

EDDID SECURITIES AND FUTURES LIMITED

Risk Profiling Questionnaire - Corporate 客戶風險評估問卷 - 法團賬戶

This questionnaire aims to assess whether transacting a given Investment product ("Product") is suitable for the prospective customer (the "Customer"). The following ten questions are designed for generating indications as to the risk profile and personal circumstances of the Customer for matching with the risk level of the Product, which may not be the actual level of risk acceptable to the Customer.

本問卷旨在評估客戶所選擇的投資產品是否適合客戶本身。下列十條問題僅提供一些指引予客戶，用以評估客戶的風險狀況及個人情況是否適合投資產品的風險水平，未必能準確反映客戶實際可接受的風險水平。

For a corporate account, the authorized signatory who makes investment decisions on behalf of the company should complete and sign this questionnaire. 如為法團賬戶，代表該公司作出投資決定之授權簽署人應填寫及簽署本問卷。

1. Does your company engage any qualified professional to take part in decision making on financial investments?
貴公司有沒有聘用任何合資格的專業人士參與金融投資的決策？

- ☐ A) Yes, our company has an independent division / team / external advisor to make investment decisions.
有，本公司擁有獨立部門/團隊/外聘顧問負責投資決策。
- ☐ B) Yes, our company has authorized person(s) with relevant qualifications to make investment decisions.
有，本公司的授權人士擁有相關專業資格去負責投資決策。
- ☐ C) No, but our company has adequate knowledge on investment decisions.
沒有，但本公司在投資決策方面擁有足夠的知識。
- ☐ D) No, but our company has some knowledge on investment decisions.
沒有，但本公司在投資決策方面擁有一定程度的知識。
- ☐ E) No, our company has little or no knowledge on investment decisions.
沒有，本公司在投資決策方面擁有少許或沒有知識。

2. What is the maximum length of your company's expected investment horizon?
貴公司預期的最長投資年期是多久？

- ☐ A) Less than 1 year. 少於 1 年
- ☐ B) 1-5 year(s). 1 年至 5 年
- ☐ C) 6-10 years. 6 年至 10 年
- ☐ D) 11-20 years. 11 年至 20 年
- ☐ E) More than 20 years. 20 年以上

3. Which of the following statements best describe your company's investment objective?
以下哪項最能形容貴公司的投資目標？

- ☐ A) Conservative with a return similar to bank deposit rate 保守及賺取相約於銀行存款利率的回報
- ☐ B) Earn a return which is slightly above bank deposit 賺取略高於銀行存款利率的回報
- ☐ C) Stable, balanced income and capital growth 穩定平衡收入與資本增長
- ☐ D) Gradual long-term capital growth 資本長期地逐漸增長
- ☐ E) Maximize capital growth as soon as possible 以最短時間爭取最高資本回報

4. How long is your company's investment experience in product with appreciable price volatility (e.g. certificates of deposits, foreign currencies, stocks, bonds, investment funds, credit linked notes, structured products, futures, warrants, and commodities, etc)?
貴公司投資於價格波動的財務產品經驗有多久 (例如: 存款證、外幣、股票、投資基金、信貸相連票據、結構性產品、債券、期貨、認股權證、商品等)?
- ☐ A) No such experience. 全無經驗
- ☐ B) Less than 2 years. 少於 2 年
- ☐ C) 2-4 years. 2 年至 4 年
- ☐ D) 5-7 years. 5 年至 7 年
- ☐ E) More than 7 years. 7 年以上
5. What investment product(s) have your company ever held during the past 24 months (Tick one or more)?
貴公司過去 24 個月曾持有哪些投資產品 (可選擇多於一項)?
- ☐ A) Margin Trading/Futures/Options/Equity Options/Accumulators/Forwards/Credit-linked Notes with exposure to Structured Products.
保證金交易/期貨/期權/股票期權/累計認證股證/遠期合約/涉及結構性產品的信貸相連票據
- ☐ B) Stocks/Equity-linked Investments (non-Blue Chips)/Investment Funds exposed to emerging markets, regional markets, single country or single sector/Hedge Funds/Foreign Exchange Options/Option Embedded Products.
股票/股票相連投資(非藍籌)/投資於新興市場、地區市場、單一國家或單一行業的投資基金/對沖基金/外匯期權/含期權產品
- ☐ C) Stocks/Equity-linked Investments (non-Blue Chips)/Global Equity Investment Funds/Balanced Investment Funds/Bond investment Funds exposed to emerging markets, regional markets, single country/High-yield Bond Investment Funds/Currency-linked Deposits/Credit-linked Notes without exposure to Structured Products.
股票/股票相連投資(非藍籌)/環球股票投資基金/均衡基金/投資於新興市場、地區市場、單一國家的債券投資基金/高收益債券投資基金/外幣掛鉤存款/不涉及結構性產品的信貸相連票據
- ☐ D) Bonds/Global Bond Investment Funds/Foreign Currencies.
債券/環球債券投資基金/外幣
- ☐ E) Certificates of Deposits/Capital-guaranteed Investment Products/Money Market Funds.
存款證/保本型投資產品/貨幣市場基金
- ☐ F) None of the above during the past 24 months but some of the above or other financial products prior to the past 24 months.
過去 24 個月未持有以上投資產品, 惟過去 24 個月之前曾投資於上述部份產品或其他金融產品
- ☐ G) Never held any investment products so far.
迄今從未持有任何投資產品
6. What is the percentage of your company's liquid assets (i.e. assets easily converted into cash) that can be allowed for investing in product with appreciable price volatility?
貴公司現正持有的價格波動財務產品佔總流動資產(易於變現金的資產)的多少個百分比?
- ☐ A) Less than 10% 少於 10%
- ☐ B) 10% to 20% 10% 至 20%
- ☐ C) 21% to 30% 21% 至 30%
- ☐ D) 31% to 50% 31% 至 50%
- ☐ E) More than 50% 多於 50%

7. How much price volatility of investment your company can accept?
貴公司可以接受財務產品的價格出現多大波幅?
- ☐ A) Less than 10% price fluctuation. 少於 10% 的升跌
- ☐ B) 10% price fluctuation. 10% 的升跌
- ☐ C) 15% price fluctuation. 15% 的升跌
- ☐ D) 20% price fluctuation. 20% 的升跌
- ☐ E) More than 20% price fluctuation. 超過 20% 的升跌
8. What is the average percentage of your company after-tax income that can be allowed for saving or investment?
貴公司的除稅後收入平均多少個百分比可作儲蓄或投資?
- ☐ A) Less than 10% 少於 10%
- ☐ B) 10% to 20% 10% 至 20%
- ☐ C) 21% to 30% 21% 至 30%
- ☐ D) 31% to 50% 31% 至 50%
- ☐ E) More than 50% 多於 50%
9. How many months of your company normal expenses could be covered by your liquid assets (i.e. assets easily converted into cash) in case of any unexpected event?
如發生突發事件，貴公司的流動資產(易於變現金的資產)可應付多少個月的一般開支?
- ☐ A) Less than 1 month. 少於 1 個月
- ☐ B) 1 month to less than 6 months. 1 個月至 6 個月以下
- ☐ C) 6 months to less than 12 months. 6 個月至 12 個月以下
- ☐ D) 12 months to less than 24 months. 12 個月至 24 個月以下
- ☐ E) More than 24 months. 24 個月以上
10. How would you best describe your company's attitude towards investing?
您會怎樣形容貴公司對投資的取向?
- ☐ A) Our company cannot put up with any price fluctuation
本公司不能接受任何價格波動
- ☐ B) Our company can only put up with little price fluctuation and wish up to have earnings slightly higher than bank deposit rate.
本公司只能接受較小幅度的價格波動，並且希望賺取稍高於銀行存款利率的回報
- ☐ C) Our company can put up with some price fluctuation and wish to have earnings much better than bank deposit rates
本公司可接受若干價格波動，並希望賺取遠高於銀行存款利率的回報
- ☐ D) Our company can put up with high degree of price fluctuation and wish to have earnings comparable to stock market indexes.
本公司可接受大幅度的價格波動，並希望賺取與股市表現相若的回報
- ☐ E) Our company can put up with any price fluctuation and wish to have earnings remarkably higher than stock market indexes
本公司可接受任何幅度的價格波動，並希望回報能跑贏股市

Question 問題	A	B	C	D	E	F	G	Your Points 您的總分
1	5	5	3	2	1			
2	1	2	3	5	5			
3	1	2	3	5	5			
4	0	2	3	4	5			
5*	9	7	5	3	1	1	0	
6	1	2	3	5	5			
7	1	2	3	4	5			
8	1	2	3	4	5			
9	0	1	3	5	5			
10	0	1	3	4	5			
Please total your points from the above ten questions and write your risk score in the box. 請將十條問題的得分加起來，並在方格內寫出您的風險分數：								

* As the question allows multiple answers, only the answer carries the highest score is used in the calculation 由於問題可選擇多於一個答案，計算時請選用得分最高的答案。

Total Score 總分	Risk Categories 風險類別	Investment Risk Profiles 投資風險分析
6 - 12	Conservative 保守型	You may choose the financial products with LOW product risk level, and emphasis on bonds and cash to seek for capital preservation. In return, you understand that you will receive lower returns. 貴公司可選擇投資於低風險的投資產品，以債券及現金為主以達到穩定回報的目的。如此一來，您要明白所收取的回報也較低。
13 - 22	Stable 穩健型	You can accept some returns of your investments with low to medium risk exposure and price fluctuation. 貴公司可以接受低至中風險及價格波動，並有一些的投資回報。
23 - 32	Balanced 平衡型	You can choose a diversified but more balanced mix of stocks, bonds and cash. You are willing to accept medium risks in exchange for some potential returns over the medium to long term. 貴公司可選擇多元化及較均衡的股票、債券及現金投資組合。貴公司願意承擔中等級別的風險，以便在中長期內賺取一些潛在回報。
33 - 43	Growth 增長型	You can accept growth of capital with high risk exposure and price fluctuation. 您可以接受高風險及價格波動，並且有資本增值的投資。
44 - 54	Aggressive 進取型	You may choose to invest your money in Derivative Products, Investment Funds and/or Other Financial Products with any product risk level. You are willing to accept very high risks to maximum your potential return over the long term. You understand that you may lose a significant part or all of your capital. You may even be required to make good the losses over and above your capital. 貴公司可選擇投資於任何風險級別的衍生產品、投資基金和/或其他金融產品。貴公司願意承擔高級別的風險，以便在中長期內得到最大的潛在回報。貴公司知道您可能損失大部份或全部資本，貴公司甚至可能須對資本以外的虧損作出補償。

Customer Risk Categories Description 客戶風險評估結果 (To be completed by Staff/RM/A.E.)

Based on your responses, your risk categories is: 根據貴公司的回應，貴公司的風險評估結果為：	Conservative 保守型	Stable 穩健型	Balanced 平衡型	Growth 增長型	Aggressive 進取型
Client Risk Grade 客戶風險級別	1	2	3	4	5

Signature of Staff/RM/A.E.

Staff Name

License Number

Date

Vulnerable Client Assessment 容易受損客戶評估 (To be completed by Staff/RM/A.E.)

	Yes	No
1. The beneficial owner(s) of the account is/are aged 65 or above?		

If the answer of the above question is “Yes”, Vulnerable Client Declaration Form MUST be signed before acceptance of client order.

Declaration 聲明:

We declare that the information provided within the document is true and accurate to the best of our knowledge. We agree to inform Eddid Securities and Futures Limited (“EDDID”) and its representative in writing as soon as reasonably possible of any changes to this information. We acknowledge and agree that our risk profiles is as above. We acknowledge that EDDID takes no responsibility for any acts or omissions resulting from the provision of incomplete or inaccurate information by us.

我們謹此聲明，按我們等所知，我們在本文件提供的資料真確無誤。我們同意，如此資料有任何變動，我們將會在合理可行情況下儘快以書面通知艾德證券期貨有限公司(“艾德”)。我們同意以上的風險評估結果。我們確認，就我們提供不完整或不正確資料所導致的任何行動或遺漏，艾德概不負上任何責任。

Suitability Declaration 適合性聲明:

We understand and agree that (tick one only): 我們明白並同意 (只可選一項):

- ☐ We have read the Product Key Facts Statement, Explanatory Memorandum and other marketing materials of the product(s) that we are applying for. We declare and agree that we fully understand and accept the various features of the product(s) including but not limited to the potential risks, returns and loss associated with investment. We confirm that the features and risk level of the product(s) are suitable for us based on our disclosed current needs and risk profile as indicated in the Risk Profiling Questionnaire.

我們已閱讀本人所申請的產品資金概要、注釋備忘錄及其他銷售資料。我們聲明及同意我們完全明白並接受有關產品之特性包括但不限於潛在之風險、回報及損失。我們確定根據我們於「客戶風險評估問卷」所披露之現時需要及投資風險概況，有關產品之特色及其風險級別均適合我們。

OR 或

- ☐ We have read the Product Key Facts Statement, Explanatory Memorandum and other marketing materials of the product(s) that we are applying for. We declare and agree that we fully understand and accept the various features of the product(s) including but not limited to the potential risks, returns and loss associated with investment. We confirm that despite the fact that the features and/or risk level of the product(s) **MAY NOT BE SUITABLE** for us based on our disclosed current needs and risk profile as indicated in the Risk Profiling Questionnaire, we confirm that it is our intention and desire to proceed with our application(s) as explained below:

我們已閱讀我們所申請的產品資金概要、注釋備忘錄及其他銷售資料。我們聲明及同意我們完全明白並接受有關產品之特性包括但不限於潛在之風險、回報及損失。我們確定根據我們於「客戶風險評估問卷」所披露之現時需要及投資風險概況，有關產品之特色及其風險級別**可能並不適合我們**，但我們確認基於下述原因，我們打算及意欲繼續本申請。

Reason 原因:

Remarks 備註:

This Risk Profiling Questionnaire and the results are reference only. It is not intended to provide any investment advice on, an offer to sell, or a solicitation for an offer to purchase any investment products or services. EDDID accepts no responsibility or liability as to the accuracy or completeness of the information provided in this questionnaire and the results. It is strongly recommended that the Customers review their viewpoint about investment risk at least once a year or when major changes occur in personal situation to make sure the investment decisions continue to match with Customers' attitude towards investment risk profile.

本問卷及測試結果僅供參考，並不構成投資建議，亦不得視為建議游說買賣任何投資產品及服務。艾德對本問卷內容及結果的準確性及完整性概不作出任何保證。極力建議客戶最少每年一次或在個人狀況及生重大轉變時，檢討客戶對投資風險的見解，以確保投資決定仍然配合對投資風險取向的態度。

Completed and Signed by 填寫及簽署人:

Signature of Authorized Signatory (with company chop):

授權簽署人簽署 (公司印)

Full name of the Company

公司全名稱

Customer A/C:

客戶號碼

Date: 日期