Win Securities Limited ("WSL")
赢证券有限公司（“赢证券”）

Customer Investment Risk Preference Questionnaire – (for Individual / Joint / Corporate Account*)
客戶投資風險取向分析問卷 (個人 / 聯名 / 公司戶口*適用)

This questionnaire serves to help us to assess your risk attitude based on your ability to take risk and your risk tolerance level. The results of this questionnaire are for reference purpose only, which do not constitute an offer or invitation of an offer to purchase or subscribe for any investment product. If your situation or investment goals change, you should approach us and update your information in this questionnaire as soon as possible for us to re-assess your risk profile. 本問卷是根據閣下承受風險的能力及風險接受程度以評估閣下的風險態度，其結果只作參考用途，並不構成購買或認購任何投資產品的邀請或要約。如閣下的情況或投資目標有變動，應聯絡我們及更新閣下的資料，以便重新評估閣下的投資風險取向。

*Applicable for the Ultimate Beneficial Owner(s) of the Corporate Account is/are natural person(s).
*只適用於公司賬戶的最終實益擁有人是自然人。

Information provided will be kept confidential.
閣下提供的資料將絕對保密。

Section A Information of Client 客戶資料	
Name of Client 客戶名稱	
Account No. 賬戶號碼	

Section B Background Information / Financial Situation 背景資料 / 財務狀況		
	Answer 答案	Score 分數
Q1. What percentage of your overall income is available for investment? 您/貴公司可用作投資的金額，佔總收入多少個百分比? a. 30% or above, 30%或以上 ----------------- (5) b. Less than 30%, 少於 30% ----------------- (4) c. Less than 20%, 少於 20% ----------------- (3) d. Less than 10%, 少於 10% ----------------- (2) e. Less than 5%, 少於 5% ----------------- (1)		
Q2. What is the percentage of you/your company liquid net worth that have been invested in non-capital protected structured products and/or derivative products (e.g. futures, options, warrants, CBBC etc)? 您/貴公司現時擁有的非保本結構性產品及/或衍生工具(如期貨，股票期權，期貨期權，認股權證，牛熊證等)佔流動資產多少百分比? a. >75% , 超過 75% -------------------------- (1) b. 56% - 75% , 介乎 56% 至 70% ---------- (2) c. 36% - 55% , 介乎 36% 至 55% ---------- (3) d. 16% - 35% , 介乎 16% 至 35% ---------- (4) e. < 15% , 少於 15% ------------------------ (5)		
Q3 How many months of the expenses could be covered by you/your company's reserve to meet your/your company's liquidity and emergency needs? 您/貴公司 現時的儲備足夠應付多少個月的開支及以面對突如其來的情況? a. More than 12 months, 多於 12 個月----------- (5) b. 6 - 12 months , 6 - 12 個月 --------------------- (4) c. 3 - 6 months , 3 - 6 個月 ------------------------ (3) d. Less than 3 months , 少於 3 個月 ------------ .(2) e. None 沒有 ------------------------------------- (1)		

Q4 How do you/your company expect future monthly investable amount over the next five years? 您/貴公司預計未來五年每月可投資之金額會怎樣? a. Expect the monthly investable amount will increase sharply 預計每月可投資之金額會急速上升 ----- (5) b. Expect the monthly investable amount will increase gradually 預計每月可投資之金額會逐漸上升 --- (4) c. Expect the monthly investable amount will remain unchanged 預計每月可投資之金額會維持不變 --- (3) d. Expect the monthly investable amount will decrease gradually 預計每月可投資之金額會逐漸減少 –-(2) e. Expect the monthly investable amount will decrease sharply 預計每月可投資之金額會急速減少 ----- (1)		

Section C Investment Objective and Horizon 投資目標及年期		
	Answer 答案	Score 分數
Q5 What is your/your company's current investment horizon? 您/貴公司現時的投資年期為多久？ a. Over 10 years , 多於 10 年 ------------------------------ –(5) b. 7 - 10 years , 7 - 10 年 ------------------------------------ (4) c. 4 - 6 years , 4 - 6 年 --------------------------------------- (3) d. 1 - 3 years , 1 - 3 年 --------------------------------------- (2) e. None or less than 1 year , 沒有或少於 1 年 ----------- (1)		
Q6 What is your/your company's objective for investment? 您/貴公司的投資目標是? a. Maximize capital growth as soon as possible 以最短時間，爭取最高回報 --------- (5) b. Gradual long-term capital growth 資本長期地逐漸增長 ------------------------------- (4) c. Stable and balanced income 穩定、平衡收入 -- (3) 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 資本保障 --- (0)		

Section D Risk Appetite / Risk Tolerance Level 風險偏好 / 風險承受能力		
	Answer 答案	Score 分數
Q7 Which of the following statement could best describe your/your company's attitude towards investment risk? 以下那一段句子最能反映您/貴公司對風險的態度? a. I never consider risks or ignore risks 我不會考慮風險或忽視風險 ----------------------------- (5) b. I am willing to accept higher risks, as I aim for higher returns 我願意承受較高的風險，以換取更高回報 ------------ (4) c. I am trying to strike a balance between risks and returns 我會平衡風險與回報 -------------- (3) d. I am trying to avoid risks but minor ones are still acceptable 我會盡量回避風險，但仍可承受較低的波動 ---------- (2) e. I am risk averse and do not want the value of my investments drop 我不願意承受任何風險及不希望我的投資價值下降 -------------- (0)		
Q8 What is the average level of annual price fluctuation that you/your company would generally be comfortable with? 您/貴公司可以接受以下哪個年度平均價格波幅? a. Price fluctuates over -20% and +20% 價格波幅超過 -20% 至 +20% -------------- (5) b. Price fluctuates between -15% and +15% 價格波幅介乎 -15% 至 +15% ---------- (4) c. Price fluctuates between -10% and +10% 價格波幅介乎 -10% 至 +10% ---------- (3) d. Price fluctuates between -5% and +5% 價格波幅介乎 -5% 至 +5% ---------------- (2) e. No price fluctuation 沒有價格波幅 --- (0)		

	Answer 答案	Score 分數
Q10 If your/your company's overall investment portfolio falls more than 20%, how you/your company would be affected? 如您/貴公司的整體投資組合下跌超過 20%，將如可以影響您/貴公司? a. No impact 沒有影響 -------------------- (5) b. Slight impact 輕微影響 ----------------- (4) c. Medium impact 中等影響 -------------- (3) d. Significant impact 嚴重影響 ----------- (2) e. Intolerable 不能承受 -------------------- (0)		

Section E Investment Knowledge and Experience 投資知識及經驗

Q11 Do you/your company have any general knowledge in the nature and risks of derivatives to invest in derivatives? 您/貴公司是否對衍生工具的性質及風險有認識，以投資衍生工具？ a. Yes 有 (Please also complete Section F, 請完成 F 部) ------------- (5) b. No 沒有 ---------- (0)		

Q12 How many years of relevant investment experience on the following financial products do you/your company have? (you may select more than one option) 您/貴公司在以下產品有多少年投資經驗? (可選擇多於一項)

Note: The maximum score for this question is 5 though the sum of scores may exceed 5
註: 此題最高得分為 5 分，雖然各項分數總和可能超過 5 分

Investment Experience 投資經驗 / Product 產品	None 沒有經驗	Basic Experience 基礎經驗		Intermediate Experience 中度經驗		Advanced Experience 豐富經驗
		less than 1 year 少於 1 年	1 - 3 years 1 - 3 年	4 - 6 years, 4 - 6 年	7 - 10 years, 7 - 10 年	Over 10 years 多於 10 年
a. Stocks 股票[1]	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
b. Exchange Traded Funds with different risk categories 交易所買賣基金具有不同的風險類別[2]	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
c. Non Exchange Traded Funds with different risk categories 非交易所買賣基金具有不同的風險類別[3]	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
d. Fixed Income Products with different risk categories (Plain Vanilla) 固定收益產品具有不同的風險類別 (傳統類別)[4]	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
e. Fixed Income Products(Complex) 固定收益產品 (複雜類別)[5]	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
f. Investment-Linked Insurance Plans 投資相連保險計劃	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
g. Listed Derivatives/ Structured Products 上市衍生工具 / 結構性產品[6]	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
h. OTC Derivatives / Structured Products 衍生工具 / 場外結構性產品[7]	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
i. Leveraged FX Trading 槓桿式外匯投資	□...(0)	□...(1)	□...(2)	□...(3)	□...(4)	□...(5)
					Q12 Score 分數	

[1] HK and/or overseas markets 香港 及/或 海外市場
[2] Including Real Estate Investment Trusts (REITs) 包括房地產投資信託基金
[3] For example, Mutual Funds, Unit Trust Funds, Hedge Funds, Private Equity Funds, etc 如互惠基金、單位信託基金、對沖基金及私募股權基金等
[4] For example, Bonds 如: 債券
[5] Examples of special features include perpetual, subordinated, callable, variable and/or deferral of interest payment terms, extendable maturity dates, convertible/ exchangeable, contingent write down or loss absorption feature, etc 舉例說，這些特點包括屬永續性質、後償性質、可贖回、具有浮息及／或延遲派付利息條款、可延遲到期日、屬可 換股／可交換性質、具有或然撇減或彌補虧損特點等。
[6] For example, Equity Options, Futures, Futures Options, Warrants, CBBCs, etc 如股票期權、期貨、期貨期權、認股權證及牛熊證等
[7] For example, Accumulators, Decumulators, Equity Linked Notes, etc 累計期權、累沽期權、股票掛鉤票據等

Q13 How many transactions (per annum) that you/your company have executed in the relevant market(s) in the past two years at your own accord
(i.e. Not through a discretionary account)
在過去兩年內，您/貴公司每年自行於相關市場（不包括通過全權代客買賣賬戶的交易）所執行的交易次數?

Note: The maximum score for this question is 5 though the sum of scores may exceed 5
註: 此題最高得分為 5 分，雖然各項分數總和可能超過 5 分

	None 沒有	1 – 19	20 – 39	40 – 59	>60
HK and/or PRC 香港及 / 或中國	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
Developed Markets 已發展市場	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
Emerging Markets 新興市場	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
Frontier Markets 前沿市場	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
				Q13 Score 分數	

Market Group Definition 市場組別定義

Market Group 市場組別	Economies in the Group 市場組別內的經濟體
HK and/or PRC 香港及 / 或中國	Hong Kong SAR (HK) / The People's Republic of China (PRC) 香港特區（香港）/ 中華人民共 和國（中國）
Developed Markets 已發展市場	U.S.A./ Australia/ Canada/ France/ Germany/ Japan/ New Zealand/ Singapore/ South Korea/ Sweden/ United Kingdom/ Austria/ Belgium/ Luxembourg/ Denmark / Finland / Greece / Ireland / Israel / Italy / Netherlands / Norway / Spain / Switzerland 美國/ 澳大利 亞/ 加拿大 / 法國/ 德國 / 日本 / 新西蘭 / 新加坡 / 韓國 / 瑞典 / 英國 / 奧地利 / 比利時/ 盧森堡/ 丹麥 / 芬蘭 / 希臘 / 愛爾蘭 / 以色列 / 意大利 / 荷蘭/ 挪威/ 西班牙/ 瑞士
Emerging Markets 新興市場	Indonesia / Malaysia / Philippines / South Africa / Taiwan / Thailand / Brazil / Chile / Colombia / Czech Republic / Egypt / Hungary / India / Mexico / Morocco / Pakistan / Peru / Poland / Russia / Turkey / United Arab Emirates 印度尼西亞 / 馬來西亞 / 菲律賓 / 南非 / 台灣/ 泰國 / 巴西/ 智利/ 哥倫比亞/ 捷克共和國/ 埃及/ 匈牙利/ 印度/ 墨西哥/ 摩洛哥/ 巴基斯坦/ 秘魯 / 波蘭 / 俄羅斯 / 土耳其 / 阿拉伯聯合酋長國
Frontier Markets 前沿市場	Argentina / Bahrain / Bangladesh / Botswana / Bulgaria / Côte d'Ivoire / Croatia / Cyprus / Estonia / Jordan / Kazakhstan / Kenya / Lebanon / Lithuania / Macedonia / Malta / Mauritius / Nigeria / Oman / Qatar / Romania / Serbia / Slovakia / Slovenia / Sri Lanka / Tunisia / Uruguay / Venezuela / Vietnam 阿根廷 / 巴林 / 孟加拉國 / 博茨瓦納 / 保加利亞 / 科特迪瓦 / 克羅地亞 / 塞浦路斯 / 愛沙尼亞 / 約旦 / 哈薩克斯坦 / 肯尼亞 / 黎巴嫩 / 立陶宛 / 馬其頓 / 馬耳他 / 毛里求斯 / 尼日利亞 / 阿曼 / 卡塔爾 / 羅馬尼亞 / 塞爾維亞 / 斯洛伐克 / 斯洛文尼亞 / 斯里蘭卡 / 突尼斯 / 烏拉圭 / 委內瑞拉 / 越南

Q14 Investment Products intended to trade with WSL by you / your company (e.g. stocks, bonds, derivatives, funds, or complex products, etc.)
您/貴公司擬與赢证券進行 交易的投資產品 (例如：股票、债券、衍生工具、基金及复杂产品等)

Total Score 總分數 note	

Note 備注

(A) If any questions in Section C and Section D scored 0, your/your company's overall risk profile is set as "conservative''
如果 C 或 D 部份中的任何問題得分為 0，您/貴公司的整體投資取向/風險概況將界定為「保守型」

(B) If you / the ultimate beneficial owner of your company (a) is aged over 65 year old; and/or (b) with education level of primary or below, WSL will classify you/your company as a "Vulnerable Client".
如果您/貴公司的最終受益人是 (a) 65 歲以上; 和/或 (b) 教育水平在小學或以下，贏證券會將您/貴公司歸類為「容易受損客戶」

Overall Assessment Result 投資者取向評估結果 **					
Total Score 總分數	≤ 20	21 – 30	31 – 45	46 – 54	≥55
Risk Tolerance Level 風險承受程度	Low 低	Low-to-Medium 低至中	Medium 中	Medium-to-high 中至高	High 高
Investor Characteristics 投資者特徵	**Conservative** An investor who is risk-averse and to whom capital preservation is very important.	**Stable** An investor who would like to have the capital gain potential, and he/she understands he/she needs to take a low to medium level of risk in respect of the capital invested.	**Balanced** An investor who is willing to accept a medium level of risk.	**Growth** An investor who would like to have greater capital gain potential, and he/she understands that he/she needs to take a high level of risk.	**Aggressive** An investor who would like to have significant capital gain, and he/she understands that he/she needs to take a very high level of risk in respect of the capital invested.
	保守型 投資者風險胃納偏低，注重保本。	穩健型 投資者喜愛有資本增值的潛力的投資，同時亦明白到需要承擔低至 中度風險。	平衡型 投資者願意承擔中等程度的風險。	增長型 投資者偏好有較大資本增值潛力的投資，同時亦明白到需要承擔高程度的風險。	進取型 投資者偏好具可觀資本增值的投資，同時亦明白要承擔相當高的風險。

Section F Confirmation on Derivatives Knowledge 衍生產品知識確認書

If you answered "Yes" in Question 11(a), please tick the relevant boxes (one or more) below
如問題 11(a)答案為「有」，請於以下方格填上√ 號（可選多項）。

☐ I/We confirm that I have completed training organized by a financial institution.
Please provide details: ______________________
本人/我們確認已完成由金融機構提供的培訓。請註明:_____________________________________

☐ I/We confirm that I have completed courses organized by an academic or a professional institution.
Please provide details: _______________ _________
本人/我們確認已修讀學術機構或專業機構開辦的課程。請註明:_____________________________________

☐ I/We confirm that I have present or past working experience related to derivative products.
Please provide details_____________
本人/我們確認目前或過往從事與衍生產品有關的工作。請註明:_____________________________________

☐ I/We confirm that I have trading experience of 5 or more transactions in any structured products or derivative products within the past 3 years. 本人/我們確認過往三年內曾進行五次或以上有關任何結構性或衍生產品的交易。

Section G Applicable only if client is classified as a "Vulnerable Client" 僅適用於被界定為「容易受損客戶」

In order to protect your interest, WSL will classify you as a "Conservative investor"; as a consequence, we will not accept your subscription instruction in high risk investment products.
為保障閣下的利益，贏證券將閣下定為「保守型投資者」。因此，贏證券不會接受閣下認購高風 險的投資產品。

☐ However, if you consider that you should not be classified as a conservative investor, given your higher risk appetite and as such would be keen to deal in a wider range of investment products of a higher risk profile, please check the box in the left hand side with signature below. By signing and checking the box, you confirmed that notwithstanding your age and other conditions, you may want to deal in investment products of a higher risk profile and you understand that your investment in such products may involve higher risk (including the possibility of loss of the capital invested) than what you can take and therefore may not be in your best interest.
然而，閣下如認為可承受較高風險而不應被定為保守型投資者，並有意買賣較廣泛的投資產品（包括較高風險的產品）請勾選左面方格並在下方簽署。透過勾選左面方格及下方簽署，閣下確認儘管考慮年齡及其他狀況，閣下仍有意買賣較高風險的投資產品，並明白投資於該等產品涉及的風險可能較閣下可承受的為高（包括可能損失投資本金），而未必屬於閣下的最佳利益。

Client's Declaration 客戶聲明

I hereby confirm that the registered person has advised that if I have any doubt about any investment products, I should seek independent advice from professional adviser before making any investment decision.
本人謹此聲明，持牌人曾忠告本人，倘若本人對投資產品有任何疑問，本人應在作出投資決策前諮詢專業顧問的獨立意見。

Signature of Client 客戶簽署

Witness 見證人

I have witnessed the licensed person had explained to the "vulnerable client" the relevant risks commensurate with the relevant investment products and agree that the "vulnerable client" is mentally capacitated to make independent investment decisions, despite of age and other vulnerable conditions.

在本人見證下，持牌人已向「容易受損的客戶」講解投資於投資產品的相關風險，並同意該「容易受損的客戶」精神上有能力作出獨立的投資決策，儘管其年齡及其他容易受損的狀況。

Signature of Witness 見證人簽署	Name of Witness 見證人姓名	Date 日期

Relationship with Client 與客戶之關係

- ☐ Client's non-vulnerable relative or friend 客戶不屬於「容易受損害」的親友
- ☐ WSL non-sales staff 贏證券非銷售人員
- ☐ Others, please specify 其他, 請說明 ____________________

Section H Client's Declaration 客戶聲明

I/We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my/our knowledge. I/We acknowledge that any advice or recommendation given to me/us by the representative(s) of WSL relies upon the basis of information given by me/us. I/We shall inform WSL immediately if there is any material change in any of the information given.

本人/我們謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本人/我們所知而作答。本人/ 我們確認，任何贏證券的代表向本人/我們提供之建議或推薦皆基於本人/我們所提供的資料。 如果本人/我們所提供資料有任何關鍵性改變，本人/我們會立刻通知贏證券。

☐ I/We agree and accept the above assessment result of my/our investment appetite / risk profile.
本人/我們同意並接受上述評估結果及本人確認同意本問卷評估本人/我們所屬的投資取向/風險概況。

☐ I/We disagree with the above assessment result and my/our investment appetite / risk profile should be:
本人/我們不同意並上述評估結果，且認為本人/我們的投資取向/風險概況為：

☐ Conservative 保守型	☐ Stable 穩健型	☐ Balanced 平衡型	☐ Growth 增長型	☐ Aggressive 進取型

Please specify the reason 請說明原因:

____

Client's Signature (with Company chop for Corporate Client)
客戶簽署 (如公司客戶請蓋章)

S.V

____

Name 姓名:
Date 日期:

For Internal Use Only 只供內部使用

Signature of Licensed Person of WSL 贏證券持牌人簽署	Approved by Department Head or Responsible Officer 部門主管或負責人員批核
Declaration: I hereby declare and confirm that this questionnaire is duly completed by the client. 聲明 ： 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:	Name 姓名: Date 日期: CE No. 中央編號:

For Sales Support

Verification of assigned risk scores and calculation	Maker	Checker
Obtained proof of Derivative Knowledge (if any)	Maker	Checker
Data Input	Maker	Checker