

Supplementary Securities Account Mandate Customer Risk Profiling Questionnaire (Corporate Customer)

PRIVATE AND CONFIDENTIAL
私人及機密

證券帳戶委託書附屬文件

客戶風險剖析問卷 (公司客戶)

The series of questions below may help your company appraise your risk attitude, financial means, investment experience and investment objective prior to your selection of an appropriate investment product(s).

以下問題可助貴公司於揀選投資產品前，評估本身的風險取態、財政資源、投資經驗及投資目標，以作出適當決定。

Customer Particulars 客戶資料			
Customer Name 客戶名稱			
Securities A/C No. 證券戶口號碼		Assessment Date 評估日期	
Annual Income (HK\$) 每年收入(港幣)	<input type="checkbox"/> <\$100,000	<input type="checkbox"/> \$100,000 - \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> >\$1,000,000
Net Worth (HK\$) 資產淨值(港幣)	<input type="checkbox"/> <\$200,000	<input type="checkbox"/> \$200,000 - \$1,000,000	<input type="checkbox"/> \$1,000,001 - \$8,000,000 <input type="checkbox"/> >\$8,000,000
Investment Objective 投資目標	<input type="checkbox"/> Yield Enhancement 息率改進 <input type="checkbox"/> Long Term Gain 長線增值 <input type="checkbox"/> Speculative Gain 投機增值		

Risk Tolerance Assessment 風險承受能力評估	
<p>1. What is the average percentage of the net liquid assets that your company will set aside for investment? 貴公司用作投資的資金佔流動資產淨值的平均百分比是多少？</p> <p><input type="checkbox"/> (a) Less than 10% 少於 10%</p> <p><input type="checkbox"/> (b) 10% to less than 20% 10%至 20%以下</p> <p><input type="checkbox"/> (c) 20% to less than 30% 20%至 30%以下</p> <p><input type="checkbox"/> (d) 30% or above 30%或以上</p>	<input type="checkbox"/>
<p>2. Does your company employ any dedicated personnel responsible for making investment or hedging decisions? 貴公司有否聘用專責人員負責作出投資或對沖決定？</p> <p><input type="checkbox"/> (a) Yes, we have senior management with relevant professional qualifications to make investment or hedging decisions. 有，本公司擁有相關專業資格的管理層負責作出投資或對沖決定。</p> <p><input type="checkbox"/> (b) No, but we have adequate knowledge on investment portfolio or hedging decisions. 沒有，但本公司對投資或對沖決定有足夠知識。</p> <p><input type="checkbox"/> (c) No, but we have some knowledge on investment portfolio or hedging decisions. 沒有，但本公司對投資或對沖決定有一定知識。</p> <p><input type="checkbox"/> (d) No, but we have a little knowledge on investment portfolio or hedging decisions. 沒有，但本公司對投資或對沖決定有少許知識。</p>	<input type="checkbox"/>
<p>3. How long is the expected investment horizon of your company? 貴公司的預計投資年期是多久？</p> <p><input type="checkbox"/> (a) Less than 1 year 少於 1 年</p> <p><input type="checkbox"/> (b) 1 year to less than 3 years 1 年至 3 年以下</p> <p><input type="checkbox"/> (c) 3 years to less than 5 years 3 年至 5 年以下</p> <p><input type="checkbox"/> (d) 5 years or above 5 年或以上</p>	<input type="checkbox"/>
<p>4. In general, how much liquid assets (including cash or highly liquid assets: e.g. foreign currency, bullion etc.) has your company reserved for monthly operational expenses? 在一般情況下，貴公司會預留多少流動資金(包括現金或高流通性資產：如外幣、黃金等)作為每月營運開支儲備？</p> <p><input type="checkbox"/> (a) Less than 3-month operational expenses 少於 3 個月的營運開支</p> <p><input type="checkbox"/> (b) 3-month to less than 6-month operational expenses 3 個月至 6 個月以下的營運開支</p> <p><input type="checkbox"/> (c) 6-month to less than 12-month operational expenses 6 個月至 12 個月以下的營運開支</p> <p><input type="checkbox"/> (d) 12-month or above operational expenses 12 個月或以上的營運開支</p>	<input type="checkbox"/>

5. Which of the following does your company think best describe your investment attitude?

下列那一項最能夠形容貴公司的投資意向?

- ☐ (a) In general, we can bear price fluctuation of around 10% of our investment in exchange for potential gain, which is slightly higher than the rate of bank deposits.
一般而言，本公司能承受投資上大約 10% 的價格上落波動以獲得稍微高於銀行存款利率的潛在回報。
- ☐ (b) In general, we can bear price fluctuation of around 20% of our investment in exchange for potential gain, which is much better than the rate of bank deposits.
一般而言，本公司能承受投資上大約 20% 的價格上落波動以獲得明顯高於銀行存款利率的潛在回報。
- ☐ (c) In general, we can bear price fluctuation of around 30% of our investment in exchange for potential gain, which is comparable to the stock market indexes.
一般而言，本公司能承受投資上大約 30% 的價格上落波動以獲得相比於股票市場指數的潛在回報。
- ☐ (d) We can bear any price fluctuation of our investment in exchange for potential gain, which is remarkably higher than the stock market indexes.
本公司能承受投資上任何的價格上落波動以獲得明顯高於股票市場指數的潛在回報。

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6. How long is your company's investment experience in the following products? (Please answer all items from a to j)

貴公司在下列投資產品有多少年的投資經驗？(請作答 a 至 j 項)

Investment Products 投資產品	Investment Experience 投資經驗		
	No 沒有	3 years or below 3 年或以下	Above 3 years 3 年以上
(a) Principal Protected Products (e.g. Certificates of Deposit, Principal Protected Structured Deposits / Notes) 保本產品 (例如：存款證、保本的結構性存款 / 票據)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Foreign Currency 外幣	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Fixed Income Products (e.g. Bonds, Bond Investment Funds) 定息投資產品 (例如：債券、債券基金)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(d) Paper Gold 紙黃金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(e) Currency Linked Products 貨幣掛鉤產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f) Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g) Equity Investment Funds 股票投資基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(h) Investment Linked Assurance Scheme 投資相連保險計劃	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(i) Equity Linked Products 股票掛鉤產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(j) Commodity / Derivatives / Leverage Products (e.g. Options, Futures, Warrants, Margin trading, Accumulator) 商品 / 衍生工具 / 槓桿產品 (例如：期權、期貨、認股權證、孖展交易、累計期權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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7. How many transactions has your company conducted in the following investment products in the recent 3 years? (Please answer all items from a to j)

在最近 3 年，貴公司在下列投資產品曾進行多少宗交易？(請作答 a 至 j 項)

Investment Products 投資產品	No 沒有	Less than 5 transactions 少於 5 宗	5 transactions or above 5 宗或以上
(a) Principal Protected Products (e.g. Certificates of Deposit, Principal Protected Structured Deposits / Notes) 保本產品 (例如：存款證、保本的結構性存款 / 票據)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Foreign Currency 外幣	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Fixed Income Products (e.g. Bonds, Bond Investment Funds) 定息投資產品 (例如：債券、債券基金)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(d) Paper Gold 紙黃金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(e) Currency Linked Products 貨幣掛鈎產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f) Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g) Equity Investment Funds 股票投資基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(h) Investment Linked Assurance Scheme 投資相連保險計劃	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(i) Equity Linked Products 股票掛鈎產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(j) Commodity / Derivatives / Leverage Products (e.g. Options, Futures, Warrants, Margin trading, Accumulator) 商品 / 衍生工具 / 槓桿產品 (例如：期權、期貨、認股權證、孖展交易、累計期權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Your Risk Tolerance Level 您的風險承受程度

Total Score 總分： _____

Your company risk tolerance level is: ☐ Conservative 穩健 ☐ Balanced 均衡 ☐ Balanced Growth 均衡增長 ☐ Aggressive 進取 ☐ Aggressive Growth 進取增長

Risk Profiling Classification 風險評估類別

Total Score 總分	Risk Tolerance Level 風險承受程度	Investment Risk Profiles 投資風險剖析
8 – 16	Conservative 穩健	Refer to investors who can tolerate low level of investment risk; have limited knowledge and experience in financial investment. 指屬於能承受低程度投資風險的投資者；於金融投資方面具有有限的知識及經驗。
17 – 25	Balanced 均衡	Refer to investors who can tolerate low to medium level of investment risk; have some knowledge and experience in financial investment. 指屬於能承受低至中度投資風險的投資者；於金融投資方面具有一些知識及經驗。
26 – 35	Balanced Growth 均衡增長	Refer to investors who can tolerate medium level of investment risk; have reasonable knowledge or experience in financial investment; and / or have moderate financial capability to tolerate losses from investment. 指屬於能承受中度投資風險的投資者；於金融投資方面具有一定的知識或經驗；及/或擁有穩定的財政能力來承受投資帶來的損失。
36 – 45	Aggressive 進取	Refer to investors who can tolerate medium to high level of investment risk; have considerable knowledge or experience in financial investment; and / or have strong financial capability to tolerate losses from investment. 指屬於能承受中至高度投資風險的投資者；於金融投資方面具有相當的知識或經驗；及/或擁有良好的財政能力來承受投資帶來的損失。
46 – 54	Aggressive Growth 進取增長	Refer to investors who can tolerate high level of investment risk; have extensive knowledge and experience in financial investment; and / or have solid financial capability to tolerate losses from investment. 指屬於能承受高度投資風險的投資者；於金融投資方面具有廣泛知識及經驗；及/或擁有強健的財政能力來承受投資帶來的損失。

Customer Declaration and Acknowledgement 客戶聲明及確認

- The results of this Customer Risk Profiling Questionnaire are derived from the information that we have provided to the Bank. We acknowledge and confirm that the information we provided in this Questionnaire is true, complete and correct, and that we agree to our risk profile result assessed by this Questionnaire and we have been provided with a copy of this Questionnaire.
此「客戶風險剖析問卷」的結果是從本公司向貴行提供的資料而得出。本公司確認於此問卷所提供的資料是真實、完整及正確的，並確認本公司同意此問卷評估本公司所屬的風險取向結果及本公司已獲得此問卷副本一份。
- We understand that the Customer Risk Profiling Questionnaire aims at assessing our investment risk profile in order to assist us for choosing suitable investment portfolio. The result is only one of the factors we may take into account when investing and cannot be treated as any opinion on investment. Our investment decision(s) may be different from the above result but we should consider carefully our investment objective and risk tolerance ability. We should also read the Product Key Facts Statement and Principal Brochure of the product and seek for independent professional consultation before making any investment decision(s).
本公司明白此「客戶風險剖析問卷」之目的在於評估本公司的投資風險取向，從而協助本公司選擇合適的投資組合，但所得之結果僅為本公司提供眾投資考慮因素之一，並不能視為投資意見。本公司的投資決定可能會與以上分析結果不同，惟本公司在作出投資決定前，應謹慎考慮本公司的投資目標、承擔風險的能力，並已查閱產品的產品資料概要、主要銷售刊物及諮詢獨立專業意見。
- The information provided in this Customer Risk Profiling Questionnaire may be used by the Bank for marketing and other purposes as set forth in the Privacy Policy Statement relating to the Personal Data (Privacy) Ordinance. Details of the Privacy Policy Statement is available at any of our branches or our website at www.shacombank.com.hk
本行可就此「客戶風險剖析問卷」所收集之資料根據個人資料(私隱)條例所訂之政策指引用於推廣或其他用途。有關之政策指引可於任何一間分行索取或請瀏覽本行網址www.shacombank.com.hk

For Hong Kong Life Investment-Linked Insurance Plans Only 只適用於香港人壽之投資相連保障計劃

- We hereby authorize the Bank to provide a copy of the latest Customer Risk Profiling Questionnaire to Hong Kong Life Insurance Limited ("the Company"). According to the Personal Data (Privacy) Ordinance, we hereby declare, understand and agree that: (1) any information provided by us whether relating to us are collected or held by the Company to enable the Company to carry on our risk profiling assessment and may be stored, used, disclosed, released and transferred (whether within or outside Hong Kong) by the Company to any individuals / organizations associated with the Company or any selected party as the Company may consider necessary for the purpose of processing any analysis, statistical research, direct marketing and data matching, and communication with us or any relevant organization / person as the Company may consider necessary; (2) We have the right to check whether the Company holds data about us and the right of access to such data and require the Company to correct any data relating to us which are inaccurate. We also have the right to ascertain the Company's policies and practices in relation to data and to be kept informed of the kind of data held by the Company. Such request can be made in writing and addressed to the Data Protection Officer of the Company; (3) the Company has the right to charge a reasonable fee for the processing of any data access request. 本公司茲授權貴行提供此最新的「客戶風險剖析問卷」之副本予香港人壽保險有限公司(「該公司」)。根據個人資料(私隱)條例，本公司清楚明白及完全同意以下各項：(1) 該公司為進行本公司之風險剖析評估而收集或持有任何由本公司提供有關本公司之資料。該公司並可將該等資料儲存、使用、透露、發放及轉交予(不論在本港或海外)任何與該公司有關係之人仕／機構或任何該公司認為有需要的人等，以用作處理有關分析、統計研究、直接銷售及資料核對、與本公司或該公司認為有關之機構／人仕溝通；(2) 本公司有權知悉該公司是否持有本公司的資料及有權查閱該等資料，若認為有關本公司的資料不準確，有權要求該公司給予改正，同時有權查悉該公司對於資料的政策與實務做法，及獲告知該公司持有本公司資料的類別。任何關於查閱或改正資料申請，或欲查悉該公司對於個人資料的政策與實務做法或所持有的資料類別，可以書面向該公司資料保護主任提出；(3) 該公司有權就處理任何查詢資料的要求收取合理費用。

Customer Signature 客戶簽署

Handling Person Signature 經辦人員簽署

Name 姓名：_____
HKMA Registration No. (if any) 金管局登記號碼(如有)：_____

For Bank Use Only 銀行專用

Signature verified by 簽署核證人	Reviewed by 覆核人	Name:	Name:	Handling Branch 經辦分行
		HKMA Reg. No	HKMA Reg. No	
Name of Handling Staff: _____ (E/S No: _____)		<input type="checkbox"/> Copy provided to customer		Remark: _____
Telephone Recording Time: From _____ to _____		Recording User ID: _____		Telephone No.: _____