



客戶風險取向問卷 (個人/聯名客戶適用)
Client Risk Profiling Questionnaire (For Individual/ Joint Account)

此問卷為根據閣下承受風險的能力及風險接受程度以評估閣下的投資風險取向。如閣下的情況或投資目標有變，應儘快聯絡我們及更新閣下在此問卷的資料，以便重新評估閣下的投資風險取向。

This questionnaire serves to help you assess your risk profile based on your ability to take risk and your risk tolerance level. If your circumstances or investment objectives change, you should approach us and update your information in this questionnaire at your earliest convenience for us to reassess your risk profile.

賬戶持有人姓名 Account Name	賬戶號碼 Account No.
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風險取向參考 Risk Profile Reference			
總評分 Total Score	風險級別 Risk Level	投資取向 Risk Profile	簡述 Description
≤16	低 Low	穩妥型 Conservative	你對投資於任何令資本承受風險的產品均不樂意。你的回報很可能只會限於當時的存款利率或更低，並未必能夠高於通脹。你的投資目標首要條件為保本。 You do not tend to invest in risk-bearing products. The return from the investment is likely subject to or lower than the prevailing deposit interest rate and it may be lower than the inflation rate. Your primary investment objective is capital preservation.
17-22	低至中 Low to Medium	審慎型 Moderate	表示你的投資 Means your investment : ● 以一個較低程度的投資風險去賺取多過一般存款的回報潛力，以及於通漲下能維持你的資本。 Is capable to gain a return just higher than the ordinary deposit interest rate and to preserve your capital under inflation. ● 能承受投資產品的市場價值可能波動並跌至低於你原本的投資額。 Is capable to withstand the fluctuation of the market value of investment products and the fall of value to a sum below your original investment amount ● 以持有或保本為主。 Is mainly to hold or preserve capital.
23-33	中 Medium	增值型 Growth	表示你的投資 Means your investment : ● 以一個較高程度的投資風險去賺取於不同年期的較高回報。 Has taken a higher investment risk from different investment period to gain a higher return. ● 能承受投資產品的市場價值波動幅度較大並可能跌至低於你的投資資本。 Bears a higher degree of tolerance to withstand the fluctuation of the market value of investment products and the fall of value to a sum below your original investment amount. ● 比「審慎型」所能接受的波幅更大及投資產品類型為多。 Bears a higher level of tolerance of volatility and of variety of investment products.
34-44	中至高 Medium to High	進取型 Aggressive	表示你的投資 Means your investment : ● 以不同年期及不同程度的投資風險，去賺取高於市場一般性的回報潛力。 Is to gain a return higher than the general potential return prevails at the market from time to time by taking up investment risks of different degree and by adopting different investment period. ● 能承受投資產品的市場價值可能大幅波動並跌至遠低於你的投資資本。 Bears a higher degree of tolerance to withstand the fluctuation of the market value of investment products and the fall of value to a sum far below your original investment amount. ● 可能會應用股票以外的投資工具。 May apply investment instruments other than stocks.
≥45	高 High	投機型 Speculative	表示你的投資 Means your investment : ● 於不同年期，或甚至即日期間，以不同程度及非常高程度的投資風險，去賺取非常高的回報潛力。 Is to seize the potential opportunity of a very high return by adopting different investment period (as short as one day) and by taking up different degree, including very high degree, of investment risks. ● 能承受投資產品的市場價值大幅波動並跌至顯著低於你的投資資本或甚至為零 Is capable to withstand significant fluctuation of market value of investment products and the fall of value to a sum far below your original investment amount. ● 以不同風險程度的投資工具及杠杆去達至你的目標回報 Is to achieve your target return by adopting investment instruments of different risks and by leveraging.

Please complete below question 請回答以下問題		Score 分數
1	What is your age? 閣下的年齡是? <input type="checkbox"/> 18-35 <input type="checkbox"/> 36-45 <input type="checkbox"/> 46-55 <input type="checkbox"/> 56-64 <input type="checkbox"/> 65 or above 或以上	(5) (4) (3) (2) (1)
2	What is your highest education level? 閣下的教育程度是? <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 大專 <input type="checkbox"/> Non-finance related degree or above 大學或以上 (非財務學相關) <input type="checkbox"/> Finance degree or above/equivalent finance professional qualification 大學或以上 (財務學相關/同等財務學相關專業資格)	(1) (2) (3) (4) (5)
3	What is your expected investment horizon? 閣下預期中的投資年期為多久? <input type="checkbox"/> 10 or above 或以上 <input type="checkbox"/> 7-10 <input type="checkbox"/> 4 - 6 <input type="checkbox"/> 1 - 3 <input type="checkbox"/> Less than a year 少於 1 年	(5) (4) (3) (2) (1)

4 What is your current investment objective? 閣下現時之投資目標是?

Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報 (1)

Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報 (2)

Stable and balanced income and capital growth 穩定及平衡收入與資本增長 (3)

Gradual long-term capital growth 資本長期地逐漸增長 (4)

Maximize capital growth as soon as possible 以最短時間爭取最高回報 (5)

5 Which of the following statements could best describe your attitude towards investment risk? 以下哪一段陳述最能反映閣下對投資風險的態度?

I am not willing to take any risk 我不願意承受任何風險 (1)

I am trying to avoid risks but minor ones are still acceptable 我會儘量回避風險但可承受較低的風險 (2)

I am trying to strike a balance between risks and returns 我會平衡風險與回報 (3)

I am willing to accept more risks as I aim for more returns 我願意承受較高的風險以換取更高回報 (4)

I never consider risks as I aim to maximize returns. 我不會考慮風險為求得到最高回報 (5)

6 Which of the following annual price fluctuations would be acceptable to you? 閣下于一年內可以接受以下哪種價格波幅?

±5% (1)

±10% (2)

±15% (3)

±20% (4)

±30% or greater 或更多 (5)

7 What portion of your overall income could be spent on investment? 閣下的整體收入有多少可用於投資?

< 10% (1)

10% - 29% (2)

30% - 49% (3)

50% - 69% (4)

70% or above 或以上 (5)

8 How many months of your household expenses could be covered by your reserve to meet unforeseen events? 閣下的儲備金可以支付多少個月的家庭費用以應對意外事件?

12 or above 或以上 (5)

6 - 12 (4)

3 - 6 (3)

3 or less 或以下 (2)

None 沒有 (1)

9 What is your knowledge of financial markets and investment products? 閣下對金融市場及投資產品的認識是多少?

Have very little knowledge of financial markets and investment products at all, but would like to know more 對金融市場及投資產品有很少知識，但有希望瞭解更多 (1)

Have only some basic knowledge of financial markets and investment products such as differences between stocks and bonds 對金融市場及投資產品只有一些基本知識，例如股票及債券的分別 (2)

Have more than basic knowledge of financial markets and investment products and understand the importance of diversification and application 對金融市場及投資產品達基本知識以上的水準，明白分散投資的重要性，並作出分散投資 (3)

Able to read financial reports of listed companies and understand the factors affecting the prices of stocks and bonds 懂得閱讀上市公司財務報告，並明白影響股票及債券價格的因素 (4)

Familiar with most investment products (including stocks, futures contracts, bonds and warrants) and understand various factors that may affect the risk and performance of these investment products 熟悉大部分投資產品(包括股票、期指合約、債券及認股權證)，並明白影響該等投資產品的風險及表現的各項因素 (5)

10 Please tick the appropriate boxes below to indicate your investment experience in each type of product
請于下列每一項投資產品選擇閣下之投資經驗年期。

Year of investment experience 投資經驗年期	無 Nil (0分)	1年以下 Less than 1 year (1分)	1-3年 1-3 years (2分)	3-5年 3-5 years (3分)	5-10年 5-10 years (4分)	10年以上 More than 10 years (5分)
Products 投資產品						
股票 Stocks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
交易所交易基金和房地產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
認可互惠基金及單位信託基金 Authorised Mutual Funds and Unit Trusts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
現貨外匯 Spot Foreign Exchange	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
得分 Score:						
*只計算以上最高分的一項 Only calculate the highest score above						

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Year of investment experience 投資經驗年期	無 Nil (0分)	1年以下 Less than 1 year (1分)	1-3年 1-3 years (2分)	3-5年 3-5 years (3分)	5-10年 5-10 years (4分)	10年以上 More than 10 years (5分)
Products 投資產品						
窩輪及股票期權 Warrants and Stock Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
期貨合同及期權 Futures Contracts and Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
杠杆式外匯合同 Leveraged Foreign Exchange Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
固定收益證券 (如上市和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
結構性產品 (包括非上市) Structured Products (including Unlisted)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

商品、商品掛鉤結構性產品 Commodities, Commodity-linked structured products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
虛擬資產 (如比特幣)、證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
平均每年交易次數 No of Trade per Year :						得分 Score:
*只計算以上最高分的一項 Only calculate the highest score above						

According to the above questionnaire, you scored 根據以上問卷答案，閣下的風險評分是	
Respective Risk Profile 對應投資取向	

Particular Circumstances and Special Restrictions 獨特情形及特別限制	
Do you have any personal circumstances or special restrictions affecting your investment decision, if not covered by the above questions? (If Yes, please provide the details below) 閣下的投資決定會否受任何獨特情形及特別限制所影響，而該情形/限制並未涵蓋於以上問題之內？(如有，請詳述)	

Investment Experience and Knowledge (For Professional Investor ONLY) 投資經驗及知識 (專業投資者適用)

- 1 Please indicate your dealing experience and the transaction frequency in specific market groups.
請填寫閣下在特定市場的交易經驗及交易頻率。

Markets 市場	Number of transactions (per annum) that you have executed in the relevant market in the past two years at your own accord. 在過去兩年，閣下每年於相關市場所執行的交易次數。			
	None 沒有	1-39	40-60	>60
<input type="checkbox"/> HK 香港	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> CHINA 中國	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> USA 美國	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> OTHERS 其他 _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> OTHERS 其他 _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2 Do you have knowledge and expertise in the relevant products and markets?
閣下是否擁有對以下相關市場產品的認識及專業知識?

Knowledge & Expertise 專業知識	NO 沒有	YES 有			
		Relevant Markets (HK, CHINA, USA etc.) 相關市場 (香港、中國、美國等)	Currently working or have previously worked in the relevant financial sector for at least 1 year that involves the relevant product 現時或過去曾從事相 關金融行業，並就有 關市場任職至少1年	Undergone training or studied courses which are related to the relevant product 曾接受有關產品的性 質和風險的一般知識 培訓或修讀相關課程	Others (please specify) 其他(請注明)
Products 投資產品					
股票 Stocks	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
交易所交易基金和房地產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
認可互惠基金及單位信託基金 Authorised Mutual Funds and Unit Trusts	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
現貨外匯 Spot Foreign Exchange	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
窩輪及股票期權 Warrants and Stock Options	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

期貨合同及期權 Futures Contracts and Options	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
杠杆式外匯合同 Leveraged Foreign Exchange Contracts	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
固定收益證券 (如上市 和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
結構性產品 (包括非上 市) Structured Products (including Unlisted)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
商品、商品掛鉤結構性 產品 Commodities, Commodity-linked structured products	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
虛擬資產 (如比特幣)、 證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

3 Are you aware of the risk involved in trading in the relevant products and markets?

閣下是否對在相關市場交易以下產品涉及的風險有所認知?

Aware of the risk 風險認知	NO 沒有	YES 有				
		HK 香港	CHINA 中國	USA 美國	OTHERS 其他	OTHERS 其他
Products 投資產品						
股票 Stocks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
交易所交易基金和房地 產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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期貨合同及期權 Futures Contracts and Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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固定收益證券 (如上市 和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
結構性產品 (包括非上 市) Structured Products (including Unlisted)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
商品、商品掛鉤結構性 產品 Commodities, Commodity-linked structured products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
虛擬資產 (如比特幣)、 證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

免責聲明 Disclaimer

本問卷只是閣下考慮投資的其中一個因素。以上並不應視為投資建議、要約出售、或要求購買任何金融產品。閣下應該仔細考慮閣下的投資目標及承受風險能力，並尋求獨立專家意見，才作出任何投資決定。富強證券對於本問卷由閣下提供的資料及／或結果的準確性或完整性不承擔任何責任。 This questionnaire 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. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision. FORTUNE(HK) SECURITIES LIMITED accept no responsibility or liability as to the accuracy or completeness of the information provided by you in this questionnaire and/or the results.

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升可跌，而所呈列的過往表現資料並不表示將來表現。投資者作出任何投資決定前，應詳細瞭解該產品的性質和風險。當閣下作出投資決定前，須考慮閣下的財政狀況，投資經驗，獨立專業意見等因素。 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. You should always make your own investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc.

Client's Declaration 客戶聲明

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，並且是僅本人所知而作答。

<p><input type="checkbox"/> 本人同意並接受上述對本人投資類型的評估。 I agree and accept the above assessment of my investment profile.</p> <p><input type="checkbox"/> 本人不同意上述對本人投資類型的評估，並且認為本人的投資類型應為： I disagree with the above assessment and I think my investment profile should be:</p> <div data-bbox="173 808 852 992" style="border: 1px solid black; height: 80px; width: 100%;"></div>	<hr/> <p>簽署 Signature</p> <p>姓名 Name</p> <p>日期 Date</p>
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