



CORPORATE CUSTOMER INVESTMENT RISK PROFILE QUESTIONNAIRE 公司客戶投資風險取向問卷

Account No. 客戶賬戶號碼	Account Name 賬戶名稱
--------------------	-------------------

Notice to Customer(s) 客戶須知:

- The following questionnaire is to be completed by the person who is responsible for making investment decision of your corporation.
以下問卷請由貴公司負責作出投資決定的人士來填寫。
- This questionnaire is designed to help United Securities Limited (“USL”) to collect information about your risk appetite, financial situation, investment experience, investment objectives and investment horizon. USL is required to collect information in order to assess your investment risk profile, investment risk tolerance and investment attitude and make reasonable product suitability assessment. The collection of these information in this questionnaire does not constitute any offer, solicitation or recommendation of any investment product or services and it should not be regarded as an investment advice. This questionnaire is not a comprehensive financial planning tool and is not a substitute for independent professional advice. You should also consider your own circumstances and (if appropriate) consider consulting your independent investment adviser before making any investment decisions.

本問卷用以協助團結證券有限公司（「團結證券」），收集及獲取有關貴公司的風險取向、財政狀況、投資經驗、投資目標及投資年期的資料。為評估貴公司的投資風險取向、投資風險承受能力和投資態度及讓團結證券作出合理的產品合適性評估，團結證券需要貴公司提供以上有關資料。搜集及使用本問卷內的資料並不構成任何投資產品或服務的要約、招攬或建議，且不應被視為一項投資建議。本問卷並非全面的理財策劃工具，不能取代獨立的專業意見。於做出任何投資決策前，貴公司應考慮自身情況及(如適用)考慮諮詢貴公司的獨立投資顧問。
- 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 of your holdings and transactions, whether within USL or not, should be taken into account.
有關貴公司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，應包括貴公司在團結證券之內及以外的所有資產及交易。
- In the case of Complex Bonds, these are bonds with special features (including, but not limited to, perpetual or subordinated bonds, or those with variable or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures) and/or bonds comprising one or more special features.**
就複雜債券而言，該等債券是指具有某些特點的債券（包括（但不限於）屬永續性質或後償性質的債券，或那些具有浮息或延遲派付利息條款、可延遲到期日，或那些屬可換股或可交換性質或具有或然撇減或彌補虧損特點的債券，或那些具備非單一信貸支持提供者及結構的債券）及／或由一項或以上特點組成的債券。



5. All information obtained in this questionnaire will be used and kept confidential in accordance with our “Notice to Clients Related to the Personal Data (Privacy) Ordinance”.
團結證券將會根據其「關於個人資料(私隱)條例客戶通知」使用並保密處理本問卷所收集的資料。
6. The results of this questionnaire are derived from your information provided to USL. You must provide information that is valid, true, complete, accurate and up-to-date.
本問卷的結果乃根據貴公司提供給團結證券的資料得出。請貴公司務必提供有效、真實、完整、準確及最新的資料。

Please choose the most appropriate answer.
請選出最適合的答案。

1. Does your company have any qualified professionals to make investment / hedging decisions?
貴公司是否擁有合資格的專業人員負責投資 / 對沖決策？

<input type="checkbox"/>	(a)	Yes, we have an independent division / team within our company to make investment / hedging decision. 是，本公司內部擁有一個獨立部門/團隊，負責投資 / 對沖決策。
<input type="checkbox"/>	(b)	Yes, we have senior management with relevant professional qualifications to make investment / hedging decisions. 是，本公司的高級管理層具備專業資格，可負責投資 / 對沖決策。
<input type="checkbox"/>	(c)	No, but we have adequate knowledge in financial investment. 否，但本公司對金融投資有足夠的認識。
<input type="checkbox"/>	(d)	No, but we have some knowledge in financial investment. 否，但本公司對金融投資略有認識。
<input type="checkbox"/>	(e)	No, we have little knowledge in financial investment. 否，本公司對金融投資認識不多。

2. What is the percentage of surplus that your company will allocate to financial investment?
貴公司會把多少盈餘撥作金融投資？

<input type="checkbox"/>	(a)	Less than 少於 10%
<input type="checkbox"/>	(b)	10% to 至 20%
<input type="checkbox"/>	(c)	21% to 至 30%
<input type="checkbox"/>	(d)	31% to 至 50%
<input type="checkbox"/>	(e)	More than 多於 50%

3. What is the percentage of net liquid asset (i.e. cash or assets easily converted into cash, for example, foreign currencies, bullion, and freely tradable securities) that your company will set aside for financial investment?
貴公司會預留多少百分比的淨流動資產（即現金或容易變為現金的資產如外幣、金銀條、自由買賣的證券等）作金融投資？

<input type="checkbox"/>	(a)	Less than 少於 10%
<input type="checkbox"/>	(b)	10% to 至 20%
<input type="checkbox"/>	(c)	21% to 至 30%
<input type="checkbox"/>	(d)	31% to 至 50%
<input type="checkbox"/>	(e)	More than 多於 50%



4. In terms of average monthly operational expenses, how much does your company set aside for emergency use?

以平均每月營運開支計算，貴公司預留以應付不時之需的金額為多少？

<input type="checkbox"/>	(a)	Less than 1-month operational expenses 少於1個月的營運開支
<input type="checkbox"/>	(b)	1-month to less than 6-month operational expenses 1至6個月以下的營運開支
<input type="checkbox"/>	(c)	6-month to less than 12-month operational expenses 6至12個月以下的營運開支
<input type="checkbox"/>	(d)	12-month to less than 24-month operational expenses 12至24個月以下的營運開支
<input type="checkbox"/>	(e)	24-month or more operational expenses 24個月或以上的營運開支

5. How long is the expected investment horizon of your company?

貴公司預期中的投資年期為多少？

<input type="checkbox"/>	(a)	Less than 1 year 少於1年
<input type="checkbox"/>	(b)	1 year to 5 years 1年至5年
<input type="checkbox"/>	(c)	6 years to 10 years 6年至10年
<input type="checkbox"/>	(d)	11 years to 20 years 11年至20年
<input type="checkbox"/>	(e)	More than 20 years 20年以上

6. Which statement can best describe the general attitude of your company towards financial investment?

以下哪一句子最能貼切描述貴公司對金融投資的一般態度？

<input type="checkbox"/>	(a)	We cannot accept any price fluctuation and have no interest on earnings. 本公司不能接受任何價格波動，並且對賺取投資回報不感興趣。
<input type="checkbox"/>	(b)	We can only accept little price fluctuation and wish to have earnings slightly higher than bank deposit rates. 本公司只能接受較小幅度的價格波動，並且僅希望賺取稍高於銀行存款利率的回報。
<input type="checkbox"/>	(c)	We can accept some price fluctuation and wish to have earnings much better than bank deposit rates. 本公司可接受若干價格波幅，並希望賺取遠高於銀行存款利率的回報。
<input type="checkbox"/>	(d)	We can accept high degree of price fluctuation and wish to have earnings comparable to the stock market indexes. 本公司可接受大幅度的價格波動，並希望賺取與股市指數表現相若的回報。
<input type="checkbox"/>	(e)	We can accept any price fluctuation and wish to have earnings remarkably higher than the stock market indexes. 本公司可接受任何幅度的價格波動，並希望回報能跑贏股市指數。



7. Would “Buy” Transactions of any investment product(s) be executed by your company over the past 36 months? If Yes, please specify the numbers of “Buy” Transaction of relevant investment product. (Tick one or more)

貴公司最近 36 個月內曾否執行以下任何投資產品之[買入]交易？若有，請註明其有關之投資產品的[買入]次數。（可選擇多於一項）

(i) **NON-COMPLEX PRODUCTS**
非複雜產品

<input type="checkbox"/>	(a)	Shares listed and regularly traded on internationally recognized stock exchanges 於國際認可證券交易所上市及進行定期交易的股份	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(b)	Non-complex Bonds (including callable bonds without other special features) <i>(Please refer to Clause 4 of Notice to Customer(s))</i> 非複雜債券，包括不具有其他特點的可贖回債券 (請參閱客戶須知第 4 條)	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(c)	Non-derivative Authorized Funds 認可的非衍生產品基金	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(d)	Non-derivative Exchange Traded Funds 非衍生產品交易所買賣基金	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(e)	Real Estate Investment Trusts 房地產投資信託基金	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上

(ii) **COMPLEX PRODUCTS - DERIVATIVES TRADED ON AN EXCHANGE**
複雜產品 - 在交易所買賣的衍生產品

<input type="checkbox"/>	(a)	Futures & Options 期貨及期權	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(b)	Derivative Warrants 衍生權證	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(c)	Callable Bull/Bear Contracts 牛熊證	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(d)	Listed share options 上市認股權	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(e)	Synthetic Exchange Traded Funds 合成交易所買賣基金	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(f)	Futures-based Exchange Traded Funds 期貨交易所買賣基金	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上
<input type="checkbox"/>	(g)	Leverage and Inverse Products 槓桿及反向產品	<input type="checkbox"/>	Less than 5 times 少於 5 次
			<input type="checkbox"/>	5 times or More 5 次及以上



(iii) **OTHER COMPLEX PRODUCTS**
其他複雜產品

<input type="checkbox"/>	(a)	Complex Bonds (<i>Please refer to Clause 4 of Notice to Customer(s)</i>) 複雜債券 (請參閱客戶須知第4條)	<input type="checkbox"/>	Less than 5 times 少於5次
			<input type="checkbox"/>	5 times or More 5次及以上
<input type="checkbox"/>	(b)	Derivative funds 衍生產品基金	<input type="checkbox"/>	Less than 5 times 少於5次
			<input type="checkbox"/>	5 times or More 5次及以上
<input type="checkbox"/>	(c)	Hedge Funds 對沖基金	<input type="checkbox"/>	Less than 5 times 少於5次
			<input type="checkbox"/>	5 times or More 5次及以上
<input type="checkbox"/>	(d)	Unlisted Structured Investment Products 非上市結構性投資產品	<input type="checkbox"/>	Less than 5 times 少於5次
			<input type="checkbox"/>	5 times or More 5次及以上

DECLARATIONS AND SIGNATURE

聲明及簽署

- (1) We acknowledge and agree that the personal information collected from us in this form, together with any subsequent alterations or supplements to it, is being collected by United Securities Limited (“USL”). We further acknowledge and confirm that we have received and read “Personal Data Protection” section of the Customer Agreement entered into between us and USL (the “Client Agreement”) (as amended from time to time). We understand and agree that the personal information collected from us in this form, together with any subsequent alterations or supplements to it, can be used and/or transferred to any of the transferees in accordance with any of the uses and purposes (including in relation to direct marketing) as described in the Client Agreement.

本公司確認及同意從本公司在本表格上收集的個人資料及日後之任何改動或補充，乃由團結證券有限公司（「團結證券」）所收集。本公司進一步確認及確定，本公司已收訖及閱畢與團結證券簽定的客戶協議書之「個人資料保護」章節（「客戶協議書」）（不時作出修訂）。本公司理解及同意從本公司在本表格上收集的個人資料及日後之任何改動或補充，可根據客戶協議書內所描述的使用及目的（包括直接促銷）被使用及/或轉交予任何受讓人。

- (2) We have a right to request access to and correction of our personal data by writing to the Data Protection Officer, United Securities Limited, Suites 903-905, 9/F, Shui On Centre, 6-8 Harbour Road, Wan Chai, Hong Kong.

本公司可致函 香港灣仔港灣道6至8號瑞安中心九樓903-905室 資料保護主任，要求查閱及更改本公司的個人資料。

Signed by 簽署:

Authorised Signatories with Company Chop
授權簽署及公司蓋章

Account Name 賬戶名稱

Date 日期



Internal Review Record (For Official Use Only)

內部審核記錄 (只供本行使用)

Question Number 問題	Score 分數							Remark 備註
	A	B	C	D	E	F	G	
1	7	5	3	2	1			
2	1	2	3	4	5			
3	1	2	3	5	5			
4	0	1	3	5	5			
5	1	2	3	5	5			
6 [#]	0	1	3	4	5			
7(i) ^{*#}	3	5	5	5	3			(Only use the highest score of the answers 只選用得分最高的答案)
7(ii) ^{*#}	7	7	7	7	7	7	7	
7(iii) ^{*#}	9	9	9	9				

* As the question allows multiple answers, only the answer carrying the highest score is used in the calculation.
由於問題可選多於一項答案，計算時只選用得分最高的答案。

If the answer to question 6 is "A", the score of question 7(i), 7(ii) & 7(iii) is zero, which means the total risk score does not count the Customer's investment experience and holdings of investment products.
如在第6條的答案是「A」，第7(i)條、7(ii)條及7(iii)條的得分均是零，即總風險分數不會計算客戶的投資經驗及持有的投資產品。

Risk Score 風險分數	Risk Level 風險級別	Risk Profile 風險取向	General Risk Profile Description 風險取向描述
4 – 8	1	Low 低	The Customer can accept investments with low risk exposure and price fluctuation for small returns. 客戶能接受較低風險和價格波動的投資以取得較少的回報。
9 – 17	2	Low to Medium 低至中	The Customer can accept investments with low to medium risk exposure and price fluctuation for some returns. 客戶能接受低至中度風險和價格波動的投資以取得一些回報。
18 – 27	3	Medium 中	The Customer can accept investments with medium risk exposure and price fluctuation for capital growth potential. 客戶能接受中度風險和價格波動的投資以取得資本增值的潛力。
28 – 34	4	Medium to High 中至高	The Customer can accept investments with medium to high risk exposure and price fluctuation for some capital growth. 客戶能接受中至高度風險和價格波動的投資以取得一些資本增值。
35 – 41	5	High 高	The Customer can accept investments with high risk exposure and price fluctuation for substantial capital growth. 客戶能接受較高風險和價格波動的投資以取得顯著的資本增值。

Please calculate the points received from the Customer:
請計算客戶獲取的得分：

Please categorise the Risk Level of the Customer based on the points received from the Customer:
請根據客戶獲取的積分對客戶的風險級別進行分類：

Handled By (Name/Signature/Date):	Approved By (Name/Signature/Date):
Endorsed By (Name/Signature/Date):	Input By (Name/Signature/Date):
Data Checked By (Name/Signature/Date):	Remarks: