



中國中期證券有限公司

China CIFCO Securities Co., Limited

根據《證券及期貨條例》就第1類受規管活動獲發牌的持牌法團CE編號 BEX660

A corporation licensed for Type 1 regulated activities under the Securities and Futures Ordinance with CE no.BEX660

香港銅鑼灣告士打道255-257號信和廣場29樓2903室

Suite 03, 29/F, Sino Plaza, 255-257 Gloucester Road, Causeway Bay, Hong Kong

電話 Tel : (852) 2573 9868

客戶名稱

Client Name:

客戶號碼

Client Number

風險評估問卷 Risk Profiling Questionnaire

- 1 您有多少年投資經驗(包括:股票、單位信託基金、外幣、商品、結構投資產品、認股權證(俗稱「窩輪」)、期權、期貨等)?

How many years of investment experience do you have (for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures.)?

- 沒有經驗或少過1年 No experience or Less than 1 year
- 1 - 3 年 years
- 4 - 6 年 years
- 7 - 9 年 years
- 10 年或以上 years or above

- 2 現在您是否持有以下任何投資產品?(可選多個)

Are you currently holding any of the below investment products? (you may select more than 1 option)

- 期權、期貨、認股權證(俗稱「窩輪」) Options, futures, warrants
- 股票、開放式基金(不包括債券基金或貨幣市場基金)、非保本之股票掛鈞結構投資產品、具投資成分的保險計劃、商品 Stocks, open-end funds excluding bond funds and money market funds, non capital protected equity linked structured products, investment-linked insurance plans, commodities
- 外幣、非保本之貨幣、掛鈞結構投資產品 Foreign currencies, non capital protected currency linked structures products
- 債券、債券基金 Bond, bond funds
- 現金、存款、存款証、保本產品 Cash, deposit, certificates of deposit, capital protected products

- 3 在一般情況下,您會願意投資於波動程度多大的投資產品?

What level of fluctuation would you generally be comfortable with?

- 波動多於 -30%至 +30%之間 Fluctuates under -30% and over +30%
- 波動於 -30%至+30%之間 Fluctuates between -30% and +30%
- 波動於 -15%至+15%之間 Fluctuates between -15% and +15%
- 波動少於 -5%至+5%之間 Fluctuates between -5% and +5%

- 4 您撥作投資的資產總值佔個人投資總額的比率為多少?

What portion of your net worth would you like to set aside for investments?

- > 60%
- 41% - 60%
- 21% - 40%
- 0% - 20%

- 5 若您整體投資資產下跌超過15%,對您的生活影響程度為何?

If there is a fall of 15% or over in your overall investment portfolio, what level of your life be suffered?

- Intolerable 無法承受
- Great impact 影響程度大
- Medium impact 中度影響
- Little impact 影響程度小
- No impact 不會有影響



Risk Tolerance Analysis 風險承受能力分析

風險承受程度 Risk Tolerance Level	低風險 Low Risk <input type="checkbox"/>	中風險 Medium Risk <input type="checkbox"/>	高風險 High Risk <input type="checkbox"/>
投資者的 一般特徵	<p><u>Conservative 保守型</u> 閣下願意承受低度的風險，亦明白會接受比較保守回報。</p>	<p><u>Balance 平衡型</u> 閣下願意承受中度的風險，於中長線換取潛在回報。</p>	<p><u>Aggressive 進取型</u> 閣下願意承受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部份或全部本金。</p>
Investor General Characteristics	You are willing to accept low risks. In return, you understand that you will receive low returns.	You are willing to accept medium risks in exchange for some potential returns over the medium to long term.	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.

客戶簽署(公司蓋章) Client's Signature (With Company Chop)

聯名客戶簽署 Joint Client Signature

客戶名稱 Client Name

聯名姓名 Joint Client Name

日期 Date

日期 Date