

Risk Profile Questionnaire (for Corporate Account)

投資風險屬性問卷 (公司客戶適用)

This questionnaire serves to help your company to assess the risk attitude based on your company's ability to take risk and your company's risk tolerance level. If your company's situation or investment goals changes, your company should approach us and update the information in this questionnaire as soon as possible for us to re-assess your company's risk profile. 這份問卷是根據 貴公司承受風險的能力及風險接受程度以評估 貴公司的風險態度。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。
(Information provided will be kept confidential. 貴公司提供的資料將會絕對保密。)

Please choose the appropriate answer below 請選擇下列最適當答案：

Q1 What is the amount of net liquid assets that your company will set aside for investing in investment product initially and additionally during its investment period 貴公司預留多少淨流動資產用在初始期及投資期內的投資？

- (a) Less than HK\$500,000 少於港幣\$500,000 (0)
- (b) HK\$500,001 to HK\$1,000,000 港幣\$500,001 至 港幣\$1,000,000 (2)
- (c) HK\$1,000,001 to HK\$5,000,000 港幣\$1,000,001 至 港幣\$5,000,000 (4)
- (d) HK\$5,000,001 to HK\$10,000,000 港幣\$5,000,001 至 港幣\$10,000,000 (6)
- (e) Over HK\$10,000,000 多於港幣\$10,000,000 (8)

Q2 Does your company employ any dedicated personnel responsible for making investment decision 貴公司有否聘用專責人員負責作出投資決定？

- (a) Yes, we have senior management with relevant professional qualifications to make investment decisions.
有, 本公司擁有相關專業資格的管理層負責作出投資決定 (8)
- (b) No, but we have adequate knowledge on making investment decisions.
沒有, 但本公司對投資決定有足夠知識 (6)
- (c) No, but we have some knowledge on making investment decisions.
沒有, 但本公司對投資決定有一定知識 (4)
- (d) No, but we have little knowledge on making investment decisions.
沒有, 但本公司對投資決定有少許知識 (2)
- (e) No, we do not have knowledge on making investment decisions.
沒有, 本公司對投資決定沒有知識 (0)

Q3 How many years of investment experience (exclude savings, fixed deposit and foreign currency deposit) does your company have 貴公司擁有多少年投資經驗(不包括儲蓄、定期儲蓄及外幣儲蓄)？

- (a) Over 10 years 多於 10 年 (8)
- (b) Between 7 and 10 years 7 至 10 年 (6)
- (c) Between 4 and 6 years 4 至 6 年 (4)
- (d) Between 1 and 3 years 1 至 3 年 (2)
- (e) No experience or Less than 1 year 沒有經驗或少於 1 年 (0)

Q4 Which of the following products your company has previously invested 貴公司曾否投資於以下產品？
(you may choose more than 1 option 您可選擇多於一項)

- (a) Savings/Fixed Deposits/Foreign Currency Deposits 儲蓄/定期儲蓄/外幣儲蓄 (2)
- (b) Bonds/Certificate of Deposits/Stocks/Mutual Funds/Unit Trust 債券/存款證/證券/基金/單位信託基金 (4)
- (c) Investment-linked Insurance Plans 投資相連保險計劃 (6)
- (d) Derivatives/Structure Products/Linked Deposits/FX Trading (Margin/Leveraged)
衍生產品/結構性產品/掛鈎存款/外匯投資(孖展/槓桿) (8)
- (e) None 沒有 (0)

- Q5 It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. How long is the expected investment horizon of your company 在一般情況下，投資的年期越長，可承受的風險越高，而投資產品的價值亦會波動。當投資於產品時，貴公司的預計投資年期是？
- (a) Over 10 years 多於 10 年 (8)
 - (b) Between 7 and 10 years 7 至 10 年 (6)
 - (c) Between 4 and 6 years 4 至 6 年 (4)
 - (d) Between 1 and 3 years 1 至 3 年 (2)
 - (e) Less than 1 year 少於 1 年 (0)
- Q6 What is current objective for investment of your company 貴公司現時之投資目標是？
- (a) Maximize capital growth as soon as possible 以最短時間爭取最高回報 (8)
 - (b) Gradual long-term capital growth 資本長期逐漸增長 (6)
 - (c) Stable, balanced income and capital growth 穩定、平衡收入與資本增長 (4)
 - (d) Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報 (2)
 - (e) Capital preservation with a return similar to bank deposit rate 保本及賺取與銀行存款相約的回報 (0)
- Q7 Which of the following statement could best describe your company's attitude towards investment risk 以下哪一段句子最能反映貴公司對風險的態度？
- (a) We never consider risks, as we aim to maximize returns 本公司願意承受風險，務求獲取最高回報 (8)
 - (b) We are willing to accept more risks, as we aim for more returns 本公司願意承受較高風險，以換取更高回報 (6)
 - (c) We are willing to strike a balance between risks and returns 本公司會平衡風險與回報 (4)
 - (d) We will try to avoid risks but minor ones are still acceptable 本公司會盡量迴避風險，但仍可承受較低的波動 (2)
 - (e) We are risk averse and don't want to take any risks 本公司不願意承受任何風險 (0)
- Q8 Generally, the higher the expected return, the higher price fluctuation may be involved. What level of annualized price fluctuation would your company be comfortable with 一般而言，預期較高回報會涉及相對較高價格波幅。貴公司可以接受以下哪個年度價格波幅？
- (a) Fluctuates between -20% and +20% 波幅介乎 -20% 至 +20% (8)
 - (b) Fluctuates between -15% and +15% 波幅介乎 -15% 至 +15% (6)
 - (c) Fluctuates between -10% and +10% 波幅介乎 -10% 至 +10% (4)
 - (d) Fluctuates between -5% and +5% 波幅介乎 -5% 至 +5% (2)
 - (e) No price fluctuates 沒有價格波幅 (0)
- Q9 In general, how much liquid assets (including cash or high liquidity 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(包括現金或高流動性資產，如外幣、黃金等) 作為每月營運開支儲備？
- (a) 12 months or above operational expenses 12 個月以上的營運開支 (8)
 - (b) 6 months to less than 12 months operational expenses 6 個月至 12 個月以下的營運開支 (6)
 - (c) 3 months to less than 6 months operational expenses 3 個月至 6 個月以下的營運開支 (4)
 - (d) Less than 3 months operational expenses 少於 3 個月的營運開支 (2)

Total Score 總分數： _____

Risk Tolerance Analysis 風險承受能力分析

Total Score 總分數	≤ 29	30-59	≥ 60
Risk Tolerance Level 風險承受程度	<input type="checkbox"/> Low Risk 低風險	<input type="checkbox"/> Medium Risk 中風險	<input type="checkbox"/> High Risk 高風險
Investor General Characteristics 投資者的一般特徵	<p>Conservative 保守型</p> <p>An investor who is risk-averse and willing to accept low risks. To whom capital preservation is very important, then he/she understands that low return will be received in return.</p> <p>投資者願意承受低度的風險、重視保本，亦明白並接受獲取比較保守回報。</p>	<p>Balance 平衡型</p> <p>An investor who is willing to accept medium risks in exchange for some potential returns over the medium to long term.</p> <p>投資者願意承受中度的風險，於中長線換取潛在回報。</p>	<p>Aggressive 進取型</p> <p>An investor who is willing to accept high level of risk in return for significant capital gain over the long term. And he/she understands that he/she may lose a significant part or all of his/her capital.</p> <p>投資者願意承受高度的風險，於長線換取可觀的潛在回報。同時亦明白到有可能招致損失大部分或全部本金。</p>

Disclaimer 免責聲明

1 The results of this questionnaire are derived from the information that you have provided to Yaw Kai Financial Group Limited ("Yaw Kai") and on certain generally accepted assumptions and reasonable estimate. Calculations and values used on this questionnaire are used for illustration purpose only. Yaw Kai accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.

本問卷的結果是根據由 貴公司向本司提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途，本司對本問卷所載資料及/或所得結果的準確性或完整性並不負責承擔任何法律責任。

2 This questionnaire and the results only serve as a reference for your consideration. This should not be regarded as an investment advice, an offer to sell or a solicitation for an offer to buy any financial products and services. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision.

本問卷及所得結果僅供參考之用。以上並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。於作出任何投資決定前，貴公司應仔細考慮貴公司的投資目標及承受風險能力，並尋求獨立專業意見。

3 Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the product before making any investment decision.

投資者須注意投資涉及風險，包括可能損失全部投資本金。投資產品價格可升可跌，而所呈列的過往表現並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細了解該產品的性質和風險。

4 Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire. We strongly recommend that you should complete this questionnaire again.

請注意，倘若你未能全面披露所有或任何關的個人狀況（如財務狀況）、不正確，不完整或過時的資料可能影響本司評估你對投資風險的態度及承受能力。如你的狀況出現變動而可能影響本問卷中任何題的答案，我們極建議你再次填寫本問卷。

Client's Declaration 客戶聲明

We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of our knowledge.

我們謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡我們所知而作答。

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。

We disagree with the above assessment and our investment appetite / risk profile should be:
本公司不同意上述評估結果，且認為本公司的投資取向/風險概況應為：

Authorized Signature with Company Chop 獲授權簽署及公司蓋章

Name of Authorized Signatory 獲授權人名稱: _____

Date 日期: _____

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Declaration: I hereby declare and confirm that this questionnaire is duly completed by the client.
聲明: 本人謹此聲明及確認此問卷由客戶親自填寫。

Name 姓名:
Date 日期:
CE No. 中央編號:

Approved by CEO or Responsible Officer
行政總裁或負責人員批核

Name 姓名:
Date 日期:
CE No. 中央編號: