FIRST SECURITIES (HK) LIMITED
第一證券(香港)有限公司

Investment Risk Analysis Questionnaire
投資風險分析問卷

Account Name:
賬戶名稱：________________________

Account Number
賬戶號碼：________________________

Client Questionnaire 客戶問卷

Please select one option best describing the Client's conditions
請選擇最能確切反映客戶狀況之選項

1. (i) Age of the Client 客戶的年齡 (Applicable to Individual Client 適用於個人客戶)

☐ below 31	31歲以下	([20])	☐ 31 to 40	31 至 40 歲	([25])
☐ 41 to 50	41 至 50 歲	([15])	☐ 51 to 60	51 至 60 歲	([10])
☐ 61 to 65	61 至 65 歲	([0])	☐ over 65	65歲以上	([-5])

(ii) Year of establishment of the Client 客戶成立年期 (Applicable to Corporate Client 適用於公司客戶)

☐ below 5 years	5 年以下	([0])	☐ 5 to 10 years	5 至 10 年	([10])
☐ 11 to 15 years	11 至 15 年	([15])	☐ 16 to 20 years	16 至 20 年	([20])
☐ above 20 years	超過 20 年	([25])			

2. What the Client's investment experience is 客戶有多久的投資經驗

☐ More than 10 years	多於 10 年	([25])	☐ Between 5 and 10 years	5 至 10 年	([15])
☐ Less than 5 years	少於 5 年	([10])	☐ No experience	沒有經驗	([5])

3. In what time frame the Client wishes to achieve the investment objectives 客戶預期多久之內達成投資目標

☐ Less than 1year	少於 1 年	([25])	☐ 1 to 3 years	1 至 3 年	([20])
☐ 3 to 5 years	3 至 5 年	([15])	☐ 5 to 10 years	5 至 10 年	([10])
☐ 10 to 25 years	10 至 25 年	([0])			

4. Whether the Client has ever invested in stocks or stock mutual funds 客戶曾否投資股票或股票互惠基金

☐ Yes, and the Client was comfortable with the risk 曾經投資，而客戶亦可承受有關風險	([25])	☐ Yes, but the Client was uncomfortable with the risk 曾經投資，但客戶對有關風險感到不安	([5])
☐ No, but it would be comfortable with the risk if the Client did不曾投資，但客戶相信可承受有關風險 *(Please jump to Question 6 請跳至問題6)*	([15])	☐ No, and it would be uncomfortable with the risk if the Client did 不曾投資，而客戶將對有關風險感到不安 *(Please jump to Question 6 請跳至問題6)*	([0])

5. On average, how many transactions (buy and sell) the Client would initiate each year 客戶平均一年內進行多少次買/賣的交易

☐ More than 100	多於 100	([25])	☐ Between 51 and 100	51 至 100	([20])
☐ Between 5 and 50	5 至 50	([10])	☐ Less than 5	少於 5	([0])

6. Which of the following return-loss scenarios would be most attractive to the Client 客戶認為下列哪項回報-損失方案對客戶最具吸引力

☐ Between a loss of 2% and a gain of 10% 損失 2% 至回報 10% 之間	([5])	☐ Between a loss of 10% and a gain of 20% 損失 10% 至回報 20% 之間	([15])
☐ Between a loss of 20% and a gain of 40% 損失 20% 至回報 40% 之間	([20])	☐ Between a loss of 50% and a gain of 100% 損失 50% 至回報 100% 之間	([30])

7. What percentage of the Client's assets will be put in investments with higher risk（e.g. warrants, futures etc.）客戶會把多少比例的資產投資於較高風險的投資項目（如：認股權證、期貨等）

☐ Less than 25%	少於 25%	([5])	☐ Between 25 to 50%	25 至 50%	([15])
☐ Between 51 to 75%	51 至 75%	([25])	☐ More than 75%	多於 75%	([30])

8. What is the primary purpose for the Client to transact business with the First Securities (HK) Limited 客戶與第一證券(香港)有限公司往來的主要目的					
☐ Savings	存款	([0])	☐ Investment	投資	([25])
☐ Wealth Planning	財富規劃	([15])	☐ No particular reason	沒有特別原因	([10])
9. How often the Client will review investment portfolio in the future 客戶多久檢視一次客戶的投資組合					
☐ Several times a day	每天數次	([25])	☐ At least once a week	至少每週乙次	([15])
☐ At least once a quarter	至少每季乙次	([5])	☐ At least once a year	至少每年乙次	([0])

Risk Tolerance Confirmation 投資風險承受度確認書

1. Result of the Client Risk Tolerance Test 客戶之風險承受度的評估結果為

- ☐ Aggressive 進取型 【 Score得分 ≧ [191] 】
- ☐ Growth 增長型 【 [161] ≦ Score得分 ≦ [190] 】
- ☐ Balanced 平衡型 【 [141] ≦ Score得分 ≦ [160] 】
- ☐ Moderate 中度型 【 [101] ≦ Score得分 ≦ [140] 】
- ☐ Conservative 保守型 【 Score得分 ≦ [100] 】

2. Explanatory Note 註釋

(i) Aggressive 進取型
Where the Client is assessed as Aggressive type, the Client shall be considered to be capable of tolerating extremely high risk and is suitable to make investment in products with high level of volatility. 當客戶被評估為進取型，客戶將被視作可承受高風險投資及適合投資波動幅度極高的產品。

(ii) Growth 增長型
Where the Client is assessed as Growth type, the Client shall be taken as being capable to accept growth of capital with high risk and price fluctuation. 當客戶被評估為增長型，客戶將被視作可接受高風險投資及價格波動，並且有資本增值的投資。

(iii) Balanced 平衡型
In the event of the Client being assessed as Balanced type, the Client shall be taken as being capable of absorbing medium risk and is suitable to make investment in products with medium level of volatility. 當客戶被評定為平衡型，客戶將被視作可吸納中度風險投資及適合投資波動幅度中等的產品。

(iv) Moderate 中度型
Where the Client is assessed as Moderate type, the Client shall be taken as being capable to accept some returns of Client's investments with low risk and price fluctuation. 當客戶被評估為中度型，客戶將被視作可接受低風險投資及價格波動，並有一些的投資回報。

(v) Conservative 保守型
When the Client is assessed as Conservative type, the Client shall be considered to be capable of undertaking a conservative level risk and products with low level of volatility is suitable to the Client. 當客戶被評定為保守型，客戶將被視作可承擔保守程度風險投資及具低等波動幅度的投資產品會適合於此類型客戶。

Client's Declaration 客戶聲明

1. I/We confirm and acknowledge that the above questionnaire is completed by me/us personally and on our own judgment and the completion thereof is not relied on any representation from you. 我/吾等確認及承認，我/吾等親身及依賴自身的判斷完成上述問卷，而並非依賴 貴司的任何陳述。

2. I/We further confirm and acknowledge that I/we have been given adequate time to consider and review the options set out in the above questionnaire before its completion. 我/吾等進一步確認及承認，我/吾等於完成上述問卷前已被給予足夠的時間去考慮及檢視上述問卷的選項。

3. I/We undertake to notify you forthwith in the event that the above options selected no longer represent my/our true, accurate and updated circumstances. 我/吾等承諾，當上述被勾選的選項不再代表我/吾等的真實、確切及最新的情況時，我/吾等會即時通知 貴司。

Client's Signature(s) and Company Chop (if any)客戶簽署及公司圖章(如有)

Dated 日期： ____________________________(DD/MM/YY) (日/月/年)

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Handled By	Verified By	Approved By
Date	Date	Date