



ADMIS Hong Kong Ltd.

ADMIS Hong Kong Limited
 Suites 908-10, 9th Floor, Lincoln House
 TaiKoo Place, 979 King's Road
 Quarry Bay, Hong Kong
 T. (852) 2537 3770 F. (852) 2525 3783

Client Risk Profile Questionnaire 風險承受能力問卷

本問卷旨在幫助我們確定和評估閣下的風險取向、投資經驗和是否具備衍生工具知識。我們將會根據閣下所提供的資料，評估閣下是否了解衍生產品的性質和風險。聯名賬戶的賬戶持有人須個別填妥一份問卷，以風險取向較低者為準。請注意：閣下日後可能需要再次填寫這份問卷，以重新評估閣下的風險承受程度。

This Questionnaire aims to help us establish and assess your risk profile, investment experience and knowledge of the derivatives. Based on the information provided, we can assess whether you are knowledgeable about the characteristics and risks of derivative products. Joint account holders are required to complete the questionnaire separately and the person with lower risk appetite would be concluded for the account. Please note that you may be required to complete this questionnaire again in future to re-assess your risk tolerance level.

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

Client Information 客戶資料	
Client Name : 客戶名稱 :	
Account Number: 賬戶號碼 :	

請回答以下問題並別選最符合閣下的陳述。

Please answer the following questions and tick the box that best describes you.

Knowledge of Derivatives 衍生工具知識		
1. I have knowledge of financial derivatives. If yes, please answer the following questions. 本人具備金融衍生工具的知識。如是, 請回答下面問題。	是	否
a. <input type="checkbox"/> 本人已經接受 / 參加由學術或金融機構所提供有關衍生產品及 / 或結構性產品的培訓 / 課程，而本人亦完全了解這類投資產品的性質和風險。 I have undergone training/attended courses offered by academic or financial institutions on derivative and/or structured products and I am fully aware of the nature and risks of this kind of investment products.	Yes	No
b. <input type="checkbox"/> 本人擁有1年以上有關衍生產品及 / 或結構性產品的工作經驗。(如有，請在下列註明。) I possess more than 1 year working experience related to derivative and/or structured products. (If yes, please specify.)	Yes	No
公司名稱 Company name : _____ 部門名稱 Department name : _____ 工作性質 Job nature : _____ 任職年期 Period of employment : 由 from Year _____ 年至 to Year _____ 年		



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<p>c. <input type="checkbox"/> 在過去3年中，本人曾執行過5宗或以上有關衍生產品及 / 或結構性產品的交易。(如有，請在下列註明。)</p> <p>In the past 3 years, I have executed 5 or more transactions relating to derivative and/or structured products. (If yes, please specific.)</p> <p>金融機構名稱 Name of financial institution: _____</p> <p>投資經驗年期 Year of Investment Experience: _____</p>		
<p>2. 亞達盟員工已用淺白語言向本人解釋相關衍生產品的特點及風險披露。</p> <p>The staff of ADMIS HK had explained to me in plain languages the derivative products features and risk disclosures.</p>	<p>是 Yes</p>	<p>否 No</p>
<p>Background Information/Financial Situation 背景資料/財務狀況</p>		
	<p>Answer 答案</p>	<p>Score 分數</p>
<p>3. What percentage of your total annual income is available for investment? 您/貴公司可用作投資的金額，佔全年總收入多少個百分比?</p> <p>a. 30% or above, 30%或以上.....(10)</p> <p>b. Less than 30%, 少於30%.....(1)</p>		
<p>4. What is the percentage of your/your's 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?</p> <p>a. 30% or above, 30%或以上.....(10)</p> <p>b. Less than 30%, 少於30%.....(1)</p>		
<p>5. How many months of the expenses could be covered by your/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?</p> <p>a. More than 12 months, 多於12個月(10)</p> <p>b. Less than 12 months, 少於12個月.....(1)</p>		



	Answer 答案	Score 分數
<p>6. Which of the following sentences can describe the best for you/your company about the income status? 以下哪一句最能準確描述閣下/或貴公司的收入狀況?</p> <p>a. I have a sustainable income each month. (Include salary, rental income, dividend and operating business income, etc) 我每月有持續收入。(包括薪金、租金收入、股息、公司營運收入等).....(10)</p> <p>b. I have no sustainable income each month. 我每月沒有持續收入。.....(1)</p>		
Investment Objective and Knowledge 投資目標及認識		
	Answer 答案	Score 分數
<p>7. What is your knowledge of financial markets and investments? 您對金融市場和投資的認識有多少?</p> <p>a. Advanced: I am familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand various factors that may affect the risk and performance of these financial products. 精通：我熟識大部分金融產品（包括債券、股票、認股權證、期權及期貨），並明白可能影響這些金融產品的風險和表現的各項因素。.....(10)</p> <p>b. None: I have no knowledge of financial markets and Investments. 沒有認識：我對金融市場和投資完全沒有任何認識。.....(-40)</p>		
<p>8. What is your/your company's objective for investment? 您/貴公司的投資目標是?</p> <p>a. Maximize capital growth as soon as possible or hedging 以最短時間，爭取最高回報或進行對沖.....(10)</p> <p>b. Capital preservation and balanced income 保本、平衡收入.....(-40)</p>		



Risk Tolerance Level 風險承受能力		
	Answer 答案	Score 分數
<p>9. 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?</p> <p>a. 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..... (10)</p> <p>b. I am not willing to accept any declines at any point in time as capital preservation is my primary objective. 我的主要目標是保本，不願意接受投資於任何時候有任何虧損。.....(-40)</p>		
<p>10. 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?</p> <p>a. Price fluctuates over 20%, 價格波幅超過20%..... (10)</p> <p>b. Price fluctuates between 0% and 20%, 價格波幅介乎0% 至20%.....(1)</p>		
<p>11. What is the level of potential loss on the investment amount would be acceptable to you/your company? 您/貴公司可以接受投資金額潛在損失水平?</p> <p>a. Loss on investment amount up to 50% 投資金額損失至 50%.....(10)</p> <p>b. Not acceptable to take any loss 不能接受投資有任何虧損.....(-40)</p>		
<p>12. If you/your company's overall investment portfolio falls more than 30%, how you/your company would be affected? 如您/貴公司的整體投資組合下跌超過30%，將如何影響您/貴公司?</p> <p>a. Slight impact 輕微影響.....(10)</p> <p>b. Intolerable 不能承受.....(1)</p>		



Overall Assessment Result 投資者取向評估結果		
Total Score 總分數		
According to your answers to all questions above, the risk appetite of you is: 根據您對以上所有問題的回答，您的投資風險取向為：		
	<input type="checkbox"/>	<input type="checkbox"/>
Score 分數	≤ 70	≥ 70
Risk Tolerance Level 風險承受程度	Low 低	High 高
Investor Characteristics 投資者特徵	<p>Conservative 保守型</p> <p>An investor who is risk-averse and to whom capital preservation is very important. 投資者對風險採取比較保守的態度及重視保存資本。</p>	<p>Aggressive 進取型</p> <p>An investor who are willing to accept extreme fluctuations and 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. 您願意接受極大波動以取得最高回報，同時亦明白到要承擔相當高的風險。</p>



客戶聲明 Declaration by Client

4. I hereby confirm that the above Overall Assessment Result are consistent with my investment risk requirements and investment objective and agree the Investment Strategy and Risk Tolerance Level as follows:

本人確認上述投資者取向評估結果與我的投資風險要求和投資目標相符及同意屬於以下投資者特徵及風險承受程度:

- Conservative and Low Risk 保守型及低風險
 Aggressive and High Risk 進取型及高風險

5. I hereby confirm that I have knowledge of financial derivatives.

本人確認具備金融衍生工具的知識。

- I hereby confirm that I have no knowledge of financial derivatives.

本人確認不具備金融衍生工具的知識。

6. I hereby confirm that the information provided in questionnaire is true, correct and accurate as of the moment of provision. I undertake to keep ADMIS Hong Kong Limited (“ADMIS HK”) informed of any changes in the above-mentioned information.

本人確認在本問卷提供的資料在提供當下是真確、正確和準確。如上述資料有任何變動，本人承諾知會亞達盟環球期貨有限公司（「亞達盟」）。

4. I understand that ADMIS HK will be unable to assess the suitability of the requested service to my interest if the information provided in the questionnaire by me is incorrect.

本人明白如問卷內填寫的內容不實，亞達盟將不能評估所要求服務是否適合本人。

5. I acknowledge the receipt of a copy of this questionnaire and I have duly completed and signed the same. 本人確認收到、填妥並簽署本問卷。

SIGNED by Client (with chop for Corporate Client)

客戶簽署 (如公司客戶請蓋章)

Client Signature 客戶簽名

日期 Date

Client Print Name 客戶姓名 (請書寫)



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持牌人聲明 Declaration by Licensed Person

本人已按照客戶所選擇語言（中文或英文）向客戶提供衍生產品特點及風險披露並已就有關交易向客戶提出警告。此外本人亦已邀請客戶細閱該風險披露聲明、提問及尋求獨立意見（如客戶有此意願）。I have provided the Derivative Products Features and Risk Disclosure to the Client in a language of his/her/their choice (English or Chinese) and have cautioned the Client about the transaction. I have also invited the Client to read the Risk Disclosure Statement carefully, raise questions and seek independent advice if he/she/they wish(es).

Licensed Person

Name of Licensed Person

Signature

持牌人簽署

持牌人姓名

CE No. 中央編號

日期 Date

面談 Face to Face

電話 By Phone (內線 Extension: _____)

時間 Time: _____)

責任聲明 Disclaimer

本問卷結果乃根據閣下所提供的資料制定，並僅供您作為個人投資決定的參考。本問卷內容及結果並非任何金融產品及服務的銷售要約或購買邀請，亦不應視作投資建議。亞達盟對上述有關資料的準確性或完整性並不負責或承擔任何責任。亞達盟確保本問卷內的個人資料將予保密。閣下提供的資料只會在保密的情況下，按我們已交付閣下的有關開戶文件資料內隨附的私隱政策所載，供亞達盟使用。投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升亦可跌，而所呈列的過往表現資料並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細了解該產品的性質和相關風險。

The results of this questionnaire are derived from the information that you/you all have provided to us, and are for your reference only when making your own investment decisions. This questionnaire and the results are neither an offer to sell nor a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. ADMIS HK accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in this questionnaire will be kept confidential by ADMIS HK. The information may be used by ADMIS HK under a duty of confidentiality to ADMIS HK, for the purposes set out in our Data Privacy Policy that has been delivered to you with the relevant account opening documents. Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the relevant product before making any investment decision.

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Verification of assigned risk scores and calculation	Maker	Checker
	Date:	