信有道證券有限公司
Signal D Securities Limited

Signal D Securities Limited (CE No.: BXP722)
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Risk Profiling Questionnaire 風險取向問卷

Account Name
帳戶名稱 : _____

Account Number
帳戶號碼: _____

- This questionnaire is designed to assess your attitude towards risk and risk tolerance level. It may not accurately reflect your actual risk tolerance level. Please seek professional advice if necessary.
  本問卷旨在評估閣下對風險的態度及對投資風險的承受程度，未必能準確反映閣下的實際可接受的風險水平。如有需要，請尋求專業意見。
- For joint accounts, the individual who places orders or makes investment decisions for the account should complete this questionnaire.
  如為聯名帳戶，代表該帳戶發出指示或作出投資決定之帳戶持有人應填寫本問卷。
- For corporate accounts, the authorized person who makes investment decisions on behalf of the client should complete this questionnaire
  如為法團帳戶，代表該公司客戶作出投資決定之授權人士應填寫本問卷。
- This questionnaire and the test results are for reference only. It does not constitute any investment advice and should not be regarded as a solicitation for an offer to buy or sell any investment product or service. The questionnaire is not a substitute for independent professional advice
  本問卷及測試結果僅供參考，並不構成任何投資建議，亦不得視為建議遊說買賣任何投資產品或服務。本問卷並不能取代獨立的專業意見。

Part I: Risk Tolerance Level – Experience　第I部分：風險承受水平 — 經驗	
Please choose the most appropriate answer below 請選擇下列最適當答案	**Score 分數**
1. What is your highest education level? 閣下的最高教育程度為？	
□ Primary or below 小學或以下	1
□ Secondary 中學	2
□ Tertiary or above 大學或以上	3
2. What is your level of knowledge and experience with investment products? 閣下對以下投資產品的知識和經驗為？	
(A) Equities 股票	
□ No knowledge nor experience 沒有知識或經驗	0
□ Have knowledge but no experience 擁有知識但沒有經驗	1
□ Have knowledge and with less than 3 years of experience 擁有知識及少於3年經驗	2
□ Have knowledge and with 3 years of experience of more 擁有知識及3年或以上經驗	3
(B) Fixed income (e.g. bonds) 固定收益（如債券）	
□ No knowledge nor experience 沒有知識或經驗	0
□ Have knowledge but no experience 擁有知識但沒有經驗	1
□ Have knowledge and with less than 3 years of experience 擁有知識及少於3年經驗	2
□ Have knowledge and with 3 years of experience of more 擁有知識及3年或以上經驗	3
(C) Futures/Options期貨 / 期權	
□ No knowledge nor experience 沒有知識或經驗	0
□ Have knowledge but no experience 擁有知識但沒有經驗	1
□ Have knowledge and with less than 3 years of experience 擁有知識及少於3年經驗	2
□ Have knowledge and with 3 years of experience of more 擁有知識及3年或以上經驗	3
(D) Warrants/Callable bull/bear contracts 認股證 / 牛熊證	
□ No knowledge nor experience 沒有知識或經驗	0
□ Have knowledge but no experience 擁有知識但沒有經驗	1
□ Have knowledge and with less than 3 years of experience 擁有知識及少於3年經驗	2
□ Have knowledge and with 3 years of experience of more 擁有知識及3年或以上經驗	3
(E) Funds 基金	
□ No knowledge nor experience 沒有知識或經驗	0
□ Have knowledge but no experience 擁有知識但沒有經驗	1
□ Have knowledge and with less than 3 years of experience 擁有知識及少於3年經驗	2
□ Have knowledge and with 3 years of experience of more 擁有知識及3年或以上經驗	3

Part I: Risk Tolerance Level – Experience (Continuse)　第I部分：風險承受水平 — 經驗 (續)			
(F) Others derivatives (e.g. equity-linked investments, equity-linked notes, convertible bonds, etc.) **其他衍生產品（如股票掛鈎投資、股票掛鈎票據、可換股債券等）**			
□ No knowledge nor experience 沒有知識或經驗			0
□ Have knowledge but no experience 擁有知識但沒有經驗			1
□ Have knowledge and with less than 3 years of experience 擁有知識及少於3年經驗			2
□ Have knowledge and with 3 years of experience of more 擁有知識及3年或以上經驗			3
Risk Tolerance Level – Experience 風險承受水平 — 經驗			
		Total score 總分數 :	
Risk Level 風險水平:	< 6 – Low 低	6 – 13 – Medium 中	> 13 – High 高

Part II: Risk Tolerance Level – Trade　第II部分：風險承受水平 — 交易	
Please choose the most appropriate answer below 請選擇下列最適當答案	**Score 分數**
1. What is the highest level of investment loss in your portfolio that you can tolerate? 閣下可接受的投資損失最大波幅為？	
□ No investment loss at all 完全沒有損失	1
□ < 10%	2
□ 10% – 30%	3
□ > 30%	4
2. What is the highest level of price fluctuation that you are willing to accept for a single investment? 閣下可接受的單項投資最高價格波幅為？	
□ ≤ ±8%	1
□ ≤ ±35%	2
□ ≤ ±100%	3
□ > ±100%	4
3. What is the most likely action you will take if your investment goes down in value by 20%? 當投資價值下跌20%，閣下最有機會採取的行動為？	
□ Sell all of the investment to cut loss 賣去所有已投資以減少損失	1
□ Sell some of the investment 賣去部分投資	2
□ Do nothing 沒有任何行動	3
□ Investment more at a lower price 在低價格時再作投資	4
4. What percentage of your net liquid asset value are you able to set aside for investment? (Note: liquid net worth excludes property, etc.)　閣下的流動資產淨值多少個百分比可作投資？(註：流動資產淨值不包括物業等)	
□ < 10%	1
□ 10% – 30%	2
□ 30% – 50%	3
□ > 50%	4
5. Under general market conditions, how long do you intend to keep your portfolio with market exposure? 在一般市場情況下，閣下預期的活躍投資期為？	
□ < 6 months 月	1
□ 6 months 月 – 1 year 年	2
□ 1 – 3 years 年	3
□ > 3 years 年	4
6. What is the average percentage of your after-tax income that can be set aside for savings or investment? 閣下的稅後收入平均多少個百分比可作儲蓄或投資？	
□ < 10%	1
□ 10% – 30%	2
□ 30% – 50%	3
□ > 50%	4
Risk Tolerance Level – Trade 風險承受水平 — 交易	
Total score 總分數 :	

Risk Level 風險水平:	< 8 – Low 低	8 – 15 – Medium 中	> 15 – High 高

Part III: Overall Assessment Results　第III部分：整體評估結果				
Overall Risk Tolerance Level 整體風險承受水平		Risk Tolerance Level – Trade 風險承受水平 — 交易		
		Low 低	**Medium 中**	**High 高**
Risk Tolerance Level– Experience 風險承受水平 — 經驗	**Low 低**	Low 低	Low 低	Medium 中
	Medium 中	Low 低	Medium 中	High 高
	High 高	Medium 中	High 高	High 高

Part IV: Risk Tolerance Analysis　第IV部分：風險承受能力分析			
Overall Risk Tolerance Level 整體風險承受程度	□ Low 低	□ Medium 中	□ High 高
Investor general characteristics 投資者的一般特徵	Conservative 保守型	Medium aggressive 中度進取型	Aggressive 進取型
	You are willing to accept a low level of risk. In return, you understand that you will receive low returns. 閣下願意承受低度的風險，亦明白會接受比較保守回報。	You are willing to accept a medium level of risk in exchange for potential returns over the medium to long term. 閣下願意承受中度的風險，於中長線換取潛在回報。	You are willing to accept very high risks to maximize your potential return over the long term. You understand that you may lose a significant part or all of your capital. 閣下願意承受高度的風險，以令長線的潛在回報最大化。閣下亦明白到有可能招致損失大部份或全部本金。

Part V: Declaration by Client　第V部分：客戶聲明

- I/We declare that the information provided in this questionnaire document is true and accurate to the best of my/our knowledge.
  本人 / 吾等謹此聲明，按本人 / 吾等所知，本人 / 吾等在本問卷提供的資料以本人 / 吾等所知真確無誤。
- I/We agree to inform Grand Capital Securities Limited in writing as soon as practicable of any changes to this information.
  本人 / 吾等同意，如此資料有任何變動，本人 / 吾等將會在可行情況下儘快以書面通知大唐資本證券。
- I/We acknowledge and agree that my/our risk profile is as above.
  本人 / 吾等確認及同意以上的風險評估結果。
- I/We acknowledge that Grand Capital Securities Limited takes no responsibility for any act or omission resulting from the provision of incomplete or inaccurate information by me.
  本人 / 吾等確認，就因本人 / 吾等提供不完整或不正確資料所導致的任何行動或遺漏，大唐資本證券概不負上任何責任。

_____　Date日期: _____

Authorized Signature(s) (With Company Chop, if applicable)
授權人簽署 (附公司圖章)

_____　Date日期: _____

Signature of the Witness見證人簽署