PLUTUS SECURITIES LIMITED
貝德斯證券有限公司
(Exchange Participant of The Stock Exchange of Hong Kong Limited) SFC CE NO. BNJ530
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Risk Profile Questionnaire 風險承受能力問卷

This questionnaire serves to help you to assess your risk attitude based on your ability to take risk and your risk tolerance level
這份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。

Please circle your answer 請圈出您的答案

PART 1: For All client 第一部份: 適用於全部客戶		**Score 分數**
Q1	How many years of investment experience (exclude savings, fixed deposit and foreign currency deposit) do/does you/your company do have? 您/貴公司有多少年投資經驗 (不包括儲蓄、定期儲蓄及外幣儲蓄)? A. Over 5 years, 多於 5 年 B. 2 - 5 years, 2 - 5 年 C. 1 - 2 years, 1 - 2 年 D. Less than 1 year, 少於 1 年 E. None, 沒有經驗	
Q2	Which of the following products you/your company have/has previously invested? 您/貴公司曾否投資於以下產品? (you may select more than 1 option, 您可選擇多於一項) A. Options, futures, warrants, hedge funds and other structured products such as equity linked note/investment. 期權、期貨、認股權證(俗稱「窩輪」)、對沖基金。 B. Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but excluding money market funds), investment-linked insurance plans. 股票、債券、股票或債券基金(包括強積金,不包括貨幣市場基金)、投資相連保單。 C. Non-principal Protected Structured Product(Currency/ Interest Rate Linked)非保本結構性產品(貨幣/利率掛鈎) e.g. Currency Linked Deposits 例如: 貨幣掛鈎存款 D. Capital protected products, HKSAR Government Bond 保本產品、香港政府債券。 E. Cash, Deposits, Certificates of Deposit 現金、存款、存款證	
Q3	What is current objective for investment? 現時之投資目標是? A. Maximize capital growth as soon as possible 以最短時間，爭取最高回報 B. Gradual long-term capital growth 資本長期地逐漸增長 C. Balanced income and capital growth 平衡收入與資本增長 D. Stable income and capital growth 穩定收入與資本增長，獲取比銀行存款較高的回報 E. Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報	
Q4	How long is the expected Investment horizon? 預期投資年期是多少? A. Over 10 years, 多於 10 年 B. 5- 10 years, 5 - 10 年 C. 3 - 5 years, 3 - 5 年 D. 1 - 3 years, 1 - 3 年 E. None or less than 1 year, 沒有或少於 1 年	
Q5	How much capital has been reserved for unforeseeable events in terms of monthly operational expenses of you/your company? 按每月營運開支計算，您/貴公司預留多少資金作為不時之需? A. 24-month or above operational expenses 24 個月或以上的營運資金 B. Less than 24-month operational expenses 少於 24 個月的營運資金 C. Less than 12-month operational expenses 少於 12 個月的營運資金 D. Less than 6-month operational expenses 少於 6 個月的營運資金 E. Less than 3-month operational expenses 少於 3 個月的營運資金	

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Q6	Generally, the higher the expected return the higher price fluctuation may be involved. What level of annualized price fluctuation would you/your company generally be comfortable with? 一般而言，預期較高回報，亦會涉及較高的價格波幅。您/貴公司可以接受以下哪個年度價格波幅? A. Price fluctuates under- 40% and over + 40% 價格波幅多於-40%至+40%之間 B. Price fluctuates between -30% and +30%, 價格波幅介乎 -30% 至 +30% C. Price fluctuates between -20% and +20%, 價格波幅介乎 -20% 至 +20% D. Price fluctuates between -10% and +10%, 價格波幅介乎 -10% 至 +10% E. Price fluctuates between -5% and +5%, 價格波幅介乎 -5% 至 +5%	

PART 2A: For Individual/Joint Account (Corporate Account please go to PART 2B) **第 2A 部份: 以下只適用個人/聯名客戶 (公司客戶請跳至第 2B 部份)**		
Q7	What is your age? 您現時的歲數是? A. Age 18 - 30, 18 - 30 歲 B. Age 31 - 40, 31 - 40 歲 C. Age 41 - 50, 41 - 50 歲 D. Age 51 - 64, 51 - 64 歲 E. Under 18 or above 64, 18 歲以下或 64 歲以上	
Q8	What is your highest education level? 您的教育程度是? A. University / professional qualification related to Economics or Finance 大學/專業資格（經濟學/財務學相關） B. University / professional qualification unrelated to Economics or Finance 大學/專業資格（經濟學/財務學以外） C. Post-secondary/ university above 大專 / 大學或以上 D. Secondary 中學 E. Primary or below 小學或以下	
Q9	How much of your investments would you require to liquidate to meet liquidity need for an unforeseen event? 您有多需要將投資項目變現,來滿足對突發事件的流動資金需要? A. I would not have to sell any of my investments. 我不一定會出售任何投資。 B. I would sell no more than 20% of my investments. 我會出售不多於 20%的投資。 C. I would sell more than 20% but less than 40% of my investments. 我會出售多於 20%但少於 40%的投資。 D. I would sell more than 40% but less than 60% of my investments. 我會出售多於 40%但少於 60%的投資。 E. I would sell more than 60% of my investments. 我會出售 60%以上的投資。	

PART 2B: For Corporate Account
第 2B 部份: 以下只適用公司客戶

Q7	What is your company's profit expectation in the next five years? (For non-profit making organization, please use net cash flow instead) 閣下預期貴公司在未來五年的純利走勢是？(如果屬於非牟利機構，請以淨現金流量代替純利走勢) A. Stable and outpacing economic growth 穩定並領先經濟增長 B. Stable and in line with economic growth 穩定並與經濟增長看齊 C. Somewhat stable with very low possibility to incur any loss for the next five years 尚算穩定，預計在未來五年虧本機會不大 D. Unstable with some possibility to incur losses over the next five years 不穩定，預計在未來五年有機會虧本 E. Unstable with some possibility to incur losses over the next five years 不穩定，預計在未來會機會虧本	

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Q8	Does your company employ any dedicated personnel responsible for making investment decisions? 貴公司有否聘用專責人員負責作出投資決定? A. Yes, we have senior management with relevant professional qualifications to make investment decisions 有，本公司擁有相關專業資格的管理層負責作出投資決定。 B. Yes, our company has senior management with professional economics/ finance-related qualifications to make investment or hedging decision. 有，本公司具有跟財經學科相關專業資格的高級管理層，負責投資或對沖決定。 C. No, but our company has adequate knowledge on financial investment. 沒有，但本公司在金融投資方面具有足夠知識。 D. No, but our company has some knowledge on financial investment. 沒有，但本公司在金融投資方面具有若干知識。 E. No, our company has a little knowledge on financial investment. 沒有，但本公司在金融投資方面具有少許知識。	
Q9	How much of your company investments would you require to liquidate to meet liquidity need for an unforeseen event? 貴公司有多需要將投資項目變現,來滿足對突發事件的流動資金需要? A. I would not have to sell any of my investments. 我不一定會出售任何投資。 B. I would sell no more than 20% of my investments. 我會出售不多於 20%的投資。 C. I would sell more than 20% but less than 40% of my investments. 我會出售多於 20%但少於 40%的投資。 D. I would sell more than 40% but less than 60% of my investments. 我會出售多於 40%但少於 60%的投資。 E. I would sell more than 60% of my investments. 我會出售 60%以上的投資。	
TOTAL SCORE 總分數		

Score: (A=5; B=4; C=3; D=2; E=1)

The question allows multiple answers, only the answer carrying the highest score is used in the calculation

由於問題可選多一項答案，計算時請選用得分最高的答案。

Risk Score General Risk Profile Description **風險分數 風險取向描述**	
0-9	1 = Low Risk Profile 低風險取向： You can accept investments with low risk exposure and price fluctuation for small returns. 能接受較低風險和價格波動的投資以 取得較少的回報。
9-18	2 = Low to Medium Risk Profile 低至中風險取向： You can accept investments with low to medium risk exposure and price fluctuation for some returns. 能接受低至中度風險和價 格波動的投資以取得一些回報。
19-27	3 = Medium Risk Profile 中風險取向： You can accept investments with medium risk exposure and price fluctuation for capital growth potential. 能接受中度風險和價格 波動的投資以取得資本增值的潛力。
28-36	4 = Medium to High Risk Profile 中至高風險取向： You can accept investments with medium to high risk exposure and price fluctuation for some capital growth. 能接受中至高度風險和價格波動的投資以取得一些資本增值。
37-45	5 = High Risk Profile 高風險取向： You can accept investments with high risk exposure and price fluctuation for substantial capital growth. 能接受較高風險和價格波動的投資以取得顯著的資本增值。

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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 and capacity for 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集團評估您對投資風險的態度及承受能力。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。

Client's Declaration 客戶聲明

I /we hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.
本人/我們謹此聲明: 本人/我們為本問卷所提供的資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

Client Signature with Company Chop (if applicable) 客戶簽署及公司蓋章(如適用)

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Client Name 客戶名稱:
Date 日期: