Reminder: This sample CRPQ is for your reference only.

Customer Risk Profiling Questionnaire ("CRPQ") (Individual/Joint Account)
客戶風險取向問卷（個人／聯名戶口）

To:
致：

HSBC Broking Services (Asia) Limited 滙豐金融服務（亞洲）有限公司
HSBC Broking Securities (Asia) Limited 滙豐金融證券（亞洲）有限公司
HSBC Broking Futures (Asia) Limited 滙豐金融期貨（亞洲）有限公司
HSBC Broking Forex (Asia) Limited 滙豐金融外匯（亞洲）有限公司
("relevant HSBC Broking Companies" refers to any or all of the above with which the Customer has an account)
（「相關滙豐金融公司」指客戶於上述任何或所有公司持有的戶口）

Note:
注意：

1. The Customer is required to provide up-to-date, complete and accurate information to us in order for us to comply with the applicable laws and regulations and for the Customer to receive the appropriate financial services. This questionnaire will assist us in considering potentially suitable products for the Customer. The Customer's failure to provide information that is up-to-date, complete and accurate would materially affect our suitability assessment. The relevant HSBC Broking Companies accept no responsibility or liability as to the accuracy or completeness of the information given by the Customer. If insufficient information is provided by the Customer, we shall be unable to provide our services to the Customer.
   ALL INFORMATION PROVIDED IN THIS CPRQ WILL BE HELD IN ACCORDANCE WITH OUR NOTICE RELATING TO THE PERSONAL DATA (PRIVACY) ORDINANCE.
   客戶必須向本公司提供最新、完整及正確的資料，以便本公司能遵守相關法律及條例，使客戶能獲得恰當的金融服務。此問卷將會協助本公司向客戶提供潛在合適產品時作考慮。如客戶未能提供最新，完整和準確的資料將會嚴重影響本公司作出合適性評估。相關滙豐金融公司不會為客戶提供的信息的準確性或完整性承擔任何責任或義務。若客戶所提供的資料不足，本公司將不能為客戶提供服務。
   本公司對於閣下在客戶風險取向問卷內所提供的所有資料，將按本公司有關個人資料（私隱）條例的政策處理。

2. For joint accounts, each account holder is required to fill in a separate CRPQ.
   聯名戶口而言，每位戶口持有人均需要各自填寫一份客戶風險取向問卷。

3. Please complete in **Block Letters** and tick where applicable.
   請用**正楷**填寫，並在適當的地方加上剔號。

4. The results of this CRPQ, including the Customer's assessed risk tolerance profile, will be derived from information the Customer provides to the relevant HSBC Broking Companies, and will only serve as a reference for the Customer's consideration when making his/her own investment decisions. This CRPQ and the results are not an offer or solicitation to buy or sell, or a recommendation of any product or service, and they should not be considered as investment advice. The Customer should also consider his/her own circumstances, including but not limited to his/her financial situation, investment experience and investment objectives, before making any investment decisions. The results of this CRPQ may be different from the result(s) of risk profile questionnaire(s) that he/she may have completed with other financial institutions within or outside the HSBC Group.
   此客戶風險問卷的結果（包括客戶的投資風險承受取向）將從客戶提供給相關滙豐金融公司的資料中獲得，並僅作為客戶在作出他／她的投資決定時的參考。此客戶風險問卷及其結果將不構成要約或招攬買賣，或推薦任何產品或服務，亦不應被視為投資建議。客戶在做出任何投資決定之前，應該考慮自己的個人狀況，包括但不限於他／她的財務狀況，投資經驗和投資目標。此問卷的結果亦有可能與他／她於其他金融機構或滙豐集團內其他成員得出的風險承受取向結果不同。

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I. Account Information 申請戶口資料 (*For Account Executive to complete*)*（由客戶主任填寫）*

1. Account Number 戶口號碼	
2. Name of the Account 英文全名	

II. Customer Risk Profiling Questionnaire 客戶風險取向問卷

This Part is designed to help you consider your risk tolerance profile and the corresponding investment objective. It asks multiple choice questions that provide some indication of the risk tolerance for typical investors. It may not exactly match your actual attitude toward investment risk, but it may be taken as a reference to indicate the profile you may fit into.

In general, investing involves a trade-off between risk and return. Investments carrying a higher risk come with the potential of achieving more gains, but also a higher possibility of incurring considerable losses. It has been historically shown that investors who achieve higher returns have experienced correspondingly high fluctuations and losses.

這部分是為幫助您評估投資風險承受取向及對應的投資目標而設的。問卷中的多項選擇題能顯示典型投資者的風險承受能力。這部分會顯示符合您特性的投資風險取向以作參考，但未必與您的實際投資風險取向相符。

一般而言，投資通常是風險與回報的取捨。較高風險的投資可取得較高潛在收益，然而亦較容易招致相當的損失。獲得高回報的投資者往往承受的波動與損失風險較高。

1. 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？

☐ a. No investment loss at all
不接受任何虧損
☐ b. 10% or below
10%或以下
☐ c. Over 10% up to 20%
多過 10%至 20%
☐ d. Over 20% up to 35%
多過 20%至 35%
☐ e. More than 35%
多過 35%

2. Investment value can go up and down over time. What is the highest level of price fluctuation that you are willing to accept for a single investment?
投資產品價格可升可跌，在單項投資上，您願意接受最多的價格波動是多少？

☐ a. Can move between +8% and -8%
上下波幅不超過 8%
☐ b. Can move between +35% and -35%
上下波幅不超過 35%
☐ c. Can move between +100% and -100%
上下波幅不超過 100%
☐ d. Can move beyond +100% and -100%
上下波幅超過 100%

3. Which of the following best describes your <u>investment goal and risk tolerance level</u>?
以下哪一項最切合您的<u>投資目標</u>及<u>風險承受水平</u>？

- ☐ a. To achieve return above short term fixed income rates, and buy products primarily for income generation, able to tolerate low risk of capital loss.
  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，可承受較低資本損失。
- ☐ b. To achieve some capital growth, and buy products that strike a balance between income generation and capital gain, able to tolerate moderate risk of capital loss.
  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，可承受中等資本損失。
- ☐ c. To achieve capital growth, and buy products primarily to seek substantial capital gain rather than income generation, able to tolerate high risk of capital loss.
  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，可承受較高資本損失。
- ☐ d. To achieve very significant capital growth, and buy products primarily for aggressive capital gains, able to tolerate very high risk of capital loss which may exceed initial invested value.
  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，可承受極高度資本損失，甚至能承受虧損大於起初的投資本金。

4. What is <u>the most likely action</u> you will take if the value of one of your investments <u>goes down by 20%</u>?
倘若您持有的單項投資<u>價值下跌了 20%</u> ，您最有可能會<u>採取哪一項行動</u>？

- ☐ a. Sell all of the investment to stop loss
  出售全部該項投資, 以作止蝕
- ☐ b. Sell some of the investment
  減持部分該項投資
- ☐ c. Do nothing
  不採取任何行動
- ☐ d. Buy more at a lower price
  趁價格下跌增持該項投資

5. Do you expect to have <u>any liquidity needs</u> from <u>your account with relevant HSBC Broking Companies</u> over the <u>next 2 years</u>?
在<u>未來兩年</u>，您是否需要從您<u>相關滙豐金融公司的戶口提取資金以作周轉用途</u>？

- ☐ a. I expect to withdraw funds from this account to support my liquidity needs frequently.
  我預計需要從這個戶口提取資金以作頻密的周轉。
- ☐ b. I may withdraw a portion of funds from this account to support my liquidity needs from time to time.
  我偶爾可能需要從這個戶口提取部分資金以作周轉。
- ☐ c. I may withdraw a portion of funds from this account to support my liquidity needs but only under unexpected circumstances.
  我在特殊情況下，才可能從這個戶口提取部分資金以作周轉。
- ☐ d. I do not intend to use any of the funds in this account to support my liquidity needs.
  我不打算使用這個戶口內的資金以作周轉。

6. What <u>percentage of your liquid net worth</u> are you able to set aside <u>for investment</u>? Note: Liquid net worth excludes real estate, automobile and insurance, etc.
您能夠從所有<u>流動資產</u>淨值<u>中</u>，撥出多少<u>百分比用作投資</u>？ 注意： 流動資產並不包括物業、車輛及保險等。

- ☐ a. Less than 10%
  少於 10%
- ☐ b. 10% to less than 30%
  10%至少於 30%
- ☐ c. 30% to less than 50%
  30%至少於 50%
- ☐ d. 50% or more
  50% 或以上

7. Generally, investors with a longer investment time horizon have a higher capacity to take risk. Under general market conditions, <u>how long do you intend to invest in the market</u>?
一般而言，投資者的投資期越長，其風險承受能力亦較強。在一般市況下，<u>您打算投資於金融市場多久</u>？

- ☐ a. Less than 6 months
  少於 6 個月
- ☐ b. 6 months to less than 1 year
  6 個月至少於 1 年
- ☐ c. 1 to less than 3 years
  1 年至少於 3 年
- ☐ d. 3 years or more
  3 年或以上

Reminder: This sample CRPQ is for your reference only.

<table>
<tr>
<td>Customer Risk Profiling Result
客戶風險取向結果</td>
<td>
<u>Conclusion 總結</u> (For Account Executive to complete)（由客戶主任填寫）
Based on the answers you have provided, your risk tolerance profile and corresponding investment objective is likely to be:
根據您所提供的答案，您的風險承受取向和對應的投資目標可能是：

Profile ___ with corresponding investment objective to have ____
(Please refer to the below table with definitions of different risk tolerance profile)
風險承受取向為 ___ ，對應的投資目標是 ____
（請參閱下表有關風險承受取向的定義）
<hr>
(Only applicable to customers whose above risk tolerance profile and corresponding investment objective are at a higher risk profile than the selected investment goal and level of risk in Question 3)
（僅適用於客戶以上所得的風險承受取向及對應投資目標相比第三題選取的投資目標及風險承受水平有著較高的風險取向）

☐ Not applicable.
不適用。
☐ I am aware that my risk tolerance profile and corresponding investment objective are at a higher risk profile than the investment goal and level of risk answered in Question 3.
我明白我的風險承受取向及對應投資目標相比於第三題選取的投資目標及風險承受水平有著較高的風險取向。
<hr>
For the conclusion:
有關總結：

☐ I <u>agree</u> with the above risk tolerance profile and corresponding investment objective.
我<u>同意</u>以上所得的風險承受取向及對應投資目標。
☐ I <u>disagree</u> with the above risk tolerance profile and corresponding investment objective. I believe my risk tolerance profile and corresponding investment objective should be:
我<u>不同意</u>以上所得的風險承受取向及對應投資目標。我相信我的風險承受取向及對應投資目標應該為：
(Please tick the appropriate one. This can only be <u>lower</u> than the risk tolerance profile in above conclusion, and will become the risk tolerance profile captured in the record of the relevant HSBC Broking Companies.)
（請勾選適當的投資目標。您只能選取較以上評估所得的投資風險取向<u>較低</u>的類型，相關滙豐金融公司將記錄此為您的風險承受取向。）

☐ No Risk Tolerance.
不具有投資風險承受能力。
☐ Low Risk Tolerance with corresponding investment objective to have regular income.
風險承受能力低，對應投資目標為定期收益。
☐ Medium Risk Tolerance with corresponding investment objective to have combination of regular income and capital gain.
風險承受能力中等，對應投資目標為定期收益與資本增值的組合。
☐ High Risk Tolerance with corresponding investment objective to have capital gain.
風險承受能力高，對應投資目標為資本增值。
<hr>
(Only applicable to existing customers of the relevant HSBC Broking Companies) If you have got a higher risk tolerance profile than previously, please provide below the reason(s) for which you believe to be:
（僅適用於相關滙豐金融公司的現有客戶）若您得到的風險承受取向結果比以往紀錄更高，原因是：

☐ Not applicable.
不適用。
☐ My financial situation has recently improved.
我的財務狀況近期有所改善。
☐ I can now invest over a longer time horizon.
我現在的投資期可以更長。
☐ I have a view on the investment market and am willing to increase my investment exposure.
我對投資市場有個人的看法，願意增加我的投資。
☐ I would like to take higher risk for higher potential return opportunities.
我願意承受更高風險，以獲得更高潛在回報的機會。
☐ Others (please specify):
其他（請註明）:
____
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Definitions of Risk Tolerance Profile **投資風險承受取向定義**	**Corresponding Investment Objective** **對應的投資目標**
0 No Risk Tolerance (Knock-out) 不具有投資風險承受能力 I do not want to take any investment risk as I cannot accept any investment loss. 本人不希望承受任何投資風險，因為本人無法承受任何投資損失。	Not Applicable 不適用
1 Low Risk Tolerance 投資風險承受能力低 I want investments to achieve a regular income only. I want to achieve a low level of return potential on investments and am generally comfortable with a low level of risk. I am willing to invest in liquid and income generating products, with a payout profile that is generally known upfront. 本人只希望透過投資獲得穩定收入。本人希望獲得較低水平的潛在投資回報，並願意承受低風險。本人願意投資在流動及有固定收益的產品，而此類產品的收益分派狀況大致可預知。	Regular income 穩定收入
2 Medium Risk Tolerance 投資風險承受能力中等 I want investments to achieve a combination of regular income and capital gain. I want to achieve a medium level of return potential on investments and am generally comfortable with a medium level of risk. I understand that capital values can have some fluctuations and some of them may have some significant fluctuations and may fall below the original investment. I am aware that most of these investments can be sold in the market within a reasonable time, but some of these investments may be subject to further price impact if sold in the market on short notice. I am willing to invest in more volatile products that offer opportunities for capital gain. The income payout profile is not always known upfront, and there can be some uncertainties on the year-on-year payout. 本人希望透過投資獲得穩定收入及資本增值。本人希望獲得中等水平的潛在投資回報，並願意承受中等風險。 本人明白，資本價值可能有所波動，而有時可能會大幅波動，並可能下跌至低於原本的投資額。 本人知道，這些投資大部分可在合理時間內於市場上出售，但如若急於在市場上出售，當中部分投資的價值或會受到進一步影響。 本人願意投資在較大波幅而有資本增值潛力機會的產品。此類產品的收益分派狀況或不可預知及產品的按年收益分派可能存有不確定因素。	Combination of regular income and capital growth 穩定收入及有資本增值潛力的組合
3 High Risk Tolerance 投資風險承受能力高 I want investments to achieve capital gain. I want to achieve a high level of return potential on my investments and am generally comfortable with a high level of risk. I understand that capital values can fluctuate significantly and may fall substantially below the original investment (including the possibility of a total loss of investment). I am willing to invest in products with no income payouts and high risk of capital loss. These products may have a complex payout profile and can suffer from limited liquidity during difficult market conditions. 本人希望透過投資獲得資本增值。本人希望獲得高水平的潛在投資回報，並願意承受高風險。 本人明白，資本價值可能會大幅波動，而有可能跌至頗低於原本的投資額 （包括可能損失全部投資）。 本人願意投資在並無收益分派及資本虧損風險較高的產品。此類產品可能具有複雜的收益分派狀況，並且其流動性在嚴峻市況下可能受到限制。	Capital growth 有資本增值潛力

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Definitions of Risk Tolerance Profile 投資風險承受取向定義	**Corresponding Investment Objective** **對應的投資目標**
4 Very High Risk Tolerance 投資風險承受能力極高 I want my investments to grow aggressively and earn the highest possible return. I want to maximize my return potential and am generally comfortable with maximized risk. I can accept huge negative fluctuations, ie capital values can fluctuate significantly below original investment (including the possibility of a loss which exceeds my/our principal invested and triggers a margin call when the market goes against my investment). I am willing to invest in products with high risk of capital loss. These products may have a complex payout profile which incorporates leverage and derivatives. These products may only be sold beyond a reasonable timeframe during difficult market conditions. 本人希望我的投資有極高財富增長以及獲得最高的投資回報。本人希望獲得最高水平的潛在投資回報，並願意承受最高風險。 本人可接受投資的大幅波動，例如：資本價值可能會大幅波動，而有可能跌至遠低於您原本的投資額（虧損甚至可能大於您原本的投資額，並觸發保證金追收通知）。 本人願意投資資本虧損風險較高的產品，當中包含槓桿原理及衍生工具，此類產品可能具有複雜的收益分派狀況。此類產品在嚴峻市況下未必能於合理時間範圍內出售。	Aggressive wealth growth 有極高財富增值潛力

III. Investment Product Knowledge and Experience Profile-投資產品知識及經驗概況

Products **產品**	**Product Knowledge (Please go to Investment Experience if you have selected "Yes" under Product Knowledge)** **產品知識（如在產品知識下選擇「是」，請作答投資經驗）**		**Investment Experience (Please tick "Yes" if you have selected "Past trading experience" under Product Knowledge)** **投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）**	
	Have product knowledge? **是否擁有產品知識？**	**If yes, how was it obtained?** **如有，通過何種渠道獲得？**	**Have investment experience?** **是否擁有投資經驗？**	**If yes, please provide further information below** **如有，請提供以下資料**
Exchange Traded Securities, eg Equities, Physical ETF 交易所買賣證券 例如： 股票、 實物資產交易所買賣基金	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ________________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達 ________年的交易經驗
Plain Vanilla Bonds 普通債券	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ________________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達 ________年的交易經驗

Complex Bonds* 複雜債券* **(Please skip this if your answer to Knowledge in Plain Vanilla Bond is "NO")** **（如在普通債券知識中選擇「否」，請略過）**	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ______________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗
Leveraged Foreign Exchange 槓桿式外匯	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ______________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗
Precious Metals 貴金屬	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ______________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗

* Bonds with one or more special features (including, but not limited to, perpetual or subordinated bonds, or those with variable (eg step-up or step-down) or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures).
具有一項或多項以下特點組成的債券（包括（但不限於）屬永久證券或次級證券、具有浮息（如可上調或下調利率）或延遲派付利息條款、可延遲到期日、或屬可轉換或可交換性質或具有或然撇減或損失吸收特徵，或具備非單一信貸支持提供者及結構的債務證券）。

Reminder: This sample CRPQ is for your reference only.

IV. Derivatives Knowledge and Experience Profile 衍生工具產品投資知識及經驗概況

Do you have knowledge of derivatives? (Derivatives includes futures, options, warrants, callable bull/bear contracts, convertible bonds, synthetic exchange traded funds and structured products) 您是否擁有衍生工具產品知識？ （衍生工具包括交易所買賣的期貨／期權、認股權證、牛熊證、可轉換債券、合成交易所買賣基金和結構性產品）	☐ No 沒有 ☐ Yes, because (please choose one or more below): 有，因為（請選擇下列一項或多項）： ☐ Executed 5 or more transactions in derivatives within the past 3 years 於過去 3 年內曾執行 5 宗或以上的衍生工具產品交易 ☐ Gained work experience related to derivatives 工作經驗與衍生工具產品有關 ☐ Attended training or course on derivatives 曾參加有關衍生工具產品的培訓或課程 **(Please provide supporting evidence of knowledge of derivatives such as trading statements, training certificates or name cards etc.)** （閣下必須提供支持證明文件，例如：交易結單、培訓證書及名片等，以證明所申報有關衍生工具投資的知識。）

The following section is only applicable if you have answered "Yes" for having knowledge of derivatives.
以下部分僅適用於您已回答擁有衍生工具產品知識。

Product 產品	**Product Knowledge (Please go to Investment Experience if you have selected "Yes" under Product Knowledge)** 產品知識（如在產品知識下選擇「是」，請作答投資經驗）		**Investment Experience (Please tick "Yes" if you have selected "Past trading experience" under Product Knowledge)** 投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）	
	Have product knowledge? 是否擁有產品知識？	**If yes, how was it obtained?** 如有，通過何種渠道獲得？	**Have investment experience?** 是否擁有投資經驗？	**If yes, please provide further information below** 如有，請提供以下資料
Exchange Traded Futures and Options (excluding equity options) 交易所買賣的期貨及期權（不包括股票期權）	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗
Exchange Traded Equity Options 交易所買賣股票期權	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗

Structured Products 結構性產品	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： __________________________	☐ No 否 ☐ Yes 是	Past trading experience with ________________________ (Broker/Bank) for ___year(s) 過往與 ________________________ （經紀公司／銀行），長達 ________年的交易經驗
Other Derivatives, eg Warrants, CBBC, Convertible Bonds and Synthetic ETF 其他衍生工具例如：認股權證、牛熊證、可轉換債券和合成交易所買賣基金	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： __________________________	☐ No 否 ☐ Yes 是	Past trading experience with ________________________ (Broker/Bank) for ___year(s) 過往與 ________________________ （經紀公司／銀行），長達 ________年的交易經驗

V. Key Financial Situation 主要財務狀況

Annual Income from employment 年工作收入	☐ HKD 港幣 0 ☐ HKD 港幣 500,001 – 1,000,000 ☐ HKD 港幣 2,000,001 – 3,000,000	☐ HKD 港幣 1 – 500,000 ☐ HKD 港幣 1,000,001 – 2,000,000 ☐ HKD 港幣>3,000,000
Estimated Liquid Net Worth# **預計流動資產淨值#**	HKD 港幣________________________________	

\# Exclusive of real estate, automobile and insurance
不包括物業，汽車及保險

Reminder: This sample CRPQ is for your reference only.

VI. Customer Declaration 客戶聲明

I declare that I have read and understood this CRPQ. I hereby confirm that all the answers to the questions in this CRPQ are provided by me and are up-to-date, complete and accurate to the best of my knowledge and I agree with the risk profiling result as set out above in Part II of this CRPQ (which will be relied upon by and captured in the records of the relevant HSBC Broking Companies).
本人聲明，本人已閱讀並理解本客戶風險取向問卷。本人謹此確認，本問卷所有問題的答案均由本人提供，就本人所知屬最新，完整和準確的，本人認同本問卷第二部分之結果（結果將由相關滙豐金融公司記錄為本人的風險承受取向及投資目標）。

I acknowledge that (1) this CRPQ only serves as a reference for my consideration when making my own investment decisions and the risk profiling result does not constitute offer or solicitation to buy or sell or recommendation of any product and service and should not be considered as investment advice; (2) the risk profiling result was derived from information provided by me; (3) the relevant HSBC Broking Companies accept no responsibility or liability to check the accuracy or completeness of the information provided by me herein; (4) I should also consider my own circumstances, including but not limited to my financial situation, investment experience and investment objectives, before making any investment decisions; and (5) my failure in providing up-to-date, complete and accurate information would materially affect any suitability assessment by the relevant HSBC Broking Companies.
本人確認：（1）本問卷只作為本人作出個人投資決定時的參考，客戶風險取向結果並不構成要約或招攬購買，出售或推薦任何產品和服務，客戶不應視結果為投資建議；（2）客戶風險取向結果是由我提供的資料所獲得的；（3）相關滙豐金融公司將不承擔任何責任或義務檢查本人提供的信息的準確性和完整性；（4）在做出任何投資決定之前，我還應該考慮本人的個人狀況，包括但不限於我的財務狀況，投資經驗和投資目標；（5）如我未能提供最新，完整和準確的資料，將會嚴重影響相關滙豐金融公司的任何合適性評估。

I undertake to advise the relevant HSBC Broking Companies of any change in circumstances which would affect my risk tolerance profile, and to re-perform the CRPQ as soon as possible should there be any such change in circumstances.
本人承諾，如有任何情況變動會影響我的投資風險承受取向，我會告知相關滙豐金融公司，並盡快重新填寫客戶風險取向問卷。

If I have appointed or will appoint authorised traders, I will ensure that they understand my financial situation, and are competent and suitably qualified (having regard to their investment knowledge and experience):

(1) for my investment objectives, strategies and processes;
(2) to operate my account(s) with the relevant HSBC Broking Companies; and
(3) to communicate with the relevant HSBC Broking Companies for any suitability assessment and explanation of any products or services.

如果我已經委任或將委任授權交易人，我會確保他們了解我的財務狀況，並且勝任及有合適資格（考慮到他們的投資知識及經驗）：

（1） 為我的投資目標，策略及流程；
（2） 操作我在相關滙豐金融公司的戶口；及
（3） 與相關滙豐金融公司對任何產品或服務的合適性評估及解釋進行溝通。

<u>Applicable to Account Holder of a joint account</u>
I acknowledge that (1) each account holder must complete a CRPQ for investing through the joint account; and (2) the relevant HSBC Broking Companies will use the most conservative risk tolerance profile among all joint account holders for joint accounts.
<u>適用於聯名戶口持有人</u>
本人確認：（1）聯名戶口的每位戶口持有人透過聯名戶口作出投資前，必須各自填妥本問卷；（2）在聯名戶口的每位戶口持有人各自最近在本問卷第二部分就該聯名戶口所作評估的整體結果中，相關滙豐金融公司會以最保守的風險承受取向作為依據。

<u>Applicable to Account Holder who holds multiple accounts or acts as an authorised trader for other account(s)</u>
I acknowledge and agree that the information provided in this Customer Risk Profiling Questionnaire will be applied to all of my accounts.
If I act as an authorised trader for other account(s), I also acknowledge and agree that the Investment Product Knowledge and Experience Profile (section III above) and Derivatives Knowledge and Experience Profile (section IV above) will also be applied to those account(s). This means the holder(s) of those account(s) and persons authorised by them will be able to access this information, and this information will be used for such purposes as the holder(s) of those account(s) are informed of, or consent to, from time to time.
My information will not be applied to any other account, if I am not holding multiple accounts or not acting as an authorised trader for other accounts.
<u>適用於持有多個戶口或作為其他戶口授權交易人的戶口持有人</u>
本人確認並同意本人於此客戶風險取向問卷所提供之資料將會適用於所有本人的帳戶。
如本人作為其他帳戶之授權交易人，本人亦確認並同意本人於此客戶風險取向問卷所提供之投資產品知識及經驗概況（上述第 III 部份）及衍生工具產品投資知識及經驗概況（上述第 IV 部份）將會適用於該等帳戶，即代表該等帳戶的持有人或其授權人士將可獲取該資料。而且，該資料將可被用作該等帳戶持有人不時被通知或同意之用途。
如本人並不持有多個帳戶或未有作為任何其他帳戶之授權交易人，本人的相關資料將不會適用於任何其他帳戶。

Reminder: This sample CRPQ is for your reference only.

VII. Customer Signatory 客戶簽署

Signature of Account Holder: 戶口持有人簽署： **X**
Name of Account Holder: 戶口持有人姓名：
Date: 日期：

Note: The English version shall prevail in the event of any inconsistency between the English and Chinese versions of this CRPQ.
註：本「客戶風險取向問卷」之中英文本如有任何歧義，概以英文本為準。

VIII. Account Executive Declaration (To be completed by the Account Executive) 客戶主任聲明（由客戶主任填寫）

The undersigned Account Executive ("AE")/licensed person has invited the Customer to read and ask questions on this CRPQ.
以下簽署的客戶主任／持牌人士已向客戶提供風險披露聲明及邀請客戶閱讀、並就客戶風險取向問卷及任何有關補充文件發問。

AE Number 客戶主任編號	AE Signature 客戶主任簽署
AE Name 客戶主任名稱	
CE Number CE 號碼	Date 日期

Reminder: This sample CRPQ is for your reference only.

Customer Risk Profiling Questionnaire ("CRPQ") (Corporate Account)
客戶風險取向問卷（公司戶口）

To:
致：

HSBC Broking Services (Asia) Limited 滙豐金融服務（亞洲）有限公司
HSBC Broking Securities (Asia) Limited 滙豐金融證券（亞洲）有限公司
HSBC Broking Futures (Asia) Limited 滙豐金融期貨（亞洲）有限公司
HSBC Broking Forex (Asia) Limited 滙豐金融外匯（亞洲）有限公司
("relevant HSBC Broking Companies" refers to any or all of the above with which the Customer has an account)
（「相關滙豐金融公司」指客戶於上述任何或所有公司持有的戶口）

Note:
注意 ：

1. The Customer is required to provide up-to-date, complete and accurate information to us in order for us to comply with the applicable laws and regulations and for the Customer to receive the appropriate financial services. This questionnaire will assist us in considering potentially suitable products for the Customer. The Customer's failure to provide information that is up-to-date, complete and accurate would materially affect our suitability assessment. The relevant HSBC Broking Companies accept no responsibility or liability as to the accuracy or completeness of the information given by the Customer. If insufficient information is provided by the Customer, we shall be unable to provide our services to the Customer.
ALL INFORMATION PROVIDED IN THIS CRPQ WILL BE HELD IN ACCORDANCE WITH OUR NOTICE RELATING TO THE PERSONAL DATA (PRIVACY) ORDINANCE.
客戶必須向本公司提供最新、完整及正確的資料，以便本公司能遵守相關法律及條例，使客戶能獲得恰當的金融服務。此問卷將會協助本公司向客戶提供潛在合適產品時作考慮。如客戶未能提供最新，完整和準確的資料將會嚴重影響本公司作出合適性評估。相關滙豐金 融公司不會為客戶提供的信息的準確性或完整性承擔任何責任或義務。若客戶所提供的資料不足，本公司將不能為客戶提供服務。
本公司對於閣下在客戶風險取向問卷內所提供的所有資料，將按本公司有關個人資料（私隱）條例的政策處理。

2. Please complete in **Block Letters** and tick where applicable.
請用**正楷**填寫，並在適當的地方加上剔號。

3. The results of this CRPQ, including the Customer's assessed risk tolerance profile, will be derived from information the Customer provides to the relevant HSBC Broking Companies, and will only serve as a reference for the Customer's consideration when making its own investment decisions. This CRPQ and the results are not an offer or solicitation to buy or sell, or a recommendation of any product or service, and they should not be considered as investment advice. The Customer should also consider its own circumstances, including but not limited to its financial situation, investment experience and investment objectives, before making any investment decisions. The results of this CRPQ may be different from the result(s) of risk profile questionnaire(s) that it may have completed with other financial institutions within or outside the HSBC Group.
此客戶風險問卷的結果（包括客戶的投資風險承受取向）將從客戶提供給相關滙豐金融公司的資料中獲得，並僅作為客戶在作出投資決定時的參考。此客戶風險問卷及其結果將不構成要約或招攬買賣，或推薦任何產品或服務，亦不應被視為投資建議。客戶在做出任何投資決定之前，應該考慮貴公司的狀況，包括但不限於貴公司的財務狀況，投資經驗和投資目標。此問卷的結果亦有可能與貴公司於其他金融機構或滙豐集團內其他成員得出的風險承受取向結果不同。

Reminder: This sample CRPQ is for your reference only.

I. Account Information 申請戶口資料 (*For Account Executive to complete*) (*由客戶主任填寫*)

1. Account Number 戶口號碼	
2. Registered Name of Company 公司註冊名稱	
3. Person authorised by the Customer to complete this CRPQ (Name and Position) 由客戶授權填寫此客戶風險取向問卷的授權簽署人（姓名及職位）	

II. Customer Risk Profiling Questionnaire 客戶風險取向問卷

This Part II of the CPRQ is designed to help you consider your business' risk tolerance profile and the corresponding investment objective. It asks multiple choice questions that provide some indication of the risk tolerance for typical investors. It may not exactly match your business' actual attitude toward investment risk, but it may be taken as a reference to indicate the profile your business may fit into.

In general, investing involves a trade-off between risk and return. Investments carrying a higher risk come with the potential of achieving more gains, but also a higher possibility of incurring considerable losses. It has been historically shown that investors who achieve higher returns have experienced correspondingly high fluctuations and losses.

這部分是為幫助貴公司評估投資風險承受取向及對應的投資目標而設的。問卷中的多項選擇題能顯示典型投資者的風險承受能力。這部分會顯示符合貴公司特性的投資風險取向以作參考，但未必與貴公司的實際投資風險取向相符。

一般而言，投資通常是風險與回報的取捨。較高風險的投資可取得較高潛在收益，然而亦較容易招致相當的損失。獲得高回報的投資者往往承受的波動與損失風險較高。

1. **What is the <u>highest level of investment loss</u> in <u>your business' portfolio</u> that your business can tolerate?**
貴公司可接受<u>投資組合最多的虧損程度</u>是多少？

☐ a. No investment loss at all
不接受任何虧損
☐ b. 10% or below
10%或以下
☐ c. Over 10% up to 20%
多過 10%至 20%
☐ d. Over 20% up to 35%
多過 20%至 35%
☐ e. More than 35%
多過 35%

2. **Investment value can go up and down over time. What is the <u>highest level of price fluctuation</u> that your business is <u>willing to accept for a single investment</u>?**
投資產品價格可升可跌，在<u>單項投資</u>上，貴公司願意接受<u>最多的價格波動</u>是多少？

☐ a. Can move between +8% and -8%
上下波幅不超過 8%
☐ b. Can move between +35% and -35%
上下波幅不超過 35%
☐ c. Can move between +100% and -100%
上下波幅不超過 100%
☐ d. Can move beyond +100% and -100%
上下波幅超過 100%

3. **Which of the following best describes your business' investment goal and risk tolerance level?**
以下哪一項最切合貴公司的投資目標及風險承受水平？

☐ a. To achieve return above short term fixed income rates, and buy products primarily for income generation, able to tolerate low risk of capital loss.
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，可承受較低資本損失。
☐ b. To achieve some capital growth, and buy products that strike a balance between income generation and capital gain, able to tolerate moderate risk of capital loss.
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，可承受中等資本損失。
☐ c. To achieve capital growth, and buy products primarily to seek substantial capital gain rather than income generation, able to tolerate high risk of capital loss.
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，可承受較高資本損失。
☐ d. To achieve very significant capital growth, and buy products primarily for aggressive capital gains, able to tolerate very high risk of capital loss which may exceed initial invested value.
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，可承受極高度資本損失，甚至能承受虧損大於起初的投資本金。

4. **What is the most likely action your business will take if the value of one of its investments goes down by 20%?**
倘若貴公司持有的單項投資價值下跌了 20% ，貴公司最有可能會採取哪一項行動？

☐ a. Sell all of the investment to stop loss
出售全部該項投資，以作止蝕
☐ b. Sell some of the investment
減持部分該項投資
☐ c. Do nothing
不採取任何行動
☐ d. Buy more at a lower price
趁價格下跌增持該項投資

8. **Does your business expect to have any liquidity needs from its account with relevant HSBC Broking Companies over the next 2 years?**
在未來兩年，貴公司是否需要從相關滙豐金融公司的戶口提取資金以作周轉用途？

☐ a. The business expects to withdraw funds from this account to support its liquidity needs frequently.
本公司預計需要從這個戶口提取資金以作頻密的周轉。
☐ b. The business may withdraw a portion of funds from this account to support its liquidity needs from time to time.
本公司偶爾可能需要從這個戶口提取部分資金以作周轉。
☐ c. The business may withdraw a portion of funds from this account to support its liquidity needs but only under unexpected circumstances.
本公司在特殊情況下, 才可能從這個戶口提取部分資金以作周轉。
☐ d. The business does not intend to use any of the funds in this account to support its liquidity needs.
本公司不打算使用這個戶口內的資金以作周轉。

6. **What percentage of your business' liquid net worth is it able to set aside for investment? Note: Liquid net worth excludes real estate, automobile and insurance, etc.**
貴公司能夠從所有流動資產淨值中，撥出多少百分比用作投資？ 注意： 流動資產並不包括物業、車輛及保險等。

☐ a. Less than 10%
少於 10%
☐ b. 10% to less than 30%
10%至少於 30%
☐ c. 30% to less than 50%
30%至少於 50%
☐ d. 50% or more
50% 或以上

7. **Generally, investors with a longer investment time horizon have a higher capacity to take risk. Under general market conditions, how long does your business intend to invest in the market?**
一般而言，投資者的投資期越長，其風險承受能力亦較強。在一般市況下，貴公司打算投資於金融市場多久？

☐ a. Less than 6 months
少於 6 個月
☐ b. 6 months to less than 1 year
6 個月至少於 1 年
☐ c. 1 to less than 3 years
1 年至少於 3 年
☐ d. 3 years or more
3 年或以上

Reminder: This sample CRPQ is for your reference only.

<table>
<tr>
<td>Customer Risk Profiling Result
客戶風險取向結果</td>
<td>
<u>Conclusion 總結</u> (For Account Executive to complete 由客戶主任填寫)

Based on the answers you have provided, your business' risk tolerance profile and corresponding investment objective is likely to be:
根據您所提供的答案，貴公司的風險承受取向和對應的投資目標可能是：

Profile ___ with corresponding investment objective to have ________________________________
(Please refer to the below table with definitions of different risk tolerance profile)
風險承受取向為 ___ ，對應的投資目標是 ________________________________
（請參閱下表有關風險承受取向的定義）
<hr>
(Only applicable to customers whose above risk tolerance profile and corresponding investment objective are at a higher risk profile than the selected investment goal and level of risk in Question 3)
（僅適用於客戶以上所得的風險承受取向及對應投資目標相比第三題選取的投資目標及風險承受水平有著較高的風險取向）

☐ Not applicable.
不適用。
☐ The business is aware that its risk tolerance profile and corresponding investment objective are at a higher risk profile than the investment goal and level of risk answered in Question 3.
本公司明白它的風險承受取向及對應投資目標相比於第三題選取的投資目標及風險承受水平有著較高的風險取向。
</td>
</tr>
<tr>
<td>Customer Risk Profiling Result
客戶風險取向結果</td>
<td>
For the conclusion:
有關總結：

☐ The business <u>agrees</u> with the above risk tolerance profile and corresponding investment objective.
本公司<u>同意</u>以上所得的風險承受取向及對應投資目標。
☐ The business <u>disagrees</u> with the above risk tolerance profile and corresponding investment objective. We believe the business' risk tolerance profile and corresponding investment objective should be:
本公司<u>不同意</u>以上所得的風險承受取向及對應投資目標。我們相信本公司的風險承受取向及對應投資目標應該為：
(Please tick the appropriate one. This can only be <u>lower</u> than the risk tolerance profile in above conclusion, and will become the risk tolerance profile captured in the record of the relevant HSBC Broking Companies.)
（請勾選適當的投資目標。您只能選取較以上評估所得的投資風險取向<u>較低</u>的類型，相關滙豐金融公司將記錄此為貴公司的風險承受取向。）

☐ No Risk Tolerance.
不具有投資風險承受能力。
☐ Low Risk Tolerance with corresponding investment objective to have regular income.
風險承受能力低，對應投資目標為定期收益。
☐ Medium Risk Tolerance with corresponding investment objective to have combination of regular income and capital gain.
風險承受能力中等，對應投資目標為定期收益與資本增值的組合。
☐ High Risk Tolerance with corresponding investment objective to have capital gain.
風險承受能力高，對應投資目標為資本增值。
<hr>
(Only applicable to existing customers of the relevant HSBC Broking Companies) If your business has got a higher risk tolerance profile than previously, please provide below the reason(s) for which you believe to be:
（僅適用於相關滙豐金融公司的現有客戶）若貴公司得到的風險承受取向結果比以往紀錄更高，原因是：

☐ Not applicable.
不適用。
☐ The business's financial situation has recently improved.
本公司的財務狀況近期有所改善。
☐ The business can now invest over a longer time horizon.
本公司現在的投資期可以更長。
☐ The business has a view on the investment market and is willing to increase its investment exposure.
本公司對投資市場有看法，願意增加我的投資。
☐ The business would like to take higher risk for higher potential return opportunities.
本公司願意承受更高風險，以獲得更高潛在回報的機會。
☐ Others (please specify):
其他（請註明）：

____
</td>
</tr>
</table>

Reminder: This sample CRPQ is for your reference only.

Definitions of Risk Tolerance Profile **投資風險承受取向定義**	**Corresponding Investment Objective** **對應的投資目標**
0 No Risk Tolerance (Knock-out) 不具有投資風險承受能力 The business does not want to take any investment risk as it cannot accept any investment loss. 本公司不希望承受任何投資風險，因為本公司無法承受任何投資損失。	Not Applicable 不適用
1 Low Risk Tolerance 投資風險承受能力低 The business wants investments to achieve a regular income only. It wants to achieve a low level of return potential on investments and is generally comfortable with a low level of risk. The business is willing to invest in liquid and income generating products, with a payout profile that is generally known upfront. 本公司只希望透過投資獲得穩定收入。本公司希望獲得較低水平的潛在投資回報，並願意承受低風險。本公司願意投資在流動及有固定收益的產品，而此類產品的收益分派狀況大致可預知。	Regular income 穩定收入
2 Medium Risk Tolerance 投資風險承受能力中等 The business wants investments to achieve a combination of regular income and capital gain. It wants to achieve a medium level of return potential on investments and is generally comfortable with a medium level of risk. The business understands that capital values can have some fluctuations and some of them may have some significant fluctuations and may fall below the original investment. The business is aware that most of these investments can be sold in the market within a reasonable time, but some of these investments may be subject to further price impact if sold in the market on short notice. The business is willing to invest in more volatile products that offer opportunities for capital gain. The income payout profile is not always known upfront, and there can be some uncertainties on the year-on-year payout. 本公司希望透過投資獲得穩定收入及資本增值。本公司希望獲得中等水平的潛在投資回報，並願意承受中等風險。 本公司明白，資本價值可能有所波動，而有時可能會大幅波動，並可能下跌至低於原本的投資額。 本公司知道，這些投資大部分可在合理時間內於市場上出售，但如若急於在市場上出售，當中部分投資的價值或會受到進一步影響。 本公司願意投資在較大波幅而有資本增值潛力機會的產品。此類產品的收益分派狀況或不可預知及產品的按年收益分派可能存有不確定因素。	Combination of regular income and capital growth 穩定收入及有資本增值潛力的組合
3 High Risk Tolerance 投資風險承受能力高 The business wants investments to achieve capital gain. It wants to achieve a high level of return potential on investments and is generally comfortable with a high level of risk. The business understands that capital values can fluctuate significantly and may fall substantially below the original investment (including the possibility of a total loss of investment). The business is willing to invest in products with no income payouts and high risk of capital loss. These products may have a complex payout profile and can suffer from limited liquidity during difficult market conditions. 本公司希望透過投資獲得資本增值。本公司希望獲得高水平的潛在投資回報，並願意承受高風險。 本公司明白，資本價值可能會大幅波動，而有可能跌至頗低於原本的投資額（包括可能損失全部投資）。 本公司願意投資在並無收益分派及資本虧損風險較高的產品。此類產品可能具有複雜的收益分派狀況，並且其流動性在嚴峻市況下可能受到限制。	Capital growth 有資本增值潛力

Reminder: This sample CRPQ is for your reference only.

Definitions of Risk Tolerance Profile 投資風險承受取向定義	**Corresponding Investment Objective** 對應的投資目標
4 Very High Risk Tolerance 投資風險承受能力極高 The business wants its investments to grow aggressively and earn the highest possible return. It wants to maximize its return potential and is generally comfortable with maximized risk. The business can accept huge negative fluctuations, ie capital values can fluctuate significantly below original investment (including the possibility of a loss which exceeds its principal invested and triggers a margin call when the market goes against its investment). The business is willing to invest in products with high risk of capital loss. These products may have a complex payout profile which incorporates leverage and derivatives. These products may only be sold beyond a reasonable timeframe during difficult market conditions. 本公司希望我的投資有極高財富增長以及獲得最高的投資回報。本公司希望獲得最高水平的潛在投資回報，並願意承受最高風險。 本公司可接受投資的大幅波動，例如：資本價值可能會大幅波動，而有可能跌至遠低於您原本的投資額（虧損甚至可能大於您原本的投資額，並觸發保證金追收通知）。 本公司願意投資資本虧損風險較高的產品，當中包含槓桿原理及衍生工具，此類產品可能具有複雜的收益分派狀況。此類產品在嚴峻市況下未必能於合理時間範圍內出售。	Aggressive wealth growth 有極高財富增值潛力

III. Investment Product Knowledge and Experience Profile-投資產品知識及經驗概況

Products 產品	**Product Knowledge (Please go to Investment Experience if you have selected "Yes" under Product Knowledge)** 產品知識（如在產品知識下選擇「是」，請作答投資經驗）		**Investment Experience (Please tick "Yes" if you have selected "Past trading experience" under Product Knowledge)** 投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）	
	Have product knowledge? 是否擁有產品知識？	**If yes, how was it obtained?** 如有，通過何種渠道獲得？	**Have investment experience?** 是否擁有投資經驗？	**If yes, please provide further information below** 如有，請提供以下資料
Exchange Traded Securities, eg Equities, Physical ETF 交易所買賣證券例如： 股票、實物資產交易所買賣基金	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗
Plain Vanilla Bonds 普通債券	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗

Complex Bonds* 複雜債券* **(Please skip this if your answer to Knowledge in Plain Vanilla Bond is "NO")** **（如在普通債券知識中選擇「否」，請略過）**	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________________	☐ No 否 ☐ Yes 是	Past trading experience with __________________________ (Broker/Bank) for ___year(s) 過往與 __________________________ （經紀公司／銀行），長達 ________年的交易經驗
Leveraged Foreign Exchange 槓桿式外匯	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________________	☐ No 否 ☐ Yes 是	Past trading experience with __________________________ (Broker/Bank) for ___year(s) 過往與 __________________________ （經紀公司／銀行），長達 ________年的交易經驗
Precious Metals 貴金屬	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________________	☐ No 否 ☐ Yes 是	Past trading experience with __________________________ (Broker/Bank) for ___year(s) 過往與 __________________________ （經紀公司／銀行），長達 ________年的交易經驗

* Bonds with one or more special features (including, but not limited to, perpetual or subordinated bonds, or those with variable (eg step-up or step-down) or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures).
具有一項或多項以下特點組成的債券（包括（但不限於）屬永久證券或次級證券、具有浮息（如可上調或下調利率）或延遲派付利息條款、可延遲到期日、或屬可轉換或可交換性質或具有或然撇減或損失吸收特徵，或具備非單一信貸支持提供者及結構的債務證券）。

Reminder: This sample CRPQ is for your reference only.

IV. Derivatives Knowledge and Experience Profile 衍生工具產品投資知識及經驗概況

Does your business have knowledge of derivatives? (Derivatives includes futures, options, warrants, callable bull/bear contracts, convertible bonds, synthetic exchange traded funds and structured products) **貴公司是否擁有衍生工具產品知識？** （衍生工具包括交易所買賣的期貨／期權、認股權證、牛熊證、可轉換債券、合成交易所買賣基金和結構性產品）	☐ No 沒有 ☐ Yes, because the business (please choose one or more below): 有，因為本公司（請選擇下列一項或多項）： ☐ Executed 5 or more transactions in derivatives within the past 3 years 於過去 3 年內曾執行 5 宗或以上的衍生工具產品交易 ☐ At least one of your appointed authorised traders has knowledge of derivatives and provided supporting evidence to the relevant HSBC Broking Companies 最少一名獲委任的授權交易人擁有衍生工具產品知識，並已提供支持證明文件予相關滙豐金融公司 **(Please provide supporting evidence of knowledge of derivatives such as trading statements.)** （貴公司必須提供支持證明文件，例如：交易結單，以證明所申報有關衍生工具投資的知識。）

The following section is only applicable if your business has answered "Yes" for having knowledge of derivatives.
以下部分僅適用於貴公司已回答擁有衍生工具產品知識。

Product 產品	**Product Knowledge (Please go to Investment Experience if you have selected "Yes" under Product Knowledge)** 產品知識（如在產品知識下選擇「是」，請作答投資經驗）		**Investment Experience (Please tick "Yes" if you have selected "Past trading experience" under Product Knowledge)** 投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）	
	Have product knowledge? 是否擁有產品知識？	**If yes, how was it obtained?** 如有，通過何種渠道獲得？	**Have investment experience?** 是否擁有投資經驗？	**If yes, please provide further information below** 如有，請提供以下資料
Exchange Traded Futures and Options (excluding equity options) 交易所買賣的期貨及期權（不包括股票期權）	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ______________ (Broker/Bank) for ___year(s) 過往與______________（經紀公司／銀行），長達________年的交易經驗
Exchange Traded Equity Options 交易所買賣股票期權	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ______________ (Broker/Bank) for ___year(s) 過往與______________（經紀公司／銀行），長達________年的交易經驗

Structured Products 結構性產品	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________________	☐ No 否 ☐ Yes 是	Past trading experience with ______________________ (Broker/Bank) for ___year(s) 過往與 ______________________ （經紀公司／銀行），長達 ________年的交易經驗
Other Derivatives, eg Warrants, CBBC, Convertible Bonds and Synthetic ETF 其他衍生工具例如：認股權證、牛熊證、可轉換債券和合成交易所買賣基金	☐ No 否 ☐ Yes 是	☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________________	☐ No 否 ☐ Yes 是	Past trading experience with ______________________ (Broker/Bank) for ___year(s) 過往與 ______________________ （經紀公司／銀行），長達 ________年的交易經驗

V. Key Financial Situation 主要財務狀況

Financial Resources Available for Investment 可用作投資之財政資源	☐ HKD 港幣 1 – 500,000 ☐ HKD 港幣 500,001 – 1,000,000 ☐ HKD 港幣 1,000,001 – 2,000,000 ☐ HKD 港幣 2,000,001 – 3,000,000 ☐ HKD 港幣>3,000,000
Estimated Liquid Net Worth# 預計流動資產淨值#	HKD 港幣____

\# Exclusive of real estate, automobile and insurance
不包括物業，汽車及保險

<u>Reminder:</u> This sample CRPQ is for your reference only.

VI. Customer Declaration 客戶聲明

I/We declare that I/we have read and understood this CRPQ. I/We hereby confirm that all the answers to the questions in this CRPQ are provided by me/us and are up-to-date, complete and accurate to the best of my/our knowledge and I/we agree (on behalf with the Customer) with the risk profiling result as set out above in Part II of this CRPQ (which will be relied upon by and captured in the records of the relevant HSBC Broking Companies). 本人／吾等聲明，本人／吾等已閱讀並理解本客戶風險取向問卷。本人／吾等謹此確認，本問卷所有問題的答案均由本人／吾等提供，就本人所知屬最新，完整和準確的，本人／吾等（代表本公司）認同本問卷第二部分之結果（結果將由相關滙豐金融公司記錄為本公司的風險承受取向及投資目標）。
We ("Customer") acknowledge that (1) this CRPQ only serves as a reference for our consideration when making our own investment decisions and the risk profiling result does not constitute offer or solicitation to buy or sell or recommendation of any product and service and should not be considered as investment advice; (2) the risk profiling result was derived from information provided me; (3) the relevant HSBC Broking Companies accept no responsibility or liability to check the accuracy or completeness of the information provided herein; (4) we should also consider our own circumstances, including but not limited to our financial situation, investment experience and investment objectives, before making any investment decisions; and (5) our failure in providing up-to-date, complete and accurate information would materially affect any suitability assessment by the relevant HSBC Broking Companies. 吾等（「本公司」）確認：（1）本問卷只作為我們作出個人投資決定時的參考，客戶風險取向結果並不構成要約或招攬購買，出售或推薦任何產品和服務，客戶不應視結果是由我們提供的資料所獲得的；（2）客戶風險取向結果不應被視為投資建議；（3）相關滙豐金融公司將不承擔任何責任或義務檢查你提供的信息的準確性和完整性；（4）在做出任何投資決定之前，我們還應該考慮我們的狀況，包括但不限於我們的財務狀況，投資經驗和投資目標；（5）如我們未能提供最新，完整和準確的資料，將會嚴重影響相關滙豐金融公司的任何合適性評估。
We ("Customer") undertake to advise the relevant HSBC Broking Companies of any change in circumstances which would affect our risk tolerance profile, and to re-perform the CRPQ as soon as possible should there be any such change in circumstances. 吾等（「本公司」）承諾，如有任何情況變動會影響我們的投資風險承受取向，我們會告知相關滙豐金融公司，並盡快重新填寫客戶風險取向問卷。
If we ("Customer") have appointed or will appoint authorised traders, we will ensure that they understand our financial situation, and are competent and suitably qualified (having regard to their investment knowledge and experience): (1) for our investment objectives, strategies and processes; (2) to operate our account(s) with the relevant HSBC Broking Companies; and (3) to communicate with the relevant HSBC Broking Companies for any suitability assessment and explanation of any products or services. 如果吾等（「本公司」）已經委任或將委任授權交易人，我們會確保他們了解我們的財務狀況，並且勝任及有合適資格（考慮到他們的投資知識及經驗）： （1） 為我們的投資目標，策略及流程； （2） 操作我們在相關滙豐金融公司的戶口；及 （3） 與相關滙豐金融公司對任何產品或服務的合適性評估及解釋進行溝通。

Reminder: This sample CRPQ is for your reference only.

VII. Customer Signatory 客戶簽署

Signature(s) of authorised signatory(ies) with company chop: 授權簽署人簽署及公司蓋印： **X** ____ Name(s) of authorised signatory(ies): 授權簽署人姓名： Date: 日期： For and on behalf of *(company name)*: 代表*（填入公司名稱）*：

Note: The English version shall prevail in the event of any inconsistency between the English and Chinese versions of this CRPQ.
註：本「客戶風險取向問卷」之中英文本如有任何歧義，概以英文本為準。

VIII. Account Executive Declaration (To be completed by the Account Executive)
客戶主任聲明（由客戶主任填寫）

The undersigned Account Executive ("AE")/licensed person has invited the Customer to read and ask questions on this CRPQ.
以下簽署的客戶主任／持牌人士已向客戶提供風險披露聲明及邀請客戶閱讀、並就客戶風險取向問卷及任何有關補充文件發問。

AE Number 客戶主任編號	AE Signature 客戶主任簽署
AE Name 客戶主任名稱	
CE Number CE 號碼	Date 日期