First Fidelity Capital (International) Limited
首信資本集團有限公司全資附屬公司

First Fidelity Capital (International) Limited
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Risk Profile Questionnaire (Corporate Account)
風險取向問卷 (公司帳戶)

Account Number 帳戶號碼		Completion Date 填寫日期	
Client(s) Name 客戶名稱			
Person Responsible for Making Investment Decisions 作出投資決定的人士*			
Previously Assessed Risk Tolerance Level 最近之風險承受程度評估結果	The Latest Assessment Result 最近一次評級結果： ☐ N/A 不適用 ☐ Low 低 ☐ Medium 中 ☐ High 高		

* If the person responsible for making investment decision has been changed, please refill and submit this questionnaire as soon as possible.
如作出投資決定的人士有所更換，請重新填寫及遞交此問卷。

Notice to Customer(s) 客戶須知:

1. This questionnaire is designed to help First Fidelity Capital (International) Limited ("FFCIL") to assess your investment risk profile and to collect information about your risk appetite, financial situation, investment experience and investment horizon. If relevant information is not provided, FFCIL may not be able to process your application(s). The collection and use of information in this questionnaire do not constitute any offer, solicitation or recommendation of any investment product or services and it should not be considered an investment advice. 本問卷用以協助First Fidelity Capital (International) Limited (「FFCIL」) 評估貴公司的投資風險取向，並收集有關貴公司的風險取向、財政狀況、投資經驗及投資年期的資料。如貴公司不提供有關資料，FFCIL可能無法處理貴公司的申請。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。

2. FFCIL is required to obtain information on your financial situation, investment experience and investment objectives in order to make reasonable product suitability assessment. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. Please consider consulting your independent investment adviser before making any investment decisions. 為作出合理的產品合適性評估，FFCIL需要貴公司提供有關財政狀況、投資經驗及投資目標的資料。於做出任何投資決策前，貴公司應考慮自身情況，包括但不限於貴公司的財政狀況、投資經驗及投資目標。於做出任何投資決策前，貴公司應考慮諮詢貴公司的獨立投資顧問。

3. 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 your holdings and transactions, whether within FFCIL 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，貴公司在FFCIL之內及以外的所有資產及交易均應計算在內。

4. The results of this questionnaire are derived from information you provide to FFCIL. You must provide information that is valid, true, complete, accurate and up-to-date. Your failure in doing so would materially affect our suitability assessment. 本問卷的結果乃根據貴公司提供給FFCIL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。如貴公司未能提供該等資料將會對FFCIL的合適性評估產生重大影響。

5. If your situation or investment goals changes, you should approach us and update your information in this questionnaire as soon as possible for us to re-assess your risk profile. 如貴公司的情況或投資目標有變動，應聯絡我們及更新貴公司的資料，以便重新評估貴公司的投資風險取向。

(A) Assessing your Risk Tolerance 評估客戶的風險承受能力

(Note: The points of each answer are denoted in the brackets on the right 註：右方括號內為該答案之分數)

Q1)	How much capital has been reserved for unforeseeable events in terms of monthly operational expenses of your company? 按每月營運開支計算，貴公司預留多少資金作為不時之需?		
☐	Less than 6-month operational expenses	少於 6 個月的營運資金	(1)
☐	6-month or above but less than 12-month operational expenses	6 個月或以上及少於 12 個月的營運資金	(2)
☐	12-month or above but less than 18-month operational expenses	12 個月或以上及少於 18 個月的營運資金	(3)
☐	18- month or above but less than 24-month operational expenses	18 個月或以上及少於 24 個月的營運資金	(4)
☐	24-month or above operational expenses	24 個月或以上的營運資金	(5)
Q2)	Does your company engage any qualified professional to take part in investment or hedging decision? 貴公司有沒有聘用任何合資格的專業人士參與投資或對沖決定?		
☐	No, but our company has a little knowledge on financial investment	沒有，但本公司在金融投資方面具有少許知識	(1)
☐	No, but our company has some knowledge on financial investment	沒有，但本公司在金融投資方面具有若干知識	(2)
☐	No, but our company has adequate knowledge on financial investment	沒有，但本公司在金融投資方面具有足夠知識	(3)
☐	Yes, our company has senior management with professional economics/ finance-related qualifications to make investment or hedging decisions	有，本公司具有跟財經學科相關專業資格的高級管理層，負責投資或對沖決定	(4)
☐	Yes, our company has an independent division or engaged external team to manage financial investment	有，本公司具有獨立部門/委聘外部團隊去管理金融投資	(5)

Q3)	How many year(s) of investment experiences did investor invested in the complex products (Futures contracts, Derivative Warrants, CBBCs, listed share options, Synthetic ETFs and futures-based ETFs, L&I products, Complex Bonds, Leveraged Forex Trading, Structured Investment Products, OTC Derivatives Products, Equity-linked Products/Notes or Derivatives etc.)? 就複雜產品 (期貨、衍生權證、牛熊證、上市認股權、合成 ETF 及期貨 ETF、槓桿及反向產品、複雜 債券、槓桿性外匯投資、結構性投資產品、場外交易的衍生產品、股票掛鈎產品/票據或衍生工具等)，貴公司擁有多少年的投資經驗？			
☐	Never or Below 1 year	從沒買賣或少於 1 年	(1)	
☐	1 year or above but less than 3 years	1 年或以上及少於 3 年	(2)	
☐	3 years or above but less than 5 years	3 年或以上及少於 5 年	(3)	
☐	5 years or above but less than 8 years	5 年或以上及少於 8 年	(4)	
☐	Over 8 years	多於 8 年	(5)	
Q4)	In the past 3 years, which of the following investment products did your company invest (i.e. executed > 5 transactions per year)? 在過去 3 年內，貴公司有否投資下列投資產品 (即每年進行多於 5 次交易)？ (Note: Investor may select more than 1 option. The option that carries the highest points in this question will be taken as the score) (註：可選多於一項，並以最高分數作為此題得分)			
☐	Deposits, Certificates of Deposit or Capital Protected Products 存款、存款證或保本產品		(1)	
☐	Non-complex bonds (including callable bonds without other special features), Bonds Funds or Money Market Funds 非複雜債券 (包括不具有其他特點的可贖回債券)、債券基金或貨幣市場基金		(2)	
☐	Non-leveraged Forex Trading 非槓桿性外匯投資		(3)	
☐	Recognized Exchange traded Stocks or Bonds Fund or Money Market Fund 認可交易所交易的股票、非債券基金或貨幣市場基金		(4)	
☐	Warrants, Options, Futures, Structured Investment Products, OTC Derivatives Products, Equity linked Products/Notes, Equity derivatives, Synthetic ETFs and futures-based ETFs, L&I products, Complex bonds or Forex Trading (Margin/Leveraged) 認股權證、期權、期貨、結構性投資產品、場外交易的衍生產品、股票掛鈎產品/票據、股票衍生工具、合成 ETF 及期貨 ETF、槓桿及反向產品、複雜債券或外匯投資 (孖展/槓桿)		(5)	
Q5)	What is the percentage of your company's surplus that will be set aside for the purpose of financial investment? 貴公司將會分配多少百分比的盈餘作為金融投資用途?			
☐	Less than 10%	少於 10%	(1)	
☐	10% to less than 20%	10% 至少於 20%	(2)	
☐	20% to less than 30%	20% 至少於 30%	(3)	
☐	30% to less than 50%	30% 至少於 50%	(4)	
☐	50% or more	50%或以上	(5)	
Q6)	What is the current Net Asset Value of your company? (Net Asset Value = Asset – Liability) 貴公司現時的資產淨值是多少? (資產淨值 = 資產 – 負債)			
☐	Less than HKD 500,000	少於港幣 500,000 元	(1)	
☐	HKD 500,001 to 1,000,000	港幣 500,001 至 1,000,000 元	(2)	
☐	HKD 1,000,001 to 3,000,000	港幣 1,000,001 至 3,000,000 元	(3)	
☐	HKD 3,000,001 to 8,000,000	港幣 3,000,001 至 8,000,000 元	(4)	
☐	More than HKD 8,000,000	多於港幣 8,000,000 元	(5)	
Q7)	What is the amount of net liquid assets that you company will set aside for financial investment? 貴公司預留多少淨流動資產作為金融投資用途?			
☐	Less than 10%	少於 10%	(1)	
☐	10% to less than 20%	10% 至少於 20%	(2)	
☐	20% to less than 30%	20% 至少於 30%	(3)	
☐	30% to less than 50%	30% 至少於 50%	(4)	
☐	50% or more	50%或以上	(5)	

Q8)	Which of the following is the best one that expresses the principal investment objective of your company? 以下那一項最佳表達貴公司的主要投資目標?	
☐	Capital Preservation - our company principally aims to keep investment loss at a minimum with not much concern on overall returns. 保本為主 - 本公司主要旨在儘量減低投資損失，較少關注整體的回報。	(1)
☐	Income Oriented - our company principally aims to achieve stable income or counteract inflation. 收入主導 - 本公司主要旨在獲取穩定收入或抵消通脹。	(2)
☐	Income-and-Growth - our company principally aims to achieve returns from both capital appreciation and stable income. 收入及增長 - 本公司主要旨在獲取來自資本增值及穩定收入的回報。	(3)
☐	Growth Oriented - our company principally aims to achieve returns that focus on capital appreciation. 增長主導 - 本公司主要旨在獲取以資本增值為主的回報。	(4)
☐	Aggressive Growth - our company principally aims to achieve higher returns derived from the complex or leveraged investment products. 積極增長 - 本公司主要旨在獲取來自複雜或槓桿投資產品的較高回報。	(5)
Q9)	In general cases, how long is the maximum length of the expected investment horizon from your company? 在一般情況下，貴公司期望的最長投資年期是多久?	
☐	Below 1 year 少於 1 年	(1)
☐	1 years or above but less than 3 years 1 年或以上及少於 3 年	(2)
☐	3 years or above but less than 5 years 3 年或以上及少於 5 年	(3)
☐	5 year or above but less than 8 years 5 年或以上及少於 8 年	(4)
☐	Over than 8 years 多於 8 年	(5)
Q10)	What level of annualized price fluctuation would your company generally be comfortable with? 貴公司可以接受年度價格波幅是多少?	
☐	Between -5% and +5% 介乎 -5% 至 +5%之間的波幅	(1)
☐	Between -10% and +10% 介乎 -10% 至 +10%之間的波幅	(2)
☐	Between -15 and +15% 介乎 -15% 至 +15%之間的波幅	(3)
☐	Between -20 and +20% 介乎 -20% 至 +20%之間的波幅	(4)
☐	More than 20% 多於 20%的波幅	(5)
Q11)	Which of the following statement could best describe the attitude of your company towards investment risk? 以下那一句最能反映貴公司對風險的態度?	
☐	We are not willing to take risk and do not accept investment depreciation. 本公司很不願意承擔風險，而且不接受投資貶值。	(1)
☐	I want capital protection but I am willing to take low risk in order to obtain a return slightly better than bank deposits. 本公司希望保本，但願意接受低度風險從而實現稍高於銀行存款的回報。	(2)
☐	I am willing to accept medium risk in order to obtain a return greater than inflation. 本公司願意承擔中度風險，以便實現高於通貨膨脹的回報。	(3)
☐	I am willing to take higher risk in order to obtain a higher return. 本公司願意承擔較高風險，以便實現較高的潛在回報。	(4)
☐	I am willing to take the highest risk in order to maximize the return. 本公司願意承擔最大風險，以便將回報提至最高。	(5)
	Total Score **總分數**	

(B) Client Risk Tolerance Level Analysis 客戶風險承受程度分析

Based on the assessment of Risk Tolerance Level, which is calculated based on the points your company scored for each answer in Part (A), we recommend a corresponding investment strategy stated in the table below. 根據貴公司於此問卷在(A)部分每項回答之得分而計算得出的風險承受能力水平，我們建議貴公司採用下表所述的相應投資策略。

Risk Tolerance Level 風險承受程度	Total Score 總分數	Client Risk Profile 客戶風險類型
☐ Low Risk 低風險	< 22	Conservative 保守型
☐ Medium Risk 中風險	22 – 39	Moderate 平穩型
☐ High Risk 高風險	40 – 55	Aggressive 進取型

Client Risk Profile Characteristics 客戶風險類型特徵

- **Conservative 保守型**

  An investor who is looking to preserve the value of his/her investment against the erosion of inflation and are therefore prepared to consider a combination of low-risk alternatives to deposits to help generate a steady return over the long-term. Investor understands that there may be periods when the value of investor's investment could fall, but these are expected to be of limited impact because of the diversified investment strategy adopted. 投資者會選擇保障其投資價值，以對抗通脹的蠶食，因此願意考慮存款以外的低風險投資選擇，以取得長期穩定的回報。投資者明白投資價值在某些時間內可能會下跌，但因採取分散的投資策略，跌幅只會產生有限度的影響。

- **Moderate 平衡型**

  An investor who is looking to grow the value of investment over a longer term and generate an absolute return ahead of inflation. Investor is prepared to invest across a diversified portfolio of assets to achieve this goal and understand that there may be periods when the value of investor's capital can fall. 投資者會以投資價值長期增長並產生超過通脹的絕對回報為目標。投資者願意投資於多元化的資產組合以達到此目標，並且明白投資者的資本價值在某些時間內可能會下跌。

- **Aggressive 進取型**

  An investor who is looking to maximize the value of his/her investment over the longer term by selecting a concentrated/speculative portfolio and are comfortable with a higher risk and reward strategy this approach involves. Investor understands that his/her investment may likely record strong gains as well as significant falls in future. 投資者可能會選取一個十分集中/甚至含投機性資產的組合，以達致投資價值長期有最高增長為目標，並且願意承受此策略所帶來的較高風險及回報。投資者明白投資價值將來在某些時間內會錄得強勁的收益，亦會錄得大幅下跌的虧損。

Based on the answers investor have selected, investor's score is 根據投資者所提供的答案，投資者的分數為：________________ and the investor's risk tolerance level (the risk profile accordingly) is 而投資者的客戶風險承受程度(相應的風險取向)為：

☐ Low Risk (Conservative) 低風險 (保守型)　　☐ Medium Risk (Balance) 中風險 (平衡型)　　☐ High Risk (Aggressive) 高風險 (進取型)

☐ We agree and accept the above assessment of our investment appetite / risk profile.
本公司同意並接受上述評估結果及本公司確認同意本問卷評估本公司所屬的投資取向/風險概況。

OR 或

☐ We disagree with the above assessment and we confirm that our self-declared risk tolerance level below, which is **more prudent**, is more appropriate to our situation.
本公司等不同意上述評估結果，且認為以下由本公司自行選定**更為保守**的投資風險取向，更能反本公司的實際情況。

☐ **Low Risk 低風險** / ☐ **Medium Risk 中風險**

OR 或

☐ We disagree with the above assessment and I confirm that it is our intention and desire to accept the **higher level of risks with regard to the reason(s) stated below**. We further confirm that, notwithstanding the foregoing, we shall, based on our independent judgment, proceed to make investment in derivatives products, investment funds and/or other financial products of higher risks.
本公司不同意上述評估結果，且本公司確認基於下述原因，本公司打算及意欲選擇以下**較高之風險承受程度**。本公司進一步承認，盡管已有前述條文，本公司已決定根據本公司的獨立決策，投資於產品風險較高的衍生產品、投資基金和/或其他金融產品。

☐ **Medium Risk 中風險** / ☐ **High Risk 高風險**

Reason 原因：____

____

____

First Fidelity Capital (International) Limited
首信資本集團有限公司全資附屬公司

(C) Client's Acknowledgement and Declaration 客戶確認及聲明

The client hereby acknowledges and agrees the followings:
客戶現承認及確認如下：

(i) We hereby declare that the information we have provided in this Questionnaire is in all respects true, accurate and complete. We undertake that we will advise FFCIL in writing from time to time of any material change to the information provided to FFCIL in the Questionnaire. 本公司謹此聲明本問卷所提供的各項資料均屬正確無訛及完整無缺。本公司承諾，如果問卷中提供給 FFCIL 的資料發生任何重大變更，本公司將不時以書面形式通知 FFCIL。

(ii) We confirm that if there are any situations/conditions happened to affect my/our risk tolerance level, we must take the initiative to require FFCIL to reassess our risk tolerance level. Otherwise, we shall bear all the consequences resulting therefrom. 本公司確認如本公司發生可能影響自身風險承受能力的情形，再次購買金融產品時必須主動要求FFCIL重新對本公司進行風險承受能力評估。否則，由此導致的一切後果由本公司承擔。

(iii) We understand that this "Risk Profiling Questionnaire" is based on the information provided by us without providing any documentary proof to FFCIL and is designed to assist us in assessing our Company's financial needs and to determine which type of investor we are, so as to formulate the most possible investment portfolio. We understand that investment involves risks. We are aware that our Company's investments are associated with risks as well as our Company's tolerance to investment risks may change over time depending on factors including, but not limited to, our Company's financial situation, investment objective, investment time horizon and market fluctuations. Therefore, the result, suggestions and recommendations derived from this Questionnaire are intended for our Company's reference only. We acknowledged that we have made the relevant investment decisions entirely based on our Company's independent judgments. 本公司明白此「風險取向問卷」是基於本公司在並無提交任何證明文件予FFCIL下所提供的資料而設，以協助本公司評估本公司的經濟需要及判斷本公司屬於那一類投資者，從而設計出最合適的投資組合。本公司明白投資涉及風險。本公司知道本公司的投資關聯到風險以及本公司的風險承受能力可隨時間而因應其他因數而改變，當中包括，但不限於，本公司的經濟狀況、投資目的、投資年期及市場波動。因此，由此表格所作出的結果、建議及推介僅供本公司參考。本公司聲明本公司的相關本投資決定乃完全基於公司的獨立意向。

(i) We confirm that we have been reminded and are aware that we should have adequate liquid funds to meet foreseen and unforeseen events. 本公司確認本公司已被提醒及了解到本公司應有足夠流動資金去應付可預見及不能預見的事件。

Signature with Company Chop (if applicable) 客戶簽名加蓋公司印章 (如適用)	Name of Client 客戶姓名
	Name of Signatory 簽字人姓名
	Date 日期

********** **For Office Use Only** **********

Witness (if applicable)	Approval
Signature of Witness	Signature by Department Head or Responsible Officer
Name of Witness	Name
CE No.	CE No.
Date	Date