Profiling Questionnaire by authorized trader.
如屬公司帳戶，此問卷不適用，請授權交易人填寫企業風險承受能力問卷。
- Your Risk Tolerance Level Assessment Result is valid for 12 months from the date of this assessment. If your Risk Tolerance Level Assessment Result is expired, you may not be able to purchase certain products. If you believe your Risk Tolerance Level Assessment Result within the past 12 months is no longer valid, please contact your Investment Consultant and complete a new Questionnaire for reassessment purposes.
此問卷結果有效期為十二個月（由此評估日計起）。如果閣下的風險承受能力問卷評估已經過期，閣下可能不可購買部份產品。如果閣下認為閣下過去十二個月內評估的風險承受能力問卷不再有效，請聯繫您的投資顧問並重新完成一份新的風險承受能力問卷。

SECTION 1: BASIC INFORMATION & INVESTMENT KNOWLEDGE**第一部分：基本資料及投資知識****1. Which age group do you belong to? 閣下的年齡屬於以下哪個組別?**

- Between 18 to 20 18 歲至 20 歲
- Between 21 to 34 21 歲至 34 歲
- Between 35 to 50 35 歲至 50 歲
- Between 51 to 64 51 歲至 64 歲
- 65 or above^(Note 1) 65 歲或以上^(註1)

Note 1: The Overall Investment Appetite/Risk Profile should be “Conservative” if your age is 65 or above. Please also complete “Section 2”.
註1:如閣下的年齡是65歲或以上，閣下的整體投資取向/風險概況將定為“保守型”。請同時完成“第二部分”。

2. Your highest education level achieved is 閣下的學歷為

- Primary School or below^(Note 2)小學或以下^(註2)
- Secondary School 中學
- Post-Secondary (including diploma and associate degree) 預科/專上學院
- Bachelor Degree/University or above 大學或以上
- Bachelor Degree/University or above particular in finance related, economics, law or accounting 大學或以上並修讀有關金融/經濟學/法律/會計的科目

Note 2: If you choose this answer, the Overall Investment Appetite/Risk Profile should be “Conservative”. Please also complete “Section 2”.
註2:如閣下選此選項，閣下的整體投資取向/風險概況將定為“保守型”。請同時完成“第二部分”。

3. Please indicate your level of investment experience with the following non-complex investment products (in number of years). (must be consistent with records in CIS) 請選出以下非複雜性投資產品的適當的投資經驗(以年為單位)。(必須與順安紀錄相符)

Non-complex investment products including but not limited to 非複雜性投資產品包括但不限於:-

- Listed securities/ exchange traded funds (“ETF”) (e.g. ETFs without complex features)
上市證券/交易所買賣基金(例如:沒有複雜特點的交易所買賣基金)
- Fixed income without special features (e.g. certificate of deposits, straight bonds, callable bonds without other special features)
不具有特點的定息產品(例如:存款證、普通債券、不具有其他特點的可贖回債券)
- Non-derivative funds (e.g. funds with a net derivative exposure of up to 50% of its net asset value)
非衍生產品基金(例如:衍生工具風險承擔淨額以其資產淨值的50%為限的基金)
- REITs traded on the SEHK or specified jurisdictions^(Note 3)
在香港聯交所或指明司法管轄區^(註3)內交易的房地產投資信託基金

- Nil 無經驗
- Less than 1 year of experience 少於1年經驗
- 1 year to 3 years of experience 1年至3年經驗
- 3 years to 10 years of experience 3年至10年經驗
- More than 10 years of experience 多於10年經驗

Note 3: Example of specified jurisdictions: Australia, Canada, France, Germany, Japan, Mainland China, Malaysia, Netherlands, Singapore, Spain, Sweden, Switzerland, Thailand, Taiwan, United Kingdom, United States of America, etc. It is subject to change from time to time by the SFC, in the event of any discrepancy between the examples and SFC website, the SFC version shall prevail. Please refer to <https://www.sfc.hk/web/EN/rules-and-standards/suitability-requirement/non-complex-and-complexproducts/list-of-specified-jurisdictions.html> for latest information if necessary. If you have any enquiries, please contact Customer Service department.

註3: 指明的司法管轄區的例子: 澳大利亞、加拿大、法國、德國、日本、中國內地、馬來西亞、荷蘭、新加坡、西班牙、瑞典、瑞士、泰國、臺灣、英國、美國等。證監會可隨時更改示例。如果本例子與證監會的網頁有衝突或不一致，以證監會的版本為準。有關最新的資料，請參閱 <https://www.sfc.hk/web/TC/rules-and-standards/suitability-requirement/non-complex-and-complex-products/list-of-specified-jurisdictions.html> 如閣下有任何疑問，請與客戶服務部門聯絡。

4. Please indicate your level of investment experience with the following complex investment products and/or derivatives (in number of years). (must be consistent with records in CIS) 請選出以下複雜性投資產品及衍生產品的適當的投資經驗(以年為單位)。(必須與順安紀錄相符)

Complex investment products and Other Derivatives Products including but not limited to 複雜性投資產品及其他衍生產品包括但不限於:-

- Foreign exchange (e.g. FX forwards, non-deliverable forwards, FX options)
外匯(例如:遠期外匯、無本金交割遠期外匯、外匯期權)
- Listed derivatives (e.g. futures, options, warrants, CBCs)
上市衍生工具(例如:期貨、期權、認股權證、牛熊證)
- Leveraged and specialty ETFs (e.g. synthetic, derivative ETFs)
杠杆和特殊交易所買賣基金(例如:合成、衍生產品交易所買賣基金)
- Debt securities (e.g. preferred shares, bonds with special features^(Note 4) except callable bonds without other special features)
債務證券(例如:優先股、具有其他特點的債券^(註4)，不具有其他特點的可贖回債券除外)
- Mutual funds / unit trusts / funds with complex features (e.g. derivative funds, hedge funds, private equity funds, real estates funds)
互惠基金/單位信託基金/具有複雜特點的基金(例如:衍生產品基金、對沖基金、私募基金、房地產基金)
- OTC derivatives / structured products – principal protected^(Note 5) (e.g. principal protected notes)
場外交易衍生產品/結構性產品-本金保證^(註5)(例如:保本票據)
- OTC derivatives / structured / leveraged products – non-principal protected (e.g. structured deposits, currency linked deposits, structured notes, interest rate swaps, FX margin)
場外交易衍生產品/結構性產品/杠杆產品-非本金保證(例如:結構性存款、貨幣掛鉤存款、結構性票據、利率掉期、外匯保證金)
- Accumulator/Decumulator (e.g. equity linked, foreign exchange linked)
累計期權/累沽期權(例如:股票掛鉤、外匯掛鉤)

- Nil 無經驗
- Less than 1 year of experience 少於1年經驗
- 1 year to 3 years of experience 1年至3年經驗
- 3 years to 10 years of experience 3年至10年經驗
- More than 10 years of experience 多於10年經驗

Note 4: Example of bond with special features: perpetual, subordinate, variable / deferral and/or cancellation of interest payment, extendable, convertible or exchangeable, contingent write down, loss absorption, multiple credit support providers and structures, etc.

註4: 具有其他特點債券的例子: 永續性質、後償性質、具有浮息/延遲及/或取消派付利息條款、可延遲到期日的、屬可換股或可交換性質、具有或然撇減或彌補虧損特點、多個信貸支援提供者及結構等。

Note 5: Principal protected products refer to a product with principal protection of at least 100 percent of initial investment.

註5: 保本產品是指保障起始投資金額100%的產品。

SECTION 2 : RISK TOLERANCE LEVEL (Total Score:50)

第二部分：風險承受能力（總得分：50）

<p>1. 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? 在一般情況下，投資的年期越長，可承受的風險越高。閣下願意進行投資活動的整體年期為多久？</p> <p><input type="checkbox"/> Less than 1 year 少於 1 年</p> <p><input type="checkbox"/> 1 year to 3 years 1 至 3 年</p> <p><input type="checkbox"/> 4 years to 6 years 4 至 6 年</p> <p><input type="checkbox"/> 7 years to 10 years 7 至 10 年</p> <p><input type="checkbox"/> Over 10 years 多於 10 年</p>	<p>Score 分數</p> <p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>2. On the whole, which of the following best describes your investment objective? 整體而言，以下哪項最能表達閣下的投資目標？</p> <p><input type="checkbox"/> Capital preservation (Note 6) 資金保本^(註 6)</p> <p><input type="checkbox"/> Regular and stable income 定期及固定收入</p> <p><input type="checkbox"/> Moderate capital appreciation 適度資本增值</p> <p><input type="checkbox"/> Moderate to high capital appreciation 適度至高資本增值</p> <p><input type="checkbox"/> Maximum capital appreciation 最大的資本增值</p> <p>Note 6: If you choose this answer, the Overall Investment Appetite/Risk Profile of a client should be "Conservative". 註 6: 如閣下選此選項，閣下的整體投資取向 / 風險概況將定為“保守型”。</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>3. How would you react if your portfolio fell significantly (e.g. more than 20%) within one day? 如果閣下的投資組合在一天內大幅下跌(例如，超過 20%)，閣下會有何反應？</p> <p><input type="checkbox"/> Do not know how to react 不懂得如何應變</p> <p><input type="checkbox"/> Cut loss without any strategic consideration 非策略地進行止蝕</p> <p><input type="checkbox"/> Would wait to see if investment improves and may cut loss rationally 觀望該投資是否會有改善，可能會理性地進行止蝕</p> <p><input type="checkbox"/> Understand market fluctuations are unavoidable and will not alter the determined investments strategy 了解市場波動是難免的，會繼續進行已定下的投資策略</p> <p><input type="checkbox"/> Undergo in-depth analysis, reallocate your investment portfolio with top-up 進行仔細分析，重整投資組合並加大投資</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>4. When do you need to access substantial part of your investments? 閣下估計會於在何時需要取回大部分投資？</p> <p><input type="checkbox"/> Less than 1 year 少於 1 年</p> <p><input type="checkbox"/> 1 to 3 years 1 至 3 年</p> <p><input type="checkbox"/> Over 3 years to 5 years 超過 3 年至 5 年</p> <p><input type="checkbox"/> Over 5 years to 10 years 超過 5 年至 10 年</p> <p><input type="checkbox"/> Over 10 years 超過 10 年</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>5. How many months of your household expenses could be covered by your reserve to meet unforeseen events? 閣下現時的儲備足夠應付多少個月的日常家庭開支，以面對突如其來的情況？</p> <p><input type="checkbox"/> None 沒有</p> <p><input type="checkbox"/> Less than 3 months 少於 3 個月</p> <p><input type="checkbox"/> 3 - 6 months 3 - 6 個月</p> <p><input type="checkbox"/> 6 - 12 months 6 - 12 個月</p> <p><input type="checkbox"/> More than 12 months 多於 12 個月</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>6. Leveraging can magnify both investment gains and losses. If you use leverage to make an investment and the investment moves against you, your loss is much greater than it would have been if the investment had not been leveraged. What is your expected level of borrowing for investment (excluding property loans)? 槓桿可以放大投資收益和損失。如果閣下使用槓桿進行投資並且投資走勢不符合閣下的預期，則閣下的損失遠大於未使用槓桿投資時的損失。閣下的預期投資借貸（物業貸款除外）水平有多高？</p> <p><input type="checkbox"/> None 無</p> <p><input type="checkbox"/> Less than 20% 低於 20%</p> <p><input type="checkbox"/> 20% to less than 40% 20%至少於 40%</p> <p><input type="checkbox"/> 40% to less than 50% 40%至少於 50%</p> <p><input type="checkbox"/> 50% or above 50%或以上</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>

7. Which of the following statements best describes your investment attitude? 下列哪項陳述最能表達閣下的投資取向?		
<input type="checkbox"/>	I am not willing to bear a price fluctuation range of more than 5% for financial investment and wish to gain a return slightly higher than the bank deposit interest rate. (Note 7) 本人不願意承受任何多於 5% 價格波動的金融投資，並希望獲得稍高於銀行存款利率的回報。(註 7)	<input type="checkbox"/> 1
<input type="checkbox"/>	I am willing to bear a price fluctuation range of around 5% to less than 10% for financial investment and wish to gain a return that is slightly higher than the bank deposit interest rate. 本人願意承受大概 5% 至少於 10% 價格波動的金融投資，並希望獲得稍高於銀行存款利率的回報。	<input type="checkbox"/> 2
<input type="checkbox"/>	I am willing to bear a price fluctuation range of 10% to less than 20% for financial investment and wish to gain a return much higher than the bank deposit interest rate. 本人願意承受 10% 至少於 20% 價格波動的金融投資，並希望獲得遠高於銀行存款利率的回報。	<input type="checkbox"/> 3
<input type="checkbox"/>	I am willing to bear a price fluctuation range of 20% to less than 30% for financial investment and wish to gain a return comparable to the average return of the stock market. 本人願意承受 20% 至少於 30% 價格波動的金融投資，並希望獲得媲美一般股票市場的回報。	<input type="checkbox"/> 4
<input type="checkbox"/>	I am willing to bear a price fluctuation range of 30% or more for financial investment and wish to gain a return remarkably higher than the average return of the stock market. 本人願意承受 30% 或以上價格波動的金融投資，並希望獲得明顯高於一般股票市場的回報。	<input type="checkbox"/> 5
Note 7: If you choose this answer, the Overall Investment Appetite/Risk Profile of a client should be "Conservative". 註 7: 如閣下選此選項，閣下的整體投資取向 / 風險概況將定為“保守型”。		
8. What is your total net worth (excluding property, business values and assets that cannot be easily realized, and should deduct your total borrowings) ("Total Net Worth")? 閣下的總資產淨值是多少 (不包括房地產、商業價值和不易變賣的財產，並應扣除閣下全部的借款) (「總資產淨值」)?		
<input type="checkbox"/>	Below or equal to HKD 1 million 少於或等於 100 萬港幣	<input type="checkbox"/> 1
<input type="checkbox"/>	Over HKD 1 million to 3 million 多於 100 萬至 300 萬港幣	<input type="checkbox"/> 2
<input type="checkbox"/>	Over HKD 3 million to 5 million 多於 300 萬至 500 萬港幣	<input type="checkbox"/> 3
<input type="checkbox"/>	Over HKD 5 million to 8 million 多於 500 萬至 800 萬港幣	<input type="checkbox"/> 4
<input type="checkbox"/>	Over HKD 8 million 超過 800 萬港幣	<input type="checkbox"/> 5
9. What is the average percentage of your total net worth that will be allocated for investment purposes (excluding real estate property)? 閣下打算用作為投資用途的款項平均佔閣下總資產淨值的百分比 (物業除外) 為多少?		
<input type="checkbox"/>	Less than 10% 少於 10%	<input type="checkbox"/> 1
<input type="checkbox"/>	10% to less than 20% 10% 至少於 20%	<input type="checkbox"/> 2
<input type="checkbox"/>	20% to less than 30% 20% 至少於 30%	<input type="checkbox"/> 3
<input type="checkbox"/>	30% to less than 40% 30% 至少於 40%	<input type="checkbox"/> 4
<input type="checkbox"/>	40% or above 40% 或以上	<input type="checkbox"/> 5
10. What is the average percentage of your Total Net Worth that are reserved for regular contributions, or to meet extra collateral requirements? 閣下打算預留總資產淨值之多少以作定期出資或滿足額外抵押之用? 請以平均百分比形容預留比例。		
<input type="checkbox"/>	Less than 5% 少於 5%	<input type="checkbox"/> 1
<input type="checkbox"/>	5% to less than 10% 5% 至少於 10%	<input type="checkbox"/> 2
<input type="checkbox"/>	10% to less than 20% 10% 至少於 20%	<input type="checkbox"/> 3
<input type="checkbox"/>	20% to less than 30% 20% 至少於 30%	<input type="checkbox"/> 4
<input type="checkbox"/>	30% or above 30% 或以上	<input type="checkbox"/> 5
The total score of your overall risk tolerance level is 閣下的整體風險承受能力的總得分是：		

Risk Tolerance Level 風險承受程度		Investor Types 投資者類型	Investor Characteristics 投資者特徵
<input type="checkbox"/>	Low 低 (≤10)	Conservative 保守型	You are generally comfortable with achieving minimal level of return potential on your investment coupled with minimal risks . Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be minimal (although this is not guaranteed), and you are comfortable with this level of fluctuation. 閣下基本上接受 輕微 的損失，以換取 輕微 的潛在投資回報。可能適合閣下的產品之資本價值可能波動，並跌至低於閣下原本的投資額。預期在正常市況下僅輕微波動(縱使不能保證)，而閣下可接受此程度的波動。
<input type="checkbox"/>	Low-to-Medium 低至中 (11 - 20)	Stable 穩健型	You are generally comfortable with achieving a low level of return potential on your investment coupled with a low level of risks . Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions, fluctuation is expected to be low (although this is not guaranteed), and you are comfortable with this level of fluctuation. 閣下基本上接受 低程度 的損失，以換取 低程度 的潛在投資回報。可能適合閣下的產品之資本價值可能波動，並跌至低於閣下原本的投資額。預期在正常市況下波動較小(縱使不能保證)，而閣下可接受此程度的波動。
<input type="checkbox"/>	Medium 中 (21 - 30)	Balance 平衡型	You are generally comfortable with achieving a moderate level of return potential on your investment coupled with a moderate level of risk . Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. Fluctuation is expected to be higher than products that are suitable for investors in lower risk tolerance categories, but not as much as for higher risk tolerance categories. 閣下基本上接受 中程度 的損失，以換取 中程度 的潛在投資回報。資本價值可能波動，並跌至低於閣下原本的投資額。預期產品波動大於適合較低風險承受能力投資者的產品，惟小於適合較高風險承受能力投資者的產品。
<input type="checkbox"/>	Medium-to-high 中至高 (31 - 40)	Growth 增長型	You are generally comfortable with achieving a high level of return potential on your investment coupled with a high level of risk . Capital values can fluctuate significantly and may fall quite substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. 閣下基本上接受 高程度 的損失，以換取 高程度 的潛在投資回報。資本價值可能有相當大幅的波動，並跌至頗低於閣下原本的投資額。閣下明白風險越大，回報越高的原則，而閣下可接受此程度的波動。
<input type="checkbox"/>	High 高 (41 - 50)	Aggressive 進取型	You are generally comfortable with maximizing your return potential on your investment coupled with maximized risk . Capital values can fluctuate widely and may fall substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. 閣下基本上接受 重大 的損失，以換取 重大 的潛在投資回報。資本價值可能有大幅波動，並跌至遠低於閣下原本的投資額。閣下明白風險越大，回報越高的原則，而閣下可接受此程度的波動。

SECTION 3 : DECLARATION FOR SPECIAL CLIENT TYPE ("SCT")**第三部分：聲明- 僅適用於特別客戶群**

Special Client Type (SCT) 特別客戶群指：

1. Age > or = 65 已達 65 歲或以上
2. Education Concern: Primary or below 教育程度: 小學或以下
3. Special Care: Disabled including visually impaired 特別照顧：殘障人士包括視力障礙者

If you are a person under any of the above categories, in order to protect your interest, CIS Securities Asset Management Limited ("CIS") will profile you as a **conservative investor** by default.

如閣下為上述任何一項的人士，為保障閣下的利益，順安將閣下定為**保守型投資者**。

However, if you consider that you should not be profiled as a conservative investor given your higher risk appetite and as such would be keen to deal in a wider range of investment products of a higher risk profile, please provide the reasons with signature below. By signing below, you confirmed that notwithstanding your age, you may want to deal in investment products of a higher risk profile and you understand that your investment in such products may involve higher risk (including the possibility of loss of the capital invested) than what you can take and therefore may not be in your best interest. Besides, the sales staff may recommend higher risk products which match with the higher risk tolerance level due to reclassification.

然而，閣下如認為可承受較高風險而不應被定為保守型投資者，並有意買賣較廣泛的投資產品（包括較高風險的產品）請於在下方解釋及簽署。透過在方格內及簽署，閣下確認儘管考慮年齡狀況，閣下仍有意買賣較高風險的投資產品，並明白於該等產品的投資涉及的風險可能較閣下可承受的為高（包括可能損失投資本金），未必屬於閣下的最佳利益。此外，由於閣下的風險水平已重新分類，銷售人員可能會推薦更高風險水平的投資產品予閣下。

- I confirm that my Risk Tolerance Level is **Conservative**.

本人確認本人的風險承受程度為**保守型**。

- I consider my Risk Tolerance Level should be^(Note8):

本人認為本人的風險承受能力程度應為^(註8)：

Stable 穩健型

Balance 平衡型

Growth 增長型

Aggressive 進取型

Please specify the reason(s) 請說明原因：

Note 8: If you choose a level higher than the assessment result, CIS revise the right to determine the Risk Tolerance Level which may be lower than your choice.

註 8: 如閣下重新選擇風險承受能力程度高於評估結果，順安有權決定客戶之最終評估結果，可能低於閣下的選擇。

Signature(s)
客戶簽署

For Office Use Only

Phone Confirmation by CIS Representative

Name: _____ Date: _____ Time: _____ Extension No.: _____

Content

- Client confirmed that his/she selection of Risk Tolerance Level is _____

Reason(s): _____

- Client confirmed the above information is true and correct.

- Client confirmed the questionnaire is duly completed by the client.

- Client understood CIS may base on the answer of each question to determine the final Risk Tolerance Level which may be lower than his/her choice.

Others: _____

Confirmed and signed by CIS Representative

Name: _____ Signature: _____

SECTION 4 : CLIENT CONFIRMATION**第四部分：客戶確認**

I hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my knowledge.
本人謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本人所知而作答。

I confirm that I have been reminded and am aware that I should have adequate liquid funds to meet foreseen and unforeseen events.
本人確認本人已被提醒及了解到本人應有足夠流動資金去應付可預見及不能預見的事件。

I hereby authorise, and give my consent to, CIS to use the information provided by me in this form for the purposes of (i) opening and maintaining any and all of my account(s) held with or to be held with CIS; (ii) complying with any legal or regulatory requirements; and (iii) fulfilling all other aspects set out in the relevant personal data schedule of the "Cash Account Agreement" applicable to the relevant account.
本人授權並同意順安使用本人於此問卷內提供的資料，作為 (i) 開立或維持任何及所有本人於順安持有或將會持有之帳戶；(ii) 符合任何法律或法規之要求；及 (iii) 所有適用於相關帳戶之「現金帳戶協議」內的個人資料附件所載之其他用途。

I confirm that my Risk Tolerance Level is correctly stated above and the information I provided is accurate and complete.

本人確認本人的風險承受能力已正確地陳述於上，而本人所提供的資料屬正確及完整。

The investment objective mentioned in the above Risk Tolerance Level is not consistent with my investment risk requirement and investment objective, and I consider my Risk Tolerance Level should be: ^(Note 9)

上述風險承受能力所提及的投資目標與本人的投資風險要求和投資目標不符，本人認為本人的風險承受能力程度應為 ^(註9)：

Conservative 保守型 Stable 穩健型 Balance 平衡型 Growth 增長型 Aggressive 進取型

Please specify the reason(s) 請說明原因：

Note 9: If you choose a level higher than the assessment result, CIS revise the right to determine the Risk Tolerance Level which may be lower than your choice.

註 9: 如閣下重新選擇風險承受能力程度高於評估結果，順安有權決定客戶之最終評估結果，可能低於閣下的選擇。

Signature(s)
客戶簽署

SECTION 5 : DECLARATION BY LICENSED REPRESENTATIVE**第五部分：持牌代表聲明**

Final Risk Tolerance Level:
最終風險承受程度:

Conservative 保守型 Stable 穩健型 Balance 平衡型 Growth 增長型 Aggressive 進取型

Checklist for Re-classification

One Level Up Only RPQ score justify the re-classification Independent Witness presented
 Client's background check i.e. investment experience, job & position & net worth Two DIFFERENT ROs Approval

Signed by (Licensed representative):
簽署 (持牌代表)

Declaration: I hereby declare and confirm that this questionnaire is duly completed by the client.
聲明：本人謹此聲明及確認此問卷由客戶親自填寫。

Approved by (Responsible Officer):
批核 (負責人員)

Re-classification of Risk Tolerance Level

Approved by (Another Responsible Officer):
客戶重新選擇風險承受程度
批核 (另一位負責人員)

Name

Name

Name

CE No.:

CE No.:

CE No.:

Date:

Date:

Date:

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S.V. by:	Checked by:	Phone Record checked by:	Input by:	Input checked by
Name:	Name:	Name:	Name:	Name:
Date:	Date:	Date:	Date:	Date: