



風險承受能力和風險接受程度問卷
Risk Tolerance and Risk Acceptance Questionnaire

客戶名稱：

賬戶號碼：

Client Name : _____

Account Number : _____

這份問卷是根據閣下/貴公司可承受風險的能力及風險接受程度以評估閣下的風險取向。如閣下/貴公司的情况或投資目標有變，請儘快聯系我們及更新有關資料，以便重新評估閣下/貴公司的投資風險取向。

The objective for this Questionnaire is to help you understand more about your attitude towards risk based on your ability to take risk and your risk tolerance level. If your situation or investment goals changes, you should approach us and update your information in this questionnaire as soon as possible to re-assess your risk profile.

請選擇適當答案。Please choose the appropriate answer.

Part A : Risk Profile and Investment Needs

甲部：風險承擔程度及投資需要

1. 如閣下/貴公司以部分資產作出投資，可接受的最長投資期是？

What is the longest investment period which you would be willing to commit a portion of your investable funds for?

- (A) 少於1年 Less than 1 year
- (B) 1至2年 Between 1 and 2 years
- (C) 2至4年 Between 2 and 4 years
- (D) 4至7年 Between 4 and 7 years
- (E) 多於7年 Over 7 years

2. 以下哪一描述最能表達閣下/貴公司對投資目的？

Which of the following statements best describes your / your company's investment goal?

- (A) 要求保本，即使回報率較低甚至沒有增長
We want to preserve capital even if it means little to no gains
- (B) 希望有穩定投資回報，並較銀行存款利率為高
We are looking for a stable stream of income that is higher than what bank deposits can provide.
- (C) 要求結合經常性收入，以及一些資本增長
We are looking for a combination of regular income as well as some capital growth
- (D) 要求大量長遠資本增長
We are looking for substantial long term capital growth.
- (E) 要求高資本增長
We are looking for high capital growth.

3. 假設投資基本面沒有任何改變時，請問你對在投資組合中風險最高的投資價值下跌的投資決定如何（例如公司前景處理沒有改變，但股價仍然下跌）？

What would be your response to a drop in value of the highest risk investment in your portfolio absent any changes to that investment's fundamentals (for instance the company's outlook has not changed but the stock price has nonetheless dropped)?

- (A) 不論價格只是輕微下跌，也即時沽出投資以減低損失
Sell that investment immediately to avoid further losses, even if the drop in value is small.
- (B) 雖價格下跌令閣下感覺有壓力，也只會沽出虧損較大的投資產品
Although any drop in value would make you feel quite uneasy, only sell if the drop in value is significant
- (C) 沽出部份投資產品以減低損失，但視乎該投資項目基本面的變化，仍會維持投資
Sell some of the investment to decrease exposure but otherwise maintain the investment subject to any change in the fundamentals of the investment
- (D) 雖然價格有所波動，但如未到任何止蝕位及視乎該投資項目基本面的變化，仍會維持投資
Maintain the investment through any price fluctuations as long as it does not hit any stop loss and subject to any change in the fundamentals of the investment.
- (E) 除非該投資項目基本面產生變化，否則不論虧損多大，仍會維持投資
Maintain the investment no matter how large the losses and only sell if there was a change in the fundamentals of that Investment



4. 按閣下/貴公司的總資產淨值(不包括自用物業)比例,投資多少在股票市場會令你感到安心?
What percentage of your total net wealth (excluding the value of your self-use properties) do you feel comfortable investing in financial products (such as stocks, structured investment products, warrants, options, futures)?
- (A) 少於 10% Less than 10%
- (B) 10% 至少於 20% 10% to less than 20%
- (C) 20% 至少於 40% 20% to less than 40%
- (D) 40% 至少於 60% 40% to less than 60%
- (E) 大過 60% Over 60%
5. 閣下/貴公司期望的投資組合整體回報是多少(假設通脹率高於或相等於 0%)? What is your expected return for your investment portfolio as a whole (assuming the inflation rate is higher than or equal to 0%)?
- (A) 與通脹率一樣 The same as the inflation rate
- (B) 在通脹率以上至高於通脹率 2% Greater than and up to 2% above the inflation rate
- (C) 高於通脹率 2% 以上至 5% Greater than 2% and up to 5% above the inflation rate
- (D) 高於通脹率 5% 以上至 8% Greater than 5% and up to 8% above the inflation rate
- (E) 高於通脹率 8% 以上 Greater than 8% above the inflation rate
6. 假設閣下/貴公司去年購買了某公司的股票而你計劃的投資年期為 5 年,現時股價比去年增加了 30%,市場上沒有任何消息、資料顯示該公司有潛在或重大的轉變。在這情況下,你會: Suppose you/your company purchased a stock one year ago planning for a time horizon of five years. Since then its share price has increased by 30%. There is no news or market information about any potential or material changes in the company. In this case, you will:
- (A) 變賣所有股票,獲取所有利潤 Sell all your shares to secure the profit
- (B) 一方面變賣 2/3 股票,獲取大部份利潤,另一方面繼續持有餘下的股票並期望股價會在未來上升
Sell 2/3 of shares to secure a major part of profit while retaining 1/3 to benefit from any further increase in stock price
- (C) 一方面變賣 1/3 股票,獲取小部份利潤,另一方面繼續持有餘下的股票並期望股價會在未來上升
Sell 1/3 of shares to secure a minor part of profit while retaining 1/3 to benefit from any further increase in stock price
- (D) 繼續持有股票,等待更高股價才變賣 Hold on and wait for a higher selling price
- (E) 趁股價有上升的趨勢,繼續購入股票 Buy more to take full advantage of the upward trend
7. 在一段時間之內,投資價值可升可跌,我們稱之為「波動」。一般而言,風險愈高的投資,其潛在波動愈大,但潛在回報亦愈高。相反,風險愈低的投資,其潛在波動愈小,但潛在回報亦相對較低。在一般情況下,閣下/貴公司會願意投資於波動程度多大的投資產品?(注意:於此描述的投資波動數字只供說明之用,閣下/貴公司不應倚賴此等數字作為於本公司進行投資的損失之損失/回報指引。) Over a period of time the value of investments can rise and fall, we call it "fluctuation". Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. In general, which of the following return profiles is most attractive to you? (Note: **Fluctuation figures here are for illustrative purpose only. You should not rely on such figures to be indicative of your investment gain/loss with us.**)
- (A) 於-5% 至+5% 之間的波動
Fluctuation between -5% and +5%
- (B) 於-10% 至+10% 之間的波動,以期取得潛在資本回報。
Fluctuation between -10% and +10% for the opportunity of potential capital return.
- (C) 於-15% 至+15% 之間的波動,以期取得較佳的潛在資本回報。
Fluctuation between -15% and +15% for the opportunity of better potential capital return.
- (D) 於-20% 至+20% 之間的波動,以期取得更高的潛在資本回報。
Fluctuation between -20% and +20% for the opportunity of higher potential capital return.
- (E) 於-20% 以下或+20% 以上之間的波動。我相信長期投資可以抵銷短期波動,並可以取得更高的潛在資本回報。
Fluctuation beyond -20% or +20%. I believe in long-term investment can average out short-term volatility and achieve higher potential capital return.

Part B : Personal and Financial Information

乙部: 個人及財務資料

[只適用於個人/聯名戶口][Applicable to Individual/Joint Accounts only]

8. 你的年齡屬於以下哪個組別? What is your age?
- (A) 65 歲或以上 65 or above
- (B) 50 歲至 64 歲 50-64
- (C) 40 歲至 50 歲 40-50
- (D) 30 歲至 40 歲 30-40
- (E) 18 歲至 30 歲 18-30
9. 你的教育程度為? What is your education level?
- (A) 小學或以下 Primary or below
- (B) 中學 Secondary
- (C) 專上 Post-Secondary
- (D) 大學 University
- (E) 大學以上 Over University



10. 你每年的收入為？ What is your annual income?

- | | |
|--|--|
| <input type="checkbox"/> (A) 零港元HKD 0 | 原因 Reason:_____ |
| <input type="checkbox"/> (B) 三十萬港元或以下 | HKD 300,000 or below |
| <input type="checkbox"/> (C) 三十萬港元以上至七十萬港元 | Between > HKD 300,000 to HKD 700,000 |
| <input type="checkbox"/> (D) 七十萬港元以上至一百萬港元 | Between > HKD 700,000 to HKD 1,000,000 |
| <input type="checkbox"/> (E) 一百萬港元以上 | Over HKD 1,000,000 請註明 Please Specify_____ |

11. 你現時的估計資產淨值大約為？ What is your estimated net worth?

- | | |
|--|--|
| <input type="checkbox"/> (A) 一百萬港元或以下 | HKD 1,000,000 or below |
| <input type="checkbox"/> (B) 一百萬港元以上至二百萬港元 | Between > HKD 1,000,000 to HKD 2,000,000 |
| <input type="checkbox"/> (C) 二百萬港元以上至四百萬港元 | Between > HKD 2,000,000 to HKD 4,000,000 |
| <input type="checkbox"/> (D) 四百萬港元以上至八百萬港元 | Between > HKD 4,000,000 to HKD 8,000,000 |
| <input type="checkbox"/> (E) 八百萬港元以上 | Over HKD 8,000,000 請註明 Please Specify_____ |

Type: 物業 Property_____ (HKD) 現金 Cash_____ (HKD)
股票 Stocks_____ (HKD) 其他 Others_____ (HKD)

你現時的估計流動資產淨值大約為？ What is your estimated net liquid assets? _____ (HKD)

[只適用於公司/機構戶口] [Applicable to Corporate/Institutional Accounts only]

12. 貴公司的總資產負債率為 [定義為：(流動負債總額+非流動負債總額)/有形淨資產]？
What is your company's total gearing ratio [defined as: (Total Current Liabilities + Total Non-Current Liabilities) / Tangible Net Worth]?

- | | |
|---------------------------------------|-----------------------|
| <input type="checkbox"/> (A) 100%以上 | Over 100% |
| <input type="checkbox"/> (B) 70%至100% | Between >70% and 100% |
| <input type="checkbox"/> (C) 50%至70% | Between >50% and 70% |
| <input type="checkbox"/> (D) 20%至50% | Between >20% and 50% |
| <input type="checkbox"/> (E) 20%或以下 | 20% or below |

13. 貴公司未來五年的盈利預期如何？ What is your business's profit expectation in the next five years?

- | | |
|--|--|
| <input type="checkbox"/> (A) 非常不穩定，很有可能虧損 | Very unstable with high possibility to lose money |
| <input type="checkbox"/> (B) 不算穩定，虧損的可能性中等 | Unstable with medium possibility to lose money |
| <input type="checkbox"/> (C) 尚算穩定，虧損的可能性不大 | Somewhat stable with low possibility to lose money |
| <input type="checkbox"/> (D) 穩定並與經濟增長一致 | Stable and in line with economic growth |
| <input type="checkbox"/> (E) 非常穩定並優於經濟增長 | Very stable and outpacing economic growth |

14. 貴公司現時的估計資產淨值大約為？ What is your company's estimated net worth?

- | | |
|--|--|
| <input type="checkbox"/> (A) 一百萬港元或以下 | HKD 1,000,000 or below |
| <input type="checkbox"/> (B) 一百萬港元以上至五百萬港元 | Between > HKD 1,000,000 to HKD 5,000,000 |
| <input type="checkbox"/> (C) 五百萬港元以上至一千萬港元 | Between > HKD 5,000,000 to HKD 10,000,000 |
| <input type="checkbox"/> (D) 一千萬港元以上至四千萬港元 | Between > HKD 10,000,000 to HKD 40,000,000 |
| <input type="checkbox"/> (E) 四千萬港元以上 | Over HKD 40,000,000 請註明Please Specify_____ |

貴公司現時的估計流動資產淨值大約為？ What is your company's estimated net liquid assets? _____ (HKD)

Part C : Investment Experience and Knowledge

丙部：投資經驗及知識

15. 閣下/貴公司有否委派專業人士處理投資事宜？

Have you/Has your company appointed professional to handle investment?

- | | |
|---|--|
| <input type="checkbox"/> (A) 無，而且本人/本公司負責處理投資事宜的人員對投資產品的瞭解並不多 | No, and the person handling our company's investments / myself does not have much knowledge on investment products |
| <input type="checkbox"/> (B) 無，但本人/本公司負責處理投資事宜的人員對投資產品有基本認識 | No, but the person handling our company's investments / myself has basic knowledge on investment products |
| <input type="checkbox"/> (C) 無，但本人/本公司負責處理投資事宜的人員對投資產品十分熟悉 | No, but the person handling our company's investments /myself has extensive knowledge on investment products |
| <input type="checkbox"/> (D) 有 Yes | |
| <input type="checkbox"/> (E) 有，而且多過一名 Yes, and more than 1 professional | |



閣下/貴公司或負責處理貴公司投資事宜的人員有多少年投資於以下投資產品的經驗？

How many years of experience do you (or the person handling your company's investment) have in respect of the following investment products?

產品種類 Product Type	沒有 No experience	少過3年 Less than 3 years	3至6年 Between 3 and 6 years	7至10年 Between 7 and 10 years	多過10年 Over 10 years
i) 現金、存款、存款證，保本產品 Cash, deposits, certificate of deposits, capital protected products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii) 債券、債券基金、非保本之債券/信用掛鉤結構投資產品 Bonds, bond funds, non-capital protected bond/credit linked structured products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii) 外幣、商品、非保本之貨幣/商品掛鉤結構投資產品 Foreign currencies, commodities, non-capital protected currency/commodity linked structured products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv) 股票、交易所交易基金、開放式基金、場內衍生工具(包括認股權證(俗稱「窩輪」等等))、非保本之股票掛鉤結構投資產品 Stocks, exchange traded funds, open-ended funds, listed derivatives (including covered warrants etc.), non-capital protected equity linked structured products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
v) 其他衍生工具產品如期貨/遠期、場內/場外期權、累積/累沽期權、場外掉期 Other derivatives such as futures/forwards, listed/OTC options, accumulator/ decumulator options, OTC swaps	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
vi) 封閉式基金、設有鎖定期的投資產品、另類投資(包括私募股權投資等等) Close-ended funds, investment products with lock-up, alternative investments (including private equities etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
vii) 虛擬資產或虛擬資產相關產品 Virtual assets or Virtual assets -related products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

閣下/貴公司現在是否持有以下任何投資產品？(你可選擇多於一個選項)

Are you currently holding any of the below investment products? (You can choose more than one answer)

- 現金、存款、存款證，保本產品
Cash, deposits, certificate of deposits, capital protected products
- 債券、債券基金、非保本之債券/信用掛鉤結構投資產品
Bonds, bond funds, non-capital protected bond/credit linked structured products
- 外幣、商品、非保本之貨幣/商品掛鉤結構投資產品
Foreign currencies, commodities, non-capital protected currency/commodity linked structured products
- 股票、交易所交易基金、開放式基金、場內衍生工具(包括認股權證(俗稱「窩輪」等等))、非保本之股票掛鉤結構投資產品
Stocks, exchange traded funds, open-ended funds, listed derivatives (including covered warrants etc.), non-capital protected equity linked structured products
- 其他衍生工具產品如期貨/遠期、場內/場外期權、累積/累沽期權、場外掉期
Other derivatives such as futures/forwards, listed/OTC options, accumulator/ decumulator options, OTC swaps
- 封閉式基金、設有鎖定期的投資產品、另類投資(包括私募股權投資等等)
Close-ended funds, investment products with lock-up, alternative investments (including private equities etc.)
- 虛擬資產或虛擬資產相關產品
Virtual assets or Virtual assets -related products



16. 閣下/貴公司現時已投資於價值波動之投資產品的資產，大概佔閣下/貴公司資產（不包括自用物業）的百分之幾？有關價值波動之投資產品的例子，請參閱(丙部)。

Approximately what percentage of your assets (excluding own use property) is currently held in investment products where the value can fluctuate? Please refer to (Part C) for examples of such products.

- | | |
|---|--------------------------------|
| <input type="checkbox"/> (A) 50%以上 | Over 50% |
| <input type="checkbox"/> (B) 30%以上至 50% | Greater than 30% and up to 50% |
| <input type="checkbox"/> (C) 20%以上至 30% | Greater than 20% and up to 30% |
| <input type="checkbox"/> (D) 10%以上至 20% | Greater than 10% and up to 20% |
| <input type="checkbox"/> (E) 0%以上至 10% | Greater than 0% and up to 10% |

17. 在一般情況下，投資的年期越長，風險越高。當投資於價值波動之投資產品時，閣下/貴公司會願意接受下列哪項投資年期？有關價值波動之投資產品的例子，請參閱(丙部)。

It is generally true that the longer the investment horizon, the higher the risk. What time horizon would you generally be comfortable with when investing in products the value of which can fluctuate? Please refer to (Part C) for examples of such products.

- | | |
|-------------------------------------|------------------------|
| <input type="checkbox"/> (A) 少過1年 | Less than 1 year |
| <input type="checkbox"/> (B) 1年至3年 | Between 1 and 3 years |
| <input type="checkbox"/> (C) 4年至6年 | Between 4 and 6 years |
| <input type="checkbox"/> (D) 7年至10年 | Between 7 and 10 years |
| <input type="checkbox"/> (E) 多過10年 | Over 10 years |

只供內部使用 FOR INTERNAL USE ONLY

分數 Score [A=1, B=2, C=3, D=4 and E=5]

客戶的總分數： Client's total Score		客戶的風險評級： Client's Risk Rating (CRR)：	
---------------------------------	--	---	--

分析：Explanations：

	分數 Score	一般投資者分類 General Risk Profile Category*	風險比率 Risk Scale
1	Less than 20以下	保守 Conservative	極低 Very Low
2	20 - 30	中度保守 Moderately Conservative	低 Low
3	30 - 40	平穩 Balanced	中 Medium
4	40 - 50	中度進取 Moderately Aggressive	高 High
5	50或以上 or above	進取 Aggressive	極高 Very High

責任聲明：Disclaimer：

此問卷由大聖證券有限公司提供以協助客戶了解其可承受風險的能力及風險接受程度以評估客戶的風險態度。大聖證券有限公司對於本問卷提供的資料及結果的準確性及完整性並不負上任何責任。

This Questionnaire is provided by Monmonkey Group Securities Limited and is intended to help the customers understand their risk attitude based on their ability to take risk and their risk tolerance level. Monmonkey Group Securities Limited makes no guarantee, representation or warranty and accepts no responsibility or liability as to the accuracy or completeness of the information given in this questionnaire and the result.

本問卷和結果只是客戶作出投資前應考慮的其中一個因素。以上並不應被視為投資建議、銷售要約或招攬購買任何金融產品。客戶應該仔細考慮其投資目標及承受風險能力，並尋求獨立專業意見，才作出任何投資決定。

This questionnaire and the result is only one of the factors that the customer should 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.

所有投資意見均根據客戶所提供的資料而制定。請客戶務必完整回應問卷內的提問，以免我司因資料不足或未能向閣下/貴公司提供投資意見服務。

The investment advices are derived from information that the customer has provided to Monmonkey Group Securities Limited. Customers are advised to answer all questions of the questionnaires. Otherwise, we may not be able to provide any investment advisory service to you.

由問卷之計分方法所得出的風險承受程度(下稱「有關工具」)，應被視為一般參考。大聖證券有限公司並沒有透過提供有關工具向其客戶提供任何投資或融資建議。大聖證券有限公司對於使用有關工具而引起的結果不會作出任何保證，不論屬明顯的或必然包含的。大聖證券有限公司不會就客戶因使用有關工具而招致或遭受到的損失、損害或罰款；或任何索償或要求或任何監管問題或爭論等而負上責任。

The risk tolerance level derived from use of the scoring point as shown in the Questionnaire (the "Tools") are provided only as general guidelines. Monmonkey Group Securities Limited is not providing investment or financial advice to any of its customers by providing the Tools. Monmonkey Group Securities Limited makes no warranties, expressed or implied, as to results to be obtained from use of the Tools. Monmonkey Group Securities Limited shall not be liable to any customer for any loss, damage or penalties suffered or incurred by, any claim or demand made against or settled by or any regulatory issues or disputes faced by customer arising out of the use of the Tools.

如客戶不同意由問卷之計分方法所得出的風險承受程度，應向相關客戶經理查詢。

If you disagree the risk tolerance level derived from use of the scoring point as shown in the Questionnaire, you should refer to your Account Manager for enquiry.

投資附帶風險。投資價格可升可跌，甚至變成毫無價值，過往數據之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.

大聖證券有限公司確保此分析內的客戶個人資料得到保密。客戶提供的資料只會在保密的情況下，供大聖證券有限公司用作設計、推廣理財產品或服務之用。



大聖證券有限公司

Monmonkey Group Securities Limited

Monmonkey Group Securities Limited will keep personal information collected in this test confidential. The information may be used by Monmonkey Group Securities Limited under a duty of confidentiality to Monmonkey Group Securities Limited, for designing and/or making of financial services.

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：

I/We hereby acknowledge, understand and agree that:

據大聖證券有限公司所知，在設計有關工具時，個別客戶的特定需要、投資準則、個別基金或投資產品的合適性並沒有被考慮在內。因此，有關工具所包含之資料不應被視為或當作任何投資或個人化的建議。於作出投資決定前，本人/吾等應根據自己的判斷及/或尋求財務及法律顧問之專業意見。大聖證券有限公司對有關工具的任何資料及其使用無須負責，及對有關工具之內容的準確性及完整性均不作任何保證，並拒絕就客戶或任何人士因使用有關工具之資料或避免使用有關工具的資料而招致或帶來之任何損失或損害承擔任何責任。投資涉及風險，投資產品的價格可能會非常波動，甚至可能會變成毫無價值。於投資前，客戶應參考有關投資的銷售文件。有關工具之內容僅供參考，並不構成買賣要約。過往數據及資料之表現未必可作日後表現的準則。

To the knowledge of Monmonkey Group Securities Limited, in the design of the Tools, the specific needs, investment criteria or suitability of any particular funds or investments of individual customers have not been taken into account. Accordingly, the information in the Tools shall not be treated, nor relied upon, as any investment or individualized advice. I/We should ultimately rely on my/our own judgment and/or the judgment of my/our own financial and legal advisers in making any investment decision. Monmonkey Group Securities Limited takes no responsibility for any information or use relating to the Tools and makes no representation as to the accuracy or completeness of any such information and expressly disclaims any liability whatsoever for any loss or damage as a result of or arising from customers or any other persons acting or refraining from actions based on the information or results contained in the foregoing. Investments involve risks and the prices of investments can and do fluctuate and in certain circumstances may become valueless. Customers should refer to the relevant offering documents before investing. The Tools is for information only and does not constitute any offer or solicitation to buy or sell. Data and information on past performance are not indicative of future performance.

本人/吾等已獲大聖證券有限公司邀請細閱有關問卷、此客戶確認聲明及承諾及責任聲明，提出問題及(假如本人/吾等希望)諮詢獨立意見。本人/吾等聲明本人/吾等會就本人/吾等之判斷作出投資決定。

I/We have been invited by Monmonkey Group Securities Limited to read the Questionnaire, this Customer Acknowledgement & Undertaking and the Disclaimer, to ask questions and take independent advice if I/we wish and I/we declare that I/we will make investment decision based on my/our own judgment.

此問卷的版權是受保護的。本人/吾等不會再分配、複製及/或複印此問卷之部份或全部內容。

The copyright of the Questionnaire is protected. I/We will not redistribute, reproduce and/or photocopy the Questionnaire in whole or in part.

客戶簽署及公司印章(如適用)
Signed by client and Company Chop
(if applicable):

日期：

Date：

只供內部使用 FOR INTERNAL USE ONLY

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

本人 _____ (姓名以正楷書寫) 持有 C.E. 編號 _____ 確認本人已向客戶提供已包含上述客戶

聲明及承諾之風險評估問卷副本。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 provided to the customer

a copy of the Risk Profiling Questionnaire incorporating the above Customer Acknowledgement and Undertaking 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 : _____

負責人員/簽署：

日期：

Sign off by Responsible Officer : _____

Date : _____

姓名 Name : _____

C.E. 編號 C.E. No : _____