

中信証券經紀(香港)有限公司(“中信証券經紀香港”)  
CITIC Securities Brokerage (HK) Ltd ( “CSBHK” )  
證券帳戶號碼:  
Securities A/C No. : \_\_\_\_\_

中信証券期貨(香港)有限公司(“中信証券期貨香港”)  
CITIC Securities Futures (HK) Ltd ( “CSFHK” )  
期貨帳戶號碼:  
Futures A/C No. : \_\_\_\_\_

客戶姓名:

Client Name: \_\_\_\_\_

## 風險評估問卷 – 上市証券/期貨 (“問卷”)

### Risk Profiling Questionnaire – Listed Securities and Futures (the “Questionnaire”)

這份問卷是讓閣下/貴公司更了解閣下/貴公司可承受的風險和投資需要，以供閣下/貴公司作出投資決定的參考。  
*The objective for this Questionnaire is to help you understand more about your risk profile and investment needs. The result derived is for your consideration when making your investment decisions.*

1. 於一年時間內，閣下能接受在中信証券經紀香港或中信証券期貨香港戶口內的股票投資出現多大的波動？  
What percentage range of profit / loss fluctuation do you prepare to accept in your investment, including both equity and futures, in your account with CSBHK/ CSFHK in one year period?

- (A) +/- 5%
- (B) +/- 10%
- (C) +/- 15%
- (D) +/- 20%
- (E) > +/- 30%

2. 閣下預期會將資產淨值中的多少（不包括閣下持有的物業）作金融投資用途？  
What percentage of your net worth (excluding the value of your properties) do you expect to use for financial investment?

- (A) 80%-100%
- (B) 60%-80%
- (C) 40%-60%
- (D) 20%-40%
- (E) 0%-20%

3. 您會傾向投資以下哪一個風險及回報水平的投資組合？  
Which of the below investment portfolios with particular risk and return do you prefer?

- (A) 極低風險及保本之投資組合 Absolutely low risk investment portfolios & secure of principal protection
- (B) 低風險及低預期回報之投資組合 Low risk investment portfolios & low expected return
- (C) 中等風險及中等預期回報之投資組合 Medium risk investment portfolios & medium expected return
- (D) 高風險及高預期回報之投資組合 High risk investment portfolios & high expected return
- (E) 極高風險及極高預期回報之投資組合 Very high risk investment portfolio & very high expected return

4. 假如閣下的投資組合的價值因為金融危機而出現超出預期的下跌，比如說一年內下跌超過 30%，這對你的財務狀況會有什麼影響？

When a financial crisis happens, if your portfolio value loss in your account with us beyond your expected, say more than 30% value loss in one year, what financial impact will be on you?

- (A) 極嚴重 Very serious
- (B) 嚴重 Serious
- (C) 非太嚴重 Not too serious
- (D) 普通 Normal
- (E) 輕微 Little

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由持牌代表填寫 To be completed by Licensed Representative

5. 參考客戶資料表格第4部份“投資經驗”一欄, 客戶擁有多少年投資香港/海外上市證券/期貨及期權的經驗? 請以客戶擁有最多投資經驗的產品為準。

With reference to “Investment Experiences” in Section 4 of the Customer Information Statement, how many years of investment experience in Hong Kong/ overseas listed stock / futures contract and option does the client have? Please refer to the one that the client has most experience in.

- (A) 少於1年 Less than 1 year
- (B) 1至3年 1 – 3 years
- (C) 4至6年 4 – 6 years
- (D) 7至8年 7 – 8 years
- (E) 8年或以上 8 years or more

[Scoring system: A=1, B=2, C=3, D=4 and E=5]

總分數:

Total Score: \_\_\_\_\_

保守 Conservative

平穩 Balanced

進取 Aggressive

#### 分析 Explanations

	分數 Score	一般投資者分類 General Investor Category	風險比率 Risk Scale
1	10 或以下 or below	保守 Conservative	低 Low
2	11 - 17	平穩 Balanced	中 Medium
3	18 或以上 or above	進取 Aggressive	高 High

若你被分類為“保守”或“平穩”型投資者, 我們不建議您投資任何一般被視為高風險的投資產品, 包括但不限於創業板的股票及衍生工具。

If you are categorized as “Conservative” or “Balanced”, you are not advised to trade any investment products that are deemed to be high risk, including but not limited to GEM stocks and derivative products.

#### 責任聲明:

##### **Disclaimer:**

此問卷由中信証券經紀香港或中信証券期貨香港提供以協助客戶了解現時的風險承擔程度和投資需要。中信証券經紀香港或中信証券期貨香港對上述有關資料及建議的準確性及完整性並不負上任何責任。

This Questionnaire is provided by CSBHK/CSFHK and is intended to help the customer understand his/her risk profile and investment needs. CSBHK/CSFHK makes no guarantee, representation or warranty and accepts no responsibility or liability as to the accuracy or completeness of the information or recommendation given.

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The analysis is derived from information that the customer has provided to CSBHK/CSFHK. The suggestions in relation to the customer's attitude towards risk derived from this analysis are provided for the customer's consideration when making his/ her own investment decisions. This questionnaire is not and should not be construed as an offer to sell or a solicitation for an offer to buy any investment products, and should not be considered an investment recommendation.

投資附帶風險。投資價格可升可跌, 甚至變成毫無價值, 過往表現並非未來表現的指標。有關產品詳情, 請參閱產品說明書, 以便獲取進一步資料。

Investment involves risks. The value of investment may move up or down and may become valueless. Past performance figures shown are not indicative of future performance. Relevant products offering documents should be read for further details.

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若客戶的投資並非因為中信証券經紀香港或中信証券期貨香港的建議或招攬而決定, 客戶確認該投資是根據客戶本人的判斷及 / 或客戶的財務或法律顧問之專業意見而決定。無論此問卷的目的或結果是什麼, 客戶將承擔該投資決定可能引致的所有財務損失

If the customer decides to make an investment that is not solicited or recommended by CSBHK/CSFHK, he/ she acknowledges that he/ she relies on his/ her own judgment and/or the judgment of his/her own financial or legal advisers in making such investment decision. The customer will be liable for all financial loss possibly caused by our investment decision regardless of the result and purpose of the Questionnaire.

中信証券經紀香港或中信証券期貨香港確保此分析內客戶的個人資料得到保密。客戶提供的資料只會在保密的情況下, 供本行用作設計、推廣理財產品或服務之用。

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此問卷如中、英文版本有不一致或差異之處, 概以英文版本為準。

In case of inconsistency or discrepancy between the Chinese version and the English version of this Questionnaire, the English version shall prevail for all purposes.

#### 客戶聲明及承諾

#### Customer Acknowledgement & Undertaking

本人 / 吾等確認、明白及同意上述所有內容。

I/We hereby acknowledge, understand and agree all the content above.

客戶簽名

日期

Customer Signature: \_\_\_\_\_

Date: \_\_\_\_\_

#### 由持牌代表填寫 To be completed by Licensed Representative

本人 \_\_\_\_\_ (姓名以正楷書寫) C.E. 編號 \_\_\_\_\_ 確認本人已通知客戶此風險評估問卷的結果。本人並已邀請該客戶作出提問, 及在需要時諮詢獨立意見 (如客戶有此意願)。

I, \_\_\_\_\_ (name in block letters) with C.E. number \_\_\_\_\_ confirm that I have informed the client of the result of this Risk Profiling Questionnaire and that I have invited the above customer to ask questions and take independent advice if he/she wishes.

如持牌代表以公司錄音電話與客戶確認以上資料, 請詳細記錄錄音詳情。

If Licensed Representative confirms the above information with client through company taped phone recording system, please provide the taped recording details.

內線 Ext No. \_\_\_\_\_, 日期 Date \_\_\_\_\_, 時間 Time \_\_\_\_\_

持牌代表簽名

日期

Licensed Representative Signature: \_\_\_\_\_

Date: \_\_\_\_\_

#### 以下由本公司填寫 / For internal use only

Sign off By:

負責人員 / 分行經理 / 分行主管

Responsible Officer / Branch Manager /

Team Head:

日期

Date: \_\_\_\_\_

(Name: \_\_\_\_\_

C.E. No.: \_\_\_\_\_ )

輸入 Input By: \_\_\_\_\_

輸入核對 Input Checked By \_\_\_\_\_

日期 / Date \_\_\_\_\_

日期 / Date \_\_\_\_\_