Client Investment Suitability Profile Questionnaire

客戶投資適合性問卷

Please post your completed form to Client Services Department, 9/F, Low Block, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong or by visiting the Wealth Management Centres of CASH Financial Services Group. Your request will be processed within 2 working days upon receipt of the duly completed form. For inquiries, please do not hesitate to contact us at (852) 2663 8888. 請將已填妥的表格郵寄至香港中環皇后大道中 181 號新紀元廣場低座九樓客戶服務部或交回時富金融服務集團各投資理財中心。本公司將在收到填妥的表格後兩個工作天內處理您的申請。如欲查詢，請致電(852) 2663 8888 與客戶服務部聯絡。

Purpose of this questionnaire 本問卷之宗旨

The purpose of this questionnaire is to capture your general personal circumstances and to assess your overall GENERAL attitude towards investment risks as an investor.本客戶問卷旨在了解您的一般個人狀況及評估您作為投資者整體上對投資風險的一般態度。

Are you a U.S. citizen, green cardholder or residing in U.S.? 是否美國公民、綠卡持有人或於美國居住？	
☐ Yes 是 Please contact our Client Services Officer. 請聯絡本公司之客戶服務主任。	☐ No 否

Personal Information 個人資料	
I am age 65 or above 本人為 65 歲或以上	☐ Yes 是 ☐ No 否
My highest level of education is 本人之最高教育程度	☐ Primary 小學 ☐ Lower Secondary 初中 ☐ Upper Secondary 高中 ☐ Tertiary or above 大專/大學或以上
Cash need 現金需要	
閣下是否需要倚賴投資來的收入，來維持生活所需？ Do you need to rely on your investments to meet your current income needs?	☐ Yes. 是。 ☐ No. 否。

Your current financial position? 您目前的財務狀況？
Total Annual Income 年收入總額
☐ Below HK$150,000 低於港幣 150,000 ☐ HK$150,001-HK$300,000 港幣$150,001 至港幣 300,000 ☐ HK$300,001-HK$500,000 港幣$300,001 至港幣 500,000 ☐ Above HK$500,000 高於港幣 500,000
Total Liquid Assets 流動資產總值
☐ Below HK$100,000 低於港幣 100,000 ☐ HK$100,001-HK$500,000 港幣$100,001 至港幣 500,000 ☐ HK$500,001-HK$1,000,000 港幣$500,001 至港幣 1,000,000 ☐ Above HK$1,000,000 高於港幣 1,000,000
Percentage of your total liquid assets that is allowed for saving or investment 流動資產總值有多少百分比可用作儲蓄或投資
☐ Below 10% 低於 10% ☐ 10% to 30% 10%至 30% ☐ 31% to 50% 31%至 50% ☐ Above 50% 高於 50%

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Investment objective and general attitude towards investment risks 投資目標及對投資風險的一般態度	
☐	To achieve return above short term fixed income rates, and buy products primarily for income generation. 主要投資於穩定收入產品，以獲得比短期固定收益率高的回報。
☐	To achieve some capital growth, and buy products that strike a balance between income generation and capital gain. 主要投資於有穩定收入及有資本增值潛力的產品，以獲得一些資本增長。
☐	To achieve capital growth, and buy products primarily to seek substantial capital gain rather than income generation. 主要投資於有高資本增值潛力，而非穩定收入的產品，以獲得資本增長。
☐	To achieve very significant capital growth, and buy products primarily for aggressive capital gains. 主要投資於有極高資本增值潛力的產品，以獲得大幅資本增長。

What is the highest level of investment loss in your portfolio that you can tolerate? 您可接受投資組合最多的虧損程度是多少？	
☐	Below 10% 低於 10%
☐	10% to 20% 10%至 20%
☐	21% to 30% 21%至 30%
☐	Above 30% 高於 30%

Level of knowledge and experience with investment products 您對投資產品的知識及經驗				
	No knowledge, no experience 無任何知識及沒有經驗	Have knowledge, no experience 有知識但沒有經驗	Have knowledge, with 2 years or below experience 有知識及具 2 年或以下經驗	Have knowledge, with more than 2 years experience 有知識及具 2 年以上經驗
Foreign Currency 外幣	☐	☐	☐	☐
Mandatory Provident Fund 強積金	☐	☐	☐	☐
Fixed Income (e.g. Bonds, Annuity Plan) 固定收入工具 (例如: 債券、年金)	☐	☐	☐	☐
Equities 股票	☐	☐	☐	☐
Structured Products (e.g. ETF, ELN) 結構性產品 (例如: 交易所買賣基金、資產掛鉤票據)	☐	☐	☐	☐
Derivatives (e.g. Warrants, CBBC, Options, Futures Contracts) 衍生工具 (例如: 窩輪、牛熊証、期權、期貨)	☐	☐	☐	☐
Do you intend to invest in Derivatives? 您是否有意認購衍生工具？	☐ Yes 是 ☐ No 否			

With regards to Derivatives, please provide information below: 就所有衍生工具而言，請提供以下資料：	Yes 有	No 否
Have you made 5 or more investment transactions in the past 3 years in any of the following derivative products? Structured Products, Premium Deposit, Forward, Futures, Swap, Convertible Bonds, Options, Warrants, Instrument with embedded derivatives 您於過去 3 年內有否作出 5 次或以上涉及任何下列衍生工具的投資交易？ 結構性產品、高息貨幣掛鈎存款、期貨合約、掉期合約、期權、窩輪、含有衍生工具的投資工具	☐	☐
Have you received any training or attended any courses related to derivatives offered by banks, financial institutions, educational institutions or professional organizations? 您是否曾接受過任何由銀行、金融機構所、教育機構或專業團體提供的有關衍生工具的培訓或課程？	☐	☐
Do you have any work experience relating to derivative products? 您是否具有與衍生產品有關的工作經驗？	☐	☐
Have you been a licensed / registered person as defined in the Securities and Futures Ordinance, to carry out regulated activities relating to derivative products? 您有否曾以證券及期貨條例所定之持牌/ 註冊人之身份，進行有關衍生工具的活動？	☐	☐

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Important Information 重要資料
The results of this questionnaire are derived from the information that you have provided to the Company and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only. 本問卷的結果是從您向本行提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的計算方法及取值僅供說明用途。 This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation. 本問卷及所得結果僅供您參考，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。 Answers you give to the questions in this questionnaire help to provide some indication as to which Risk Profile you may fit in. It does not represent the suitability of any investment product for you. 您於本問卷提供的答案有助顯示因應您的個人情況而指出您對風險的取態及您所屬的風險取向類別。 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 towards 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，倘若您未能全面披露所有或任何有關您的個人狀況（如財務狀況）、不正確、不完整或過時的資料可能影響本行就本問卷得出的評估結果。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。 Personal data collected in this questionnaire will be kept confidential by the Company. The data may be used by the Company, or third party insurer or any other companies within the Group under a duty of confidentiality to the Company, for designing and/ or marketing of financial products or insurance products and services. 本問卷所收集的個人資料保密，本行、第三方保險公司或其他屬於集團的公司須按照本行的保密責任使用該等資料設計及/ 或推廣金融產品或保險產品及服務。

Client Signature(s): 客戶簽署:	Licensed Representative Signature: 持牌代表簽名:
Client Name: 客戶名稱:	Licensed Representative Name: 持牌代表姓名:
ID / Passport No. : 身分證 / 護照號碼:	CE Number: 中央編號:
Date: 日期:	Date: 日期:

For official use only 僅供職員填寫

☐ Original ☐ Face to face	Phone verified by	Phone number	Date		Time
Handled by	Verified by	Approved by	Input by	Checked by	Risk Profile Classification ☐ Conservative 保守 [<21] ☐ Moderate 中度 [21-40] ☐ Aggressive 進取 [>40]