Hermes 凱敏證券有限公司 HERMES SECURITIES LIMITED

Investment Risk Assessment Questionnaire
投資風險取向評估問卷
(Applicable to Individual / Joint Accounts Only)
（僅適用於個人／聯名帳戶）

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

This Investment Risk Assessment Questionnaire ("Questionnaire") is designed to assess your tolerance level for investment risk and expected investment return based on which we assess your general investment attitude towards investments and conduct assessment on the suitability of investment products for you.

Please carefully complete all questions of this assessment questionnaire by ticking the most appropriate answers that best describe your situation and risk profile. Any inaccurate, outdated or incomplete information provided may affect our assessment and as a result, the quality of our services provided to you. For regulatory purpose and to ensure that we continue to provide services to you based on your most current information, please notify us in a timely manner of any change in your circumstances that may affect your suitability assessment.

The results of this Questionnaire are derived from the information you 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 Hermes Securities Limited ("HSL"). You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions.

Due to regulatory needs, the whole of your conversation with 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.

本投資經驗及風險取向問卷（「本問卷」）協作我們評估閣下當前的財務狀況、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，以便我們可以評估投資產品是否適合閣下的需要。遞交任何欠缺準確性，過時，或不完整的資料，都可能影響我們對閣下的評估，以及我們為閣下提供的服務質素。每個帳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，並確保我們可以根據閣下提供的最新訊息為閣下提供服務，如果閣下的情況有任何轉變並有可能影響閣下的適合性評估，閣下需盡快通知我們。

此問卷的結果乃根據閣下向我們所提供的資料而制定的並僅作為閣下在作出閣下的投資決定時的參考。此客戶風險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有限公司（「凱敏證券」）的產品或服務的任何保證。閣下在做出任何投資決定之前，應該考慮自己的個人狀況，包括但不限於閣下的財務狀況，投資經驗和投資目標。

基於監管規定，閣下與本公司職員就本問卷之全部談話內容均可能被錄音，除非證監會及／或任何其他監管者要求，否則閣下提供的資料將絕對保密。

香港干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室
2810 CHINA MERCHANTS TOWER, SHUN TAK CENTER, 168-200 CONNAUGHT ROAD CENTRAL, HONG KONG
電話 TEL: (852) 2267 0998 傳真 FAX: (852) 2267 0099

I. Questionnaire 問卷

Instructions for completion 填寫指引

Please tick where applicable. 請在適當的地方加上剔號。

(Applicable to Joint Account)
The Questionnaire shall be completed by the account holder whom both account holders agree to be the most relevant in relation to the operation of this account. Written confirmation and consent to the answers of this Questionnaire by both account holders shall be obtained.
(適用於聯名帳戶)本問卷應由兩位帳戶持有人均同意為與帳戶的操作最相關的帳戶持有人填寫，並須獲得兩位帳戶持有人的書面確認及同意。

1. Which age group do you belong to?
閣下屬於以下哪個年齡組別?

☐ A. 18 – 24 years old 18 – 24 歲
☐ B. 25 – 34 years old 25 – 34 歲
☐ C. 35 – 50 years old 35 – 50 歲
☐ D. 51 – 64 years old 51 – 64 歲
☐ E. 65 years old or above 65 歲或以上

2. What is your highest education qualification?
閣下的最高學歷為？

☐ A. Primary school or below 小學或以下
☐ B. Secondary school 中學
☐ C. University or above 大學或以上
☐ D. Professional qualifications (related to Accounting/Economics/Finance) 專業資格（與會計／經濟／金融學科相關）

3. In terms of your average monthly household expenses, how much have you reserved for the emergency cases (including cash and liquid assets which can be easily converted into cash, for example, actively traded stock, mutual fund etc.)?
按閣下的每月平均家庭開支計算，閣下預留多少資金作為緊急用途（包括現金及任何高流動性資產，如交投活躍的股票、基金）？

☐ A. Less than 1-month household expenses 少於 1 個月的家庭開支
☐ B. 1-month to less than 6-month household expenses 1 個月至 6 個月以下的家庭開支
☐ C. 6-month to less than 12-month household expenses 6 個月至 12 個月以下的家庭開支
☐ D. 12-month to less than 24-month household expenses 12 個月至 24 個月以下的家庭開支
☐ E. 24-month or more household expenses 24 個月或以上的家庭開支

4. Which of the following is the maximum investment horizon that you feel comforable with for your portfolio?
請問以下那一項是能令您感到安心的最長投資年期?

*Longer-term investors may be in a better position to allocate a larger 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 investments need to be held for a period matching your horizon. Do note that there may be periods within your time horizon during which your portfolio may underperform or outperform compared to your objectives.
較為長線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您對短期產品的選擇，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 1year 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

5. How much of your after- tax income would you like to set aside for savings or investments?
閣下願意撥出多少稅後收入作為儲蓄或投資用途?

☐ A. Less than 5% 少於 5%
☐ B. 5% to less than 10% 5%至 10%以下
☐ C. 10% to less than 20% 10%至 20%以下
☐ D. 20% to less than 30% 20%至 30%以下
☐ E. More than 30% 30%或以上

6. What is the percentage of your total net worth (excluding your self-occupied property) that allocated for investment purpose?
閣下用作投資的資金平均佔閣下的總資產淨值（不包括自住物業）多少百分比?

☐ A. Less than 10% 少於 10%
☐ B. 10% to less than 20% 10%至 20%以下
☐ C. 20% to less than 30% 20%至 30%以下
☐ D. 30% to less than 40% 30%至 40%以下
☐ E. More than 40% 40%或以上

7. What is the highest level of price fluctuation you are willing to accept for a single investment?
在單項投資上，閣下願意接受最高程度的價格波動

☐ 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 general attitude towards investment return and risks?
以下哪項描述最符合閣下對投資回報與風險所持的一般態度？

☐ A. My main investment objective is capital preservation. I aim to achieve investment returns slightly above deposit rates and I can only tolerate minimal capital loss. 我的投資目標為保本主導。我期望獲得稍高於銀行存款利率的投資回報，我可以承受輕微程度的資本損失。

☐ B. My main investment objective is income oriented. I aim to generate regular income returns above deposit rates or counteract inflation and I can tolerate low risk of capital loss. 我的投資目標為收入主導。我期望獲得高於定期存款利率的穩定收入或抵抗通脹的定期回報，我可以承受較低資本損失。

☐ C. My main investment objective is income and growth oriented. I aim to achieve returns from both capital appreciation and stable income and I can tolerate moderate risk of capital loss. 我的投資目標為收入及增長主導。我期望獲得來自資本增長及穩定收入的回報，我可以承受中等水平的投資風險。

☐ D. My main investment objective is growth oriented. I aim to achieve substantial capital growth with less emphasis on income generation and I can tolerate high risk of capital loss to achieve higher returns. 我的投資目標為增長主導。我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，我願意承受較高的風險以換取更高 的回報。

☐ E. My main investment objective is aggressive growth. I aim to maximize capital growth and I am able to tolerate very high risk of capital loss which may exceed the initial invested value. 我的投資目標為積極增長。我期望爭取最高回報，我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 acceptable level of potential loss on the investment amount?
閣下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

香港干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室
2810 CHINA MERCHANTS TOWER, SHUN TAK CENTER, 168-200 CONNAUGHT ROAD CENTRAL, HONG KONG
電話 TEL: (852) 2267 0998 傳真 FAX: (852) 2267 0099

10. Please indicate your investment experience on the following financial products:- 請指出閣下有關下列投資產品的投資經驗：						
Investment Experience 投資經驗 / Product 產品	(A) None 沒有	(B) Less than 1 year 少於 1 年	(C) 1 – 3 years 1 – 3 年	(D) 4 – 6 years 4 – 6 年	(E) 7 – 10 years 7 – 10 年	(F) Over 10 years 超過 10 年
(a) Stocks 股票	☐	☐	☐	☐	☐	☐
(b) Exchange Traded Funds with different risk categories 具有不同風險類別的交易所買賣基金	☐	☐	☐	☐	☐	☐
(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	☐	☐	☐	☐	☐	☐
(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	☐	☐	☐	☐	☐	☐
(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	☐	☐	☐	☐	☐	☐
(f) Investment-lined Insurance Plans 投資相連保險計劃	☐	☐	☐	☐	☐	☐
(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	☐	☐	☐	☐	☐	☐
(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	☐	☐	☐	☐	☐	☐
(i) Leveraged FX Trading 槓桿外匯投資	☐	☐	☐	☐	☐	☐
(j) Others, please specify:- 其他，請註明：	☐	☐	☐	☐	☐	☐

香港干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室
2810 CHINA MERCHANTS TOWER, SHUN TAK CENTER, 168-200 CONNAUGHT ROAD CENTRAL, HONG KONG
電話 TEL: (852) 2267 0998 傳真 FAX: (852) 2267 0099

II. 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 Total Score is: 閣下的總得分為：	
Your Investment Risk Profile is: 閣下對應的風險取向為：	☐ Conservation 保守型 ☐ Balanced 均衡型 ☐ Growth 增長型 ☐ Aggressive 進取型 ☐ Very Aggressive 非常進取型
Remarks: 備註：	

香港干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室
2810 CHINA MERCHANTS TOWER, SHUN TAK CENTER, 168-200 CONNAUGHT ROAD CENTRAL, HONG KONG
電話 TEL: (852) 2267 0998 傳真 FAX: (852) 2267 0099

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

1. I/We confirm that my/our responses above are true, correct and accurate; 本人／我們確認本人／我們的上述回答為真實、正確而且準確的；

2. I/We have agreed to have the whole of my conversation with the representative(s) with (Hermes) in respect of this Questionnaire audio recorded; 本人／我們已同意本人／我們與(凱敏)的代表就本問卷之全部談話內容均可能被錄音；

3. I/We confirm that (Hermes) and/or Hermes Securities Limited may rely on information provided by me /us to determine my/our risk profiles and the type of investment products that would be suitable for me/us;
本人／我們確認凱敏證券限公司和我們提供的信息來確定本人／我們的風險狀況，以及適合本人／我們的投資產品類型；

4. I/We agree to inform (Hermes) in writing on any change in any information provided in this Questionnaire and I/we understand that (Hermes) will continue to rely on the information provided in the most recent Investment Risk Profiling Questionnaire on Hermes's records until Hermes has received an updated version from me/us;
如本人／我在本問卷填寫的資料有任何變動，本人／我們同意以書面形式通知凱敏，並明白凱敏將繼續依照記錄中的最新版本，直至凱敏收到我/我們所提供的更新版本為止；

5. I/We confirm that the answers to this Questionnaire have been provided according to the instructions, and that the answers may be relied on by Hermes in assessing the suitability of investment products for the Account, notwithstanding that other account holders of the Account may individually have different investment knowledge and experience, risk, capacity, risk tolerance, financial situation and investment objectives;
本人／我們確認已根據填寫指引，提供本問卷的答案，亦明白凱敏在評估投資產品對帳戶的合適性時，可能會參照本問卷的答案，儘管該帳戶的其他帳戶持有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. I/We have also read, understood and agreed with all the details stated in this Questionnaire; 本人／我們已閱讀，明白並同意包括本問卷內所有細節；

7. I/We understand that any inaccurate or incomplete information that I/we provide or have provided may affect Hermes's suitability assessment of the investment products and services to be offered to me/us; and
本人／我們了解由本人／我們提供的任何欠缺准確性或不完整的信息，都可能影響凱敏對本人／我們所提供的投資產品和服務適用性評估；及

understand and accept that VCL does not make any final investment decisions for me/us, and that I/we am/are responsible for my/our own investment decision, including whether a product or service ultimately meets my/our personal needs or circumstances.
本人／我們明白並接受凱敏不會為本人／我們做出任何最終投資決定，本人／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，最終是否滿足本人／我們的個人需求或情況。

Account Holder 1 帳戶持有人 1	Account Holder 2 帳戶持有人 2
☐ I **AM** the account holder that is the most relevant in relation to the operation of this account. I **AGREE** with the above result of this Questionnaire, and confirm that all the above information provided by me is true, complate, accurate, and up-to-date; 本人**是**與帳戶的操作最相關的帳戶持有人。本人**同意**本卷的結果，並確認以上由本人提供之所有資料均為真實、完整、準確及最新的。	☐ I **AM** the account holder that is the most relevant in relation to the operation of this account. I **AGREE** with the above result of this Questionnaire, and confirm that all the above information provided by me is true, complate, accurate, and up-to-date; 本人**是**與帳戶的操作最相關的帳戶持有人。本人**同意**本卷的結果，並確認以上由本人提供之所有資料均為真實、完整、準確及最新的。
☐ I am **NOT** the account holder that is the most relevant in relationto the operation of this account. I **AGEE** with the above result of this Questionnaire. 本人**不是**與帳戶的操作最相關的帳戶持有人。本人**同意**問卷的 結果。	☐ I am **NOT** the account holder that is the most relevant in relationto the operation of this account. I **AGEE** with the above result of this Questionnaire. 本人**不是**與帳戶的操作最相關的帳戶持有人。本人**同意**問卷的 結果。
☐ I **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): 本人**不同意**本問卷的結果，並認為以下風險取向更適合本人(請留意閣下只能選取比評估所得結果較低的風險取向): ____________________	☐ I **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): 本人**不同意**本問卷的結果，並認為以下風險取向更適合本人(請留意閣下只能選取比評估所得結果較低的風險取向): ____________________
Client Signature 客戶簽署 ____________________	Client Signature 客戶簽署 ____________________
Client Name 客戶姓名 ____________________	Client Name 客戶姓名 ____________________
Date 日期 ____________________	Date 日期 ____________________

香港干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室
2810 CHINA MERCHANTS TOWER, SHUN TAK CENTER, 168-200 CONNAUGHT ROAD CENTRAL, HONG KONG
電話 TEL: (852) 2267 0998 傳真 FAX: (852) 2267 0099

Disclaimer 免責聲明

1. The investment risk assessment result in this Questionnaire is derived from the information provided to the Company 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, the Company 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. The Company 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. The Company 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 the Company 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本公司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。本公司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，本公司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，本公司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. 本公司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，本公司有最終決定權。

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 1year 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）任何向本公司提供服務之供應商，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）任何與本公司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）任何對本公司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 Hremes Securities Limited, and such request can be made to Hermes Securities Limited (address is Room 2810, 28/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本公司持有有關閣下的個人資料，並以書面向本公司（地址為香港干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室）提出要求。

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**	**F**	**Score 得分**
1	1	2	3	2	1		
2	1	2	3	4			
3*	1	2	3	4	5		
4	1	2	3	4	5		
5	1	2	3	4	5		
6	1	2	3	5	4		
7^	1	2	3	4	5		
8^	1	2	3	4	5		
9&	0	2	3	4	5		
10# (a)	0	1	3	5	7	10	
10# (b)	0	1	3	5	7	10	
10# (c)	0	1	3	5	7	10	
10# (d)	0	1	3	5	7	10	
10# (e)	0	1	3	5	7	10	
10# (f)	0	1	2	3	4	5	
10# (g)	0	1	3	5	7	10	
10# (h)	0	1	3	5	7	10	
10# (i)	0	1	3	5	7	10	
10# (j)	0	1	3	5	7	10	
Total Score 總分							

* Clients who chose Q3(a) shall only be eligible for products with Risk Rating 1 – 2. No risk mismatch is permissible.
Clients who chose Q3(b) shall only be eligible for products with Risk Rating 1 – 3. No risk mismatch is permissible.
如選擇 3(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 3(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。

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：	☐ Conservation 保守型 ☐ Balanced 均衡型 ☐ Growth 增長型 ☐ Aggressive 進取型 ☐ Very Aggressive 非常進取型
Client's Consent: 客戶同意：	☐ **AGREED** by Client / **BOTH** Account Holder 客戶／兩位帳戶持有人均同意 ☐ **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： ☐ Conservation 保守型 ☐ Balanced 均衡型 ☐ Growth 增長型 ☐ Aggressive 進取型 ☐ Very Aggressive 非常進取型
Constraints: 限制：	☐ 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」 ☐ 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」 ☐ 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 ☐ Others: 其他：
Remarks: 備註：	

III. **Licensed Representative's Declaration 持牌代表聲明**

Name 姓名		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**

Name 姓名		Signature 簽署	
Date 日期			

香港干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室
2810 CHINA MERCHANTS TOWER, SHUN TAK CENTER, 168-200 CONNAUGHT ROAD CENTRAL, HONG KONG
電話 TEL: (852) 2267 0998 傳真 FAX: (852) 2267 0099