

Client Risk Profiling Questionnaire

客戶風險取向問卷

(Applicable to Corporate Accounts Only)

(僅適用於公司賬戶)

Client's Name: 客戶名稱：	
Account Number: 賬戶號碼：	

This Client Risk Profiling Questionnaire ("Questionnaire") is designed to assess your company's risk profile based on your company's financial situation, investment objectives, investment expectations, knowledge and experience of investment products and risk tolerance ability so that Hermes Securities Limited ("HSL") may conduct assessment on the suitability of investment products for your company.

Please carefully complete all questions of this Questionnaire by ticking the most appropriate answers that best describe your company's situation and expectation. Any inaccurate, outdated or incomplete information provided may affect HSL's assessment and as a result, the quality of HSL services provided to your company. Please ensure all information provided remain true, accurate, most-updated and complete. For regulatory purpose and to ensure that we continue to provide services to your company based on your company's most current information, please notify us in a timely manner of any change in your company's circumstances that may affect your company's suitability assessment.

The results of this Questionnaire are derived from the information your company provide to us and will only serve as a reference for your consideration when making your investment decisions. This Questionnaire and the results do not constitute and should not be considered as an offer, a solicitation, an investment advice, a recommendation of any product or service or a guarantee to the products or services of HSL. Your company should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions.

The authorized person who makes investment decisions on behalf of the company should complete and sign this Questionnaire.

Due to regulatory needs, the whole conversation between your company and the representatives of HSL may be audio recorded. Information provided will be kept confidential unless required by the SFC and/or any relevant regulatory bodies.

This Assessment Result is valid for 24 months from the date of this Questionnaire. If your Assessment Result is expired, you may not be able to purchase certain products. HSL recommends your company to review your company's viewpoint about investment risk at least once a year or when major changes occurs in your company situation to make sure your company's investment decisions continue to match with your company's attitude towards investment risk profile.

本客戶風險取向問卷（「問卷」）協作凱敏證券有限公司（「凱敏證券」）根據貴公司當前的財務狀況、投資目標、投資期望、投資產品知識及經驗以及風險承受能力以評估貴公司的風險取向，以便凱敏證券可以評估投資產品是否適合貴公司的需要。

請勾選最切合您的選項及完成本問卷。遞交任何欠缺準確性、過時或不完整的資料，都可能影響凱敏證券對貴公司的評估，以及凱敏證券為貴公司提供的服務質素。每個賬戶持有人均需確保提交的資料是真實、準確、最新並完整的。基於監管目的，並確保凱敏證券可以根據貴公司提供的最新訊息為貴公司提供服務，如果貴公司的情況有任何轉變並有可能影響貴公司的適合性評估，貴公司需盡快通知凱敏證券。

此問卷的結果乃根據貴公司向凱敏證券所提供的資料而制定的並僅作為貴公司在作出投資決定時的參考。此問卷及其結果並不構成及並不應被視為要約、招攬買賣、投資建議、任何產品或服務的推薦或對凱敏證券的產品或服務的任何保證。貴公司在做出任何投資決定之前，應該考慮公司的狀況，包括但不限於貴公司的財務狀況、投資經驗和投資目標。

代表公司作出投資決定之授權人應填寫及簽署此問卷。

基於監管規定，貴公司與凱敏證券職員就本問卷之全部談話內容均可能會被錄音，除非證監會及／或任何其他監管者要求，否則貴公司提供的資料將絕對保密。

本問卷結果有效期為二十四個月（由此評估日計起）。如果閣下的問卷評估結果已經過期，閣下可能不可購買部份產品。凱敏證券建議貴公司最少每年一次或公司狀況發生重大轉變時，檢討貴公司對投資風險的見解，以確保貴公司的投資決定仍然配合貴公司對投資風險取向的態度。



凱敏證券有限公司

HERMES SECURITIES LIMITED

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I. Client's Background, Financial Situation and Investment Expectations 客戶背景、財務狀況及投資期望

Instructions for completion 填寫指引

Please tick where applicable.

請在適當的地方加上剔號。

The Questionnaire shall be completed by the major Director and/or Authorised Person of your company who shall be authorised to make investment decision of your company.

本問卷應由公司主要董事或者公司做出投資決策的授權人士填寫。

1. Does your company have a specialised function responsible for making investment decisions?

貴公司是否設有一個專屬職能以作出投資決定？

- A. Yes. Our company has a specialised function and governance practice responsible for making investment decisions.
有。本公司設有專屬職能及管理架構負責作出投資決定。
- B. No. But we have senior management with adequate knowledge about investment decision making.
沒有。但本公司的管理層對作出投資決定擁有足夠知識。
- C. No. But we have senior management with some knowledge about investment decision making.
沒有。但本公司的管理層對作出投資決定擁有一些知識。
- D. No. But we have senior management with little knowledge about investment decision making.
沒有。但本公司的管理層對作出投資決定擁有少許知識。
- E. No. We do not have any knowledge about investment decision making.
沒有。本公司對作出投資決定沒有知識。

2. How many years of investment experience (excluding savings, fixed deposit and foreign currency deposit) does your company or your decision maker of your company have?

貴公司或貴公司做出投資決策之人士有多少年投資經驗（不包括儲蓄、定期儲蓄及外幣儲蓄）？

- A. None 無
- B. Less than 3 years 少於 3 年
- C. 4 – 6 years 4 – 6 年
- D. 7 – 10 years 7 – 10 年
- E. More than 10 years 超過 10 年

3. What percentage of your company's overall income is available for investment?

貴公司可用作投資的金額，佔總收入多少個百分比？

- A. Less than 5% 少於 5%
- B. Less than 10% 少於 10%
- C. Less than 20% 少於 20%
- D. Less than 30% 少於 30%
- E. 30% of above 30%或以上

4. Which of your following is your company's expected investment horizon?

請問以下哪一項是貴公司預期的投資年期？

*Longer-term investors may be in a better position to allocate a larger portion of their portfolio to higher-risk investments than shorter-term investors. A long time horizon does not prevent having tactical positions being for shorter time, and does not mean that each of your company's investments need to be held for a period matching your company's horizon. Do note that there may be periods within your company's time horizon during which your company's portfolio may underperform or outperform compared to your company's objectives.

較為長線的投資者可能比短線投資者更有利於將其較大比例的投資組合分配到風險較高的產品類別。適合長年期投資不會妨礙貴公司對短期產品的選擇，亦不代表每個投資產品必須持倉至產品到期日。請注意，投資組合內的產品在某段時間的表現可能會遜於或優勝於您的預期。

- A. Less than 1 year 少於 1 年
- B. 1 – 3 years 1 – 3 年
- C. 3 – 5 years 3 – 5 年
- D. 5 – 10 years 5 – 10 年
- E. More than 10 years 超過 10 年



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5. How much liquid asset (including cash, foreign currency, bullion etc.) has your company reserved for monthly operational expenses?
貴公司預留了多少流動資金（包括現金、外幣、黃金等）作為每月營運開支的儲備？

- A. Less than 1-month operational expenses 少於 1 個月營運開支
 B. 1-month to less than 6-month operational expenses 1 個月至 6 個月以下的營運開支
 C. 6-month to less than 12-month operational expenses 6 個月至 12 個月以下的營運開支
 D. 12-month to less than 24-month operational expenses 12 個月至 24 個月以下的營運開支
 E. More than 24-month operational expenses 24 個月或以上的營運開支

6. How do your company expect future monthly investable amount over the next 3 years?
貴公司預計未來三年每月可投資的金額是？

- A. The monthly investable amount is expected to increase sharply. 預計每月可投資的金額會急速上升。
 B. The monthly investable amount is expected to increase gradually. 預計每月可投資的金額會逐漸上升。
 C. The monthly investable amount is expected to remain unchanged. 預計每月可投資的金額會維持不變。
 D. The monthly investable amount is expected to decrease gradually. 預計每月可投資的金額會逐漸減少。
 E. The monthly investable amount is expected to decrease sharply. 預計每月可投資的金額會急速減少。

7. What is the highest level of price fluctuation your company is willing to accept for a single investment?
在單項投資上，貴公司願意接受最高程度的價格波動是多少？

- A. Fluctuation between -5% to +5% 於-5%至+5%之間的波動
 B. Fluctuation between -10% to +10% 於-10%至+10%之間的波動
 C. Fluctuation between -20% to +20% 於-20%至+20%之間的波動
 D. Fluctuation between -30% to +30% 於-30%至+30%之間的波動
 E. Fluctuation below -30% and over 30% 低於-30%及高於+30%的波動

8. Which of the following best describes your company's general attitude towards investment return and risks?
以下哪項描述最符合貴公司對投資回報與風險所持的一般態度？

- A. Our main investment objective is capital preservation. We aim to achieve investment returns slightly above deposit rates and we can only tolerate minimal capital loss.
本公司的投資目標為保本主導。我們期望獲得稍高於銀行存款利率的投資回報，我們可以承受輕微程度的資本損失。
- B. Our main investment objective is income oriented. We aim to generate regular income returns above deposit rates and we can tolerate low risk of capital loss.
本公司的投資目標為收入主導。我們期望獲得高於定期存款利率的穩定收入的定期回報，我們可以承受較低資本損失。
- C. Our main investment objective is income and growth oriented. We aim to achieve returns from both capital appreciation and stable income and we can tolerate moderate risk of capital loss.
本公司的投資目標為收入及增長主導。我們期望獲得來自資本增長及穩定收入的回報，我們可以承受中等水平的投資風險。
- D. Our main investment objective is growth oriented. We aim to achieve substantial capital growth with less emphasis on income generation and we can tolerate high risk of capital loss to achieve higher returns.
本公司的投資目標為增長主導。我們期望獲得來自資本增值為主而較少比重於固定收益的回報，我們願意承受較高的風險以換取更高的回報。
- E. Our main investment objective is aggressive growth. We aim to maximize capital growth and we are able to tolerate very high risk of capital loss which may exceed the initial invested value.
本公司的投資目標為積極增長。我們期望爭取最高回報，我們願意承受極高的資本損失，甚至能承受虧損大於起初的投資本金。

9. What is your company's acceptable level of potential loss on the investment amount?
貴公司可以接受的投資金額的潛在損失為多少？

- A. No capital loss 沒有任何資金損失
 B. Loss up to 10% 損失至 10%
 C. Loss up to 20% 損失至 20%
 D. Loss up to 50% 損失至 50%
 E. Total loss 全部損失



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10. Please indicate your company or your company's decision maker's investment experience on the following financial products:-
請指出貴公司或貴公司做出投資決策之人士有關下列投資產品的投資經驗：

Product 產品	Investment Experience 投資經驗	(A) None 沒有	(B) Less than 3 years 少於 3 年	(C) 4 – 6 years 4 – 6 年	(D) 7 – 10 years 7 – 10 年	(E) Over 10 years 超過 10 年
(a) Stocks 股票		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Exchange Traded Funds with different risk categories 具有不同風險類別的交易所買賣 基金		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Non Exchange Traded Funds with different risk categories such as Mutual Funds, Unit Trust Funds, Hedge Funds, Private Equity Funds etc. 具有不同風險類別的非交易所買 賣基金，例如互惠基金、單位信 託基金、對沖基金、私募股權基 金等		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(d) Fixed Income Products with different risk categories (Plain Vanilla) such as Bonds 具有不同風險類別（傳統類別） 的固定收益產品例如債券		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(e) Fixed Income Products (Complex) with features such as perpetual, convertible, callable features etc. 固定收益產品（複雜類別），具 有特殊性質如永續性質、可換股 性質、可贖回性質等		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f) Investment-lined Insurance Plans 投資相連保險計劃		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g) Listed Derivatives / Structured Products such as Equity Options, Futures, Futures Options, Warrants etc. 上市衍生工具／結構性產品例如 股票期權、期貨、期貨期權、認 股權證等		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(h) OTC Derivatives / Structured Products such as Accumulators, Decumulators etc. 場外衍生工具／結構性產品例如 累計期權等		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(i) Leveraged FX Trading 槓桿外匯投資		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(j) Others, please specify:- 其他，請註明：		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II. Knowledge of Derivative and Structured Products 衍生及結構性產品認識

HSL is required to assess our client's knowledge on derivatives instruments. The below questions facilitate HSL to make such assessment. HSL has the discretion not to make certain products available to its client based on the assessment result.

凱敏證券須要就客戶對金融衍生工具的知識進行評估。以下問題將有助凱敏證券進行該等評估。根據評估的結果，凱敏證券有酌情權拒絕向客戶出售某些產品。

- | | |
|---|---|
| <p>1. Has the personnel who makes investment decisions for your company ever attended any courses or seminars on structured or derivative product(s)?
貴公司負責作出投資決定的人員曾否接受有關結構性或衍生產品的培訓或修讀相關課程？</p> <p>Name of the courses/seminars is:
培訓或修讀課程之名稱為：
_____</p> <p>Date is 日期是：_____</p> | <p><input type="checkbox"/> Yes 有</p> <p><input type="checkbox"/> No 沒有</p> |
| <p>2. Does the personnel who makes investment decisions for your company have current or previous work experience related to structured or derivative products?
貴公司負責作出投資決定的人員現時或過去是否有與結構性或衍生產品有關的工作經驗？</p> <p>Your Employer's Name :
你的僱主名稱是：_____</p> <p>Employment Services Period:
在職日期：_____</p> | <p><input type="checkbox"/> Yes 有</p> <p><input type="checkbox"/> No 沒有</p> |
| <p>3. Has the personnel who makes investment decisions for your company executed five or more transactions in structured or derivative products within the past three years?
貴公司負責作出投資決定的人員曾否在以往三年內執行過五宗或以上結構性或衍生產品交易？</p> | <p><input type="checkbox"/> Yes 有</p> <p><input type="checkbox"/> No 沒有</p> |



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III. Assessment Results 評估結果			
Risk Profile Classification 風險取向類別			
Total Scores 總分	Risk Tolerance Level 風險承受程度	Client Risk Profile 投資者類型	Attributes and Risk Preferences 特性及風險取向
8 – 16	1 Low 低	Conservative 保守型	These clients are willing to accept lower returns in exchange for a higher degree of stability and certainty. Usually, they have little or limited expertise and experience in investment. 這類客戶願意接受較低回報來換取較高度的投資穩定性及肯定性。他們通常在投資上擁有少許或有限的專門知識及經驗。
17 – 24	2 Medium 中	Balanced 均衡型	These clients are willing to accept some investment risks in exchange for a potentially higher but relatively stable return and/or have a tendency to develop a lower risk investment portfolio. Usually, they have some experience and knowledge in financial investment. 這類客戶願意接受某些程度的投資風險來換取較高但相對穩定的潛在回報，及／或傾向建立較低風險的投資組合。他們通常對金融投資擁有一些經驗及知識。
25 – 34	3 Medium-High 中至高	Growth 增長型	These clients are willing to accept considerable investment risk in exchange for potentially a higher return and/or have sound financial capability to absorb the corresponding investment loss. Usually, they have reasonable expertise or experience in financial investment. 這類客戶願意接受相當程度的投資風險來換取較高的潛在回報，及／或擁有健全的財政實力來承受相應的投資損失。他們通常對金融投資擁有合理的專門知識或經驗。
35 – 43	4 High 高	Aggressive 進取型	These clients are willing to accept significant investment risk in exchange for potentially a significant return and/or have strong financial capability to bear loss from high-risk investment. Usually, they have considerable expertise or experience in financial investment. 這類客戶願意接受高投資風險來換取高的潛在回報，及／或擁有強健的財政實力來承受高風險投資的損失。他們通常對金融投資擁有相當的專門知識或經驗。
44 – 52	5 Very High 非常高	Very Aggressive 非常進取型	These clients are willing to accept significantly high investment risk in exchange for potentially a substantial return and/or have solid financial capability to tolerate loss in high-risk investment. They demonstrate their strong preference, expertise or experience in high-risk, structured or leveraged products. 這類客戶願意接受非常高的投資風險來換取巨額的潛在回報，及／或擁有強健的財政實力來承受高風險投資的損失。他們對高風險、結構性或槓桿產品表明有偏好、專門知識及經驗。

Your Company's Total Score is: 閣下的總得分為：			
Your Company chooses A for Q9 閣下第9題選A	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Your Company's Investment Risk Profile is: 閣下對應的風險取向為：	<input type="checkbox"/> Conservation 保守型 <input type="checkbox"/> Balanced 平衡型 <input type="checkbox"/> Growth 增長型 <input type="checkbox"/> Aggressive 進取型 <input type="checkbox"/> Very Aggressive 非常進取型
Your Company's Knowledge of Derivative and Structured Products is: 閣下對衍生及結構性產品認知為：		<input type="checkbox"/> Present 有 <input type="checkbox"/> Absent 沒有	
Remarks: 備註：			



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IV. Client's Confirmation, Undertaking and Signature 客戶確認、承諾及簽署

1. We confirm that our responses above are true, correct and accurate
我們確認我們的上述回答為真實、正確而且準確的；
2. We have agreed to have the whole of our conversation with the representative(s) with HSL in respect of this Questionnaire audio recorded;
我們已同意我們與凱敏證券的代表就本問卷之全部談話內容均可能被錄音；
3. We confirm that HSL may rely on information provided by us to determine our risk profiles and the type of investment products that would be suitable for us;
我們確認凱敏證券可根據我們提供的信息來確定我們的風險狀況，以及適合我們的投資產品類型；
4. We agree to inform HSL in writing on any change in any information provided in this Questionnaire and we understand that HSL will continue to rely on the information provided in the most recent Client Risk Profiling Questionnaire on HSL's records until HSL has received an updated version from us;
如本公司在本問卷填寫的資料有任何變動，我們同意以書面形式通知凱敏證券，並明白凱敏證券將繼續依照記錄中的最新版本，直至凱敏證券收到我們所提供的更新版本為止；
5. We confirm that the answers to this Questionnaire have been provided according to the instructions, and that the answers may be relied on by HSL in assessing the suitability of investment products for the Account, notwithstanding that the beneficiary(ies) of the Account may have different investment knowledge and experience, risk, capacity, risk tolerance, financial situation and investment objectives;
我們確認已根據填寫指引，提供本問卷的答案，亦明白凱敏證券在評估投資產品對賬戶的合適性時，可能會參照本問卷的答案，儘管該賬戶的實際受益人可能分別具有不同的投資知識和經驗，風險，能力，風險承受能力，財務狀況和投資目標；
6. We have also read, understood and agreed with all the details stated in this Questionnaire;
我們已閱讀，明白並同意包括本問卷內所有細節；
7. We understand that any inaccurate or incomplete information that we provide or have provided may affect HSL's suitability assessment of the investment products and services to be offered to us; and
我們了解由我們提供的任何欠缺準確性或不完整的信息，都可能影響凱敏證券對我們所提供的投資產品和服務適用性評估；及
8. We understand and accept that HSL does not make any final investment decisions for us, and that we are responsible for our own investment decision, including whether a product or service ultimately meets our needs or circumstances.
我們明白並接受凱敏證券不會為我們做出任何最終投資決定，我們需要為自己的投資決定負責，包括所提供的產品或服務，最終是否滿足我們的需求或情況。

Account Holder 賬戶持有人

- We **AGREE** with the above result of this Questionnaire, and confirm that all the above information provided by us is true, complete, accurate, and up-to-date.
我們**同意**本問卷的結果，並確認以上由本公司提供之所有資料均為真實、完整、準確及最新的。
- We **DISAGREE** with the above result of this Questionnaire, and believe that my Investment Risk Profile should be (Please note that you may only state a lower Risk Profile):
我們**不同意**本問卷的結果，並認為以下風險取向更適合本公司（請留意你們只能選取比評估所得結果較低的風險取向）：
- _____

Authorised Signature (with Company Chop)

授權人簽署（及公司蓋章）

Name of Authorised Signer

授權人姓名

Date

日期

Disclaimer 免責聲明

1. This assessment result in this Questionnaire is derived from the information provided to HSL by you through a pre-set risk assessment process and is intended to assist you to understand your investment needs and risk tolerance and is merely provided for reference only. No representation is made that any returns indicated will be achieved. Changes to the assumptions made or any information provided by you may have a material impact on the result indicated. Accordingly, HSL accepts no liability whatsoever as to the completeness or accuracy of the information or result contained in this document and in respect of any consequences should you choose to rely on the information or result contained herein.
 2. Before making any investment decisions, you should take into account your financial situation, investment experience, investment objectives and risk tolerance ability. Additionally, you should seek further consultation with investment professional(s) to more thoroughly understand the risks associated with securities investments, which include (but not limited to), market risk, political risk, credit risk, economic risk and currency risk. HSL will not be responsible for any consequences should you choose to rely on information herein contained.
 3. Similar to most types of investment, the returns and the value of principal may go up as well as down. As such, you may suffer substantial investment losses due to unfavourable market conditions during the course of investment. You should therefore only invest in line with own risk taking capability and circumstance. The choice of investments implied in this document is not a substitute for appropriate professional investment advice.
 4. HSL reserves the sole right to amend or vary the contents of this document from time to time without prior notice. In the event of any dispute, the decision of HSL shall be final and conclusive.
 5. The information contained in this document is provided solely for reference only and does not constitute any offer, solicitation, invitation, advice or recommendation to subscribe for or redeem any investment products. Investment involves risk. Past performance is not indicative of future performance. You should refer to the relevant offering documents for detailed information prior to making any investments.
 6. If you have any doubt about this document, independent professional advice should be sought.
1. 本問卷內的風險評估分析結果乃根據閣下向凱敏證券所提供的資料透過預設的投資風險評估程序所得。旨在協助閣下明白本身的投資需要及個人風險取向，並僅作參考用途。凱敏證券對風險評估分析結果的準確性及完整性並不作出任何聲明或保證。分析可基於某些假設。預測的回報未必可以達到，參考結果可因既定的假設或閣下提供資料有所改變而受影響。因此，凱敏證券不會就此文件內所載資料或結果的準確性及完整性或閣下倚賴該等資料或結果所招致的任何後果而承擔任何責任。
 2. 閣下於作出任何投資決定前，需仔細考慮閣下的財務狀況、投資經驗、投資目標及風險承受能力。而且，閣下應進一步諮詢專業投資顧問，以更全面了解投資證券所涉及的風險，包括（但不限於）市場風險、政治風險、信貸風險、經濟風險及貨幣風險。閣下因應本文件的資料而作出的投資決定，凱敏證券恕不為該投資結果負責。
 3. 與大多數投資項目類似，投資產品的價值可升可跌。因此，閣下可能因投資期間出現的不利市場狀況而承受重大的投資損失。閣下應根據自身風險承受能力及情況而投資。本文件所包含之投資選擇僅作參考用途，並不能代替適當的專業投資建議。
 4. 凱敏證券有權不時更改或修訂本文件之內容而無須作事先通知。如有任何爭議，凱敏證券有最終決定權。
 5. 此文件所載資料只備作參考用途，並不構成任何金融產品之要約、遊說、邀請、意見或建議。投資涉及風險，過往的表現不能預示將來的表現，在作出投資前，閣下應參閱有關招售文件內的詳細資料。
 6. 如閣下對此資料有疑問，應尋求獨立專業財務、稅務及法律意見。

Personal Information Collection Statement 個人資料收集聲明

The personal information collected will be used for any of the purposes set out above. Depending on the actual business or operational needs, the personal information collected may be transferred to (i) the administrative, operating or information technology departments of any member of the HSL; (ii) any third party service provider to HSL who has a legitimate need to obtain the information in connection with the provision of the relevant service to HSL; (iii) any business partner or other financial product issuer having business relationship with HSL who has a legitimate need to obtain the information in connection with the provision of the relevant financial product to the client; and (iv) any governmental, judicial, statutory or self-regulatory authority having competent jurisdiction over any member of HSL whether in Hong Kong or elsewhere. Subject to the aforesaid, the personal information held by us is kept confidential. This form will be destroyed not later than 1 year after it no longer serves any of the purposes set out herein. As part of the business records of HSL, this form may be retained for a substantial period of time due to the need to comply with applicable laws or regulatory requirements.

此表格所收集之個人資料將被使用於以下用途。基於實際的商業及營運需要，該等資料可能被 (i) 凱敏證券任何成員之行政、運作及資訊科技部門；(ii) 任何向凱敏證券提供服務之供應商，而該服務供應商就其提供有關服務是有合理需要知道相關資料的；(iii) 任何與凱敏證券有業務關係的商業夥伴或其他金融產品發行人，而該夥伴或發行人就其提供有關金融產品予客戶是有合理需要知道相關資料的；及 (iv) 任何對凱敏證券任何成員具有適當管轄權之政府機關、司法機關、法定機關或業界自我監管機關。除用於上述目的外，閣下之個人資料將會保密。如此表格不再適用於以上所提及之任何用途，將於其後一年內被銷毀；但此表格可能會被保留一段相當時間，以符合有關法律及監管要求。

Client may access or make corrections to any personal information provided to or collected by HSL, and such request can be made to HSL (address is Room 2117, 21/F, China Merchants Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong).

閣下有權查閱及要求更正凱敏證券持有有關閣下的個人資料，並以書面向凱敏證券（地址為香港干諾道中 168-200 號信德中心招商局大廈 21 樓 2117 室）提出要求。



凱敏證券有限公司

HERMES SECURITIES LIMITED

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Internal Use Only 僅供內部使用						
I. Calculation of the Client's Score 客戶所得分數						
Please calculate your scores according to the table below. 請根據下表計算您的得分。						
Question / Answer 問題 / 答案	A	B	C	D	E	Score 得分
1	5	4	3	2	1	
2	0	2	3	4	5	
3	1	2	3	4	5	
4	1	2	3	4	5	
5*	1	2	3	4	5	
6	5	4	3	2	1	
7^	1	2	3	4	5	
8^	1	2	3	4	5	
9&	0	2	3	4	5	
10#	(a)	0	3	5	7	9
	(b)	0	3	5	7	9
	(c)	0	3	5	7	9
	(d)	0	3	5	7	9
	(e)	0	4	6	8	10
	(f)	0	2	3	4	5
	(g)	0	4	6	8	10
	(h)	0	4	6	8	10
	(i)	0	4	6	8	10
	(j)	0	3	5	7	9
Total Score 總分						

* Clients who chose Q5(a) shall only be eligible for products with Risk Rating 1 – 2. No risk mismatch is permissible.

Clients who chose Q5(b) shall only be eligible for products with Risk Rating 1 – 3. No risk mismatch is permissible.

如選擇 5(a)，客戶只可選擇風險等級為 RR1 – RR2 的產品，並不容許「風險等級錯配」。

如選擇 5(b)，客戶只可選擇風險等級為 RR1 – RR3 的產品，並不容許「風險等級錯配」。

^ Q7 and Q8 are twin questions. The answers shall be considered together and the lower rank of score chosen for either Q7 or Q8 shall be applied to the other question as well. For example, for a client who chooses Q7(a) and Q8(b), the lower rank, i.e. (a), shall apply to Q8 as well. The combination of scores shall then be 1 + 1 instead of 1 + 2.

Clients who choose Q7(a) and/or Q8(a) shall only be eligible for products with Risk Rating 1 – 2. No risk mismatch is permissible.

Clients who choose Q7(b) and/or Q8(b) shall only be eligible for products with Risk Rating 1 – 3. Only 1 notched-up risk mismatch is permissible.

第 7 題和第 8 題為關連題目。得分請比較客戶選取之第 7 題和第 8 題之答案並同時應用較低層級之分數。如第 7 題為(a)及第 8 題為(b)，需應用較低的層級，即(a)，故得分將會是 1 + 1 分而非 1 + 2 分。

如選擇 7(a)及／或 8(a)，客戶只可選擇風險等級為 RR1 – RR2 的產品，並不容許「風險等級錯配」。

如選擇 7(b)及／或 8(b)，客戶只可選擇風險等級為 RR1 – RR3 的產品，並只容許進行一級的「風險等級錯配」的交易。

& The Client Risk Profile of Clients who choose Q9(a) shall be deemed as Conservative.

如選擇 9(a)，客戶的風險取向類別將被定為保守型。

The maximum score for Q10 is 10. When calculating the score for Q10, select only the option with the highest score. For instance, for a client who indicates 7 years experience in trading in stocks and 3 years in trading in bonds, select the option with the highest score, i.e. the client would get 7 instead of 7 + 3.

第 10 題的最高分數為 10。在計算第 10 題的分數時，只選擇最高分的選項。如客戶有 7 年買賣股票及 3 年買賣債券的經驗，只選擇最高分的選項，即客戶所得分數為 7 分而不是 7 + 3 分。



凱敏證券有限公司

HERMES SECURITIES LIMITED

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 168-200 Connaught Road Central, Hong Kong
 電話 Tel : (852) 2267 0998
 傳真 Fax: (852) 2267 0099
 電郵 E-mail: cs@vhermes.com.hk

II. Client's Investment Risk Profile 客戶投資風險取向			
Client's Investment Risk Profile is: 客戶對應的投資風險取向為：	<input type="checkbox"/>	Conservation	保守型
	<input type="checkbox"/>	Balanced	平衡型
	<input type="checkbox"/>	Growth	增長型
	<input type="checkbox"/>	Aggressive	進取型
	<input type="checkbox"/>	Very Aggressive	非常進取型
Client's Knowledge of Derivative and Structured Products is: 閣下對衍生及結構性產品認為：	<input type="checkbox"/>	Present	有
	<input type="checkbox"/>	Absent	沒有
Client's Consent: 客戶同意：	<input type="checkbox"/>	AGREED by Client 客戶同意	
	<input type="checkbox"/>	DISAGREED and the proposed Investment Risk Profile is: 客戶並不同意，並且應為投資風險取向應為：	
	<input type="checkbox"/>	Conservation	保守型
	<input type="checkbox"/>	Balanced	平衡型
	<input type="checkbox"/>	Growth	增長型
	<input type="checkbox"/>	Aggressive	進取型
	<input type="checkbox"/>	Very Aggressive	非常進取型
Constraints: 限制：	<input type="checkbox"/>	Only be eligible for products with Risk Rating 1 – 2. No risk mismatch is permissible. 客戶只可選擇風險等級為 RR1 – RR2 的產品，並不容許「風險等級錯配」	
	<input type="checkbox"/>	Only be eligible for products with Risk Rating 1 – 3. No risk mismatch is permissible. 客戶只可選擇風險等級為 RR1 – RR3 的產品，並不容許「風險等級錯配」	
	<input type="checkbox"/>	Only be eligible for products with Risk Rating 1 – 3. Only 1 notched-up risk mismatch is permissible. 客戶只可選擇風險等級為 RR1 – RR3 的產品，並只容許進行一級的「風險等級錯配」的交易	
	<input type="checkbox"/>	Others: 其他：	
Remarks: 備註：			
III. Licensed Representative's Declaration 持牌代表聲明			
姓名 Name		Date 日期	
CE Number 中央編號		Department 部門	
Recording Date, Time and Ext. No. 錄音日期、時間及分機號碼		Signature 簽署	
IV. RO's Approval 負責人員審批			
姓名 Name		Signature 簽署	
Date 日期			