



中福國際期貨  
ZHONGFU INTERNATIONAL FUTURES

# ZHONGFU INTERNATIONAL FUTURES CO., LIMITED 中福國際期貨有限公司

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## 風險評估問卷 Risk Profiling Questionnaire

本問卷旨在評估閣下對風險的態度及對投資風險的承受程度，未必能準確反映閣下的實際可接受的風險水平。如有需要，請尋求專業意見。

This questionnaire is designed to help you assess your attitude towards risk and risk tolerance level. It may not accurately reflect your actual risk tolerance level. If necessary, please seek professional advice.

註：1) 客戶必須完成此【風險評估問卷】，才可投資衍生產品。

Remark: 1) Customers should complete this Risk Profiling Questionnaire before proceeding to execute any derivative products.

註：2) 如為聯名帳戶，代表該帳戶發出有關指示或作出投資決定的申請人/持有人應填寫及簽署本問卷。

Remark: 2) For joint holders account, this questionnaire should be completed and signed by applicant/ account holder(s) who is/are responsible for giving instructions or making investment decisions.\*\*

### 1) 您屬於以下哪個年齡組別？ Which of the following age category do you belong to?

- ☐ A) 18 歲 至 24 歲 Between 18 to 24
- ☐ B) 25 歲 至 34 歲 Between 25 to 34
- ☐ C) 35 歲 至 49 歲 Between 35 to 49
- ☐ D) 50 歲 至 64 歲 Between 50 to 64
- ☐ E) 18 歲以下或 64 歲以上 Below 18 or above 64

### 2) 您的最高學歷 / 教育水平？ What is your highest academic qualification/ education level?

- ☐ A) 小學或以下 Primary education or below
- ☐ B) 中學 Secondary education
- ☐ C) 大專/副學士/文憑 Tertiary/ associate degree/diploma
- ☐ D) 大學 Bachelor
- ☐ E) 碩士或以上 Master or above

### 3) 以下哪一項最符合您投資的回報要求？ Which of the following best describes your investment objective?

- ☐ A) 我不想有任何損失資本的風險。我可以接受低於通脹率的回報。I am not willing to accept any amount of capital loss. My expected return can be lower than the inflation rate.
- ☐ B) 我希望保障我的財富。我願意承受少量風險以獲取至少緊貼通脹率的回報。I wish to preserve my capital and am willing to accept little risk for an expected return similar to the inflation rate.

- ☐ C) 我希望投資能提供入息，而資本也能維持相對穩定。I wish to obtain a regular stream of stable income and capital growth.
- ☐ D) 我希望可以賺取略高於通脹率的回報以達成未來數年的財務目標。我可以接受已預計的風險。I wish to obtain an expected return slightly higher than inflation rate in order to achieve my financial objectives in the coming years. I am willing to accept the expected risk.
- ☐ E) 我有剩餘資金可作投資用途，以爭取資本增值。我願意接受一些潛在損失及適度的風險，以追求高於通脹率的回報。I have set aside a portion of net worth for investments to achieve capital growth. I am willing to accept a certain degree of potential capital loss and risk for an expected return above the inflation rate.
- ☐ F) 我想賺取遠高於通脹率的回報。賺取長期高回報率的潛力比保本更為重要。I wish to achieve an expected return much higher than the inflation rate. High capital appreciation potential is more important than capital preservation.

**4) 您預期中的投資年期為多久？ What is your expected investment horizon?**

- ☐ A) 少於 1 年 Less than 1 year
- ☐ B) 1 年至 3 年 1 to 3 year(s)
- ☐ C) 4 年至 6 年 4 to 6 years
- ☐ D) 7 年至 10 年 7 to 10 years
- ☐ E) 10 年以上 More than 10 years

**5) 您會願意投資於波動程度多大的產品？ What level of fluctuation in the value of products will you be willing to commit?**

注意：您的答案應反映於一般情況下能接受的波動程度。Note: Your answer should reflect only on volatility level under normal circumstances.

- ☐ A) 於-5%至+5%之間的波動 Fluctuation between -5% to +5%
- ☐ B) 於-10%至+10%之間的波動 Fluctuation between -10% to +10%
- ☐ C) 於-15%至+15%之間的波動 Fluctuation between -15% to +15%
- ☐ D) 於-20%至+20%之間的波動 Fluctuation between -20% to +20%
- ☐ E) 於-20%以下至+20%以上之間的波動 Fluctuation more than -20% to +20%

**6) 您過去 24 個月曾持有哪些投資產品？（可選擇多於一項） In the last 24 months, Which of the following products have you ever held during the past 24 months? (Can tick more than one item)**

- ☐ A) 保證金交易 / 期貨 / 期權 / 股票期權 / 累計認股證 / 遠期合約 / 涉及結構性產品的信貸相連票據。  
Margin trading / futures / options / stock options / accumulators / forward contracts / Credit Linked Notes with exposure to structured products
- ☐ B) 股票 / 股票相連投資(非藍籌) / 投資於新興市場、地區市場、單一國家或單一行業的投資基金 / 對沖基金 / 外匯期權 / 含期權產品。Equity / equity linked investment (non-blue chips) / investment funds exposed to emerging markets, regional markets, single country or single sector / hedge fund / foreign exchange options / option embedded products.

- ☐ C) 股票 / 股票相連投資(藍籌) / 環球股票投資基金 / 均衡基金 / 投資於新興市場、地區市場、單一國家的債券投資基金 / 高收益債券投資基金 / 外幣掛鉤存款 / 不涉及結構性產品的信貸相連票據。 Stock / Equity linked investment (blue chips) / Global Equity Investment Funds / Balanced Funds / Bond Funds exposed to emerging markets, regional markets, single country / High Yield Bond Fund / Currency Linked Deposits / Credit Linked Notes without exposure to structured products.
  - ☐ D) 債券 / 環球債券投資基金 / 外幣。 Bonds / Global Bond Fund / foreign currency
  - ☐ E) 存款證 / 保本型投資產品 / 貨幣市場基金。 Certificates of deposits / capital preservation investment products / money market funds
  - ☐ F) 過去24個月未持有以上投資產品，惟過去24個月之前曾投資於上述部分產品或其他金融產品。 None of the above investment products during the past 24 months but holding some of the above products or other financial products prior to the past 24 months
  - ☐ G) 迄今從未持有任何投資產品。 Never held any investment products so far
- 7) 您投資於金融產品(包括存款證、外幣、股票、投資基金、信貸相連票據、結構性產品、債券、期貨、認股權證、商品等)的經驗有多久? How long is your investment experience in financial products (including certificates of deposits, foreign currency, stocks, investment funds, credit linked notes, structured products, bonds, futures, warrants, commodities, etc.)?
- ☐ A) 全無經驗 No experience at all
  - ☐ B) 少於 1 年 Less than 1 year
  - ☐ C) 1 年至 2 年以下 1 year but less than 2 years
  - ☐ D) 2 年至 5 年以下 2 years but less than 5 years
  - ☐ E) 5 年或以上 5 years or above
- 8) 您每月的總收入(包括薪金、投資收入、租金、家用等)是多少? What is your total monthly income (including salaries, investment income, rental income, housekeeping money, etc.)?
- ☐ A) 港幣 4,000 元或以下 HKD4,000 or below
  - ☐ B) 港幣 4,001 元至 10,000 元 Between HKD4,001 to 10,000
  - ☐ C) 港幣 10,001 元至 20,000 元 Between HKD10,001 to 20,000
  - ☐ D) 港幣 20,001 元至 40,000 元 Between HKD20,001 to 40,000
  - ☐ E) 港幣 40,001 元至 80,000 元 Between HKD40,001 to 80,000
  - ☐ F) 港幣 80,000 元或以上 HKD80,000 or above
- 9) 您一般可以將稅後收入的多少百分比留作儲蓄或投資之用? What is the percentage of after-tax income reserved for the use of savings or investment?
- ☐ A) 5%或以下 5% or below
  - ☐ B) 超過 5%，但不多於 10% Over 5%, but less than 10%
  - ☐ C) 超過 10%，但不多於 20% Over 10%, but less than 20%
  - ☐ D) 超過 20%，但不多於 25% Over 20%, but less than 25%
  - ☐ E) 超過 25% Over 25%

**10) 您的可投資資產的總值是 (這等於您所有投資組合及現金的總和(不包括自住物業價值)再減去私人貸款及信用卡結欠): What is the value of your total asset you can set aside for investment (which is**

**equal to the sum of all of your investment portfolio and cash (excluding the value of self-occupied property) minus personal loans and credit card balances):**

- ☐ A) 港幣 8,000,000 元以上      HKD 8,000,000 or above
- ☐ B) 港幣 4,000,001 至 8,000,000 元      Between HKD4,000,001 to HKD 8,000,000
- ☐ C) 港幣 2,000,001 至 4,000,000 元      Between HKD2,000,001 to HKD4,000,000
- ☐ D) 港幣 1,000,001 至 2,000,000 元      Between HKD1,000,001 to HKD2,000,000
- ☐ E) 港幣 500,001 至 1,000,000 元      Between HKD500,001 to HKD1,000,000
- ☐ F) 港幣 100,001 至 500,000 元      Between HKD100,001 to HKD500,000
- ☐ G) 港幣 100,000 元以下      Below HKD100,000

**備註: Note:**

本問卷及測試結果僅供參考，並不構成投資建議，亦不得視為建議游說買賣任何投資產品或服務。本問卷並不能取代獨立的專業意見。本公司及其相關公司對本問卷內容及結果的準確性及完整性概不作出任何保證。閣下應定期檢討投資策略。如有需要，閣下可於日後再次填寫本問卷以重新評估閣下的風險評估。

This questionnaire and the test results are for reference only. It does not constitute investment advice and should not be regarded as a solicitation for an offer to buy or sell any investment products or services. The questionnaire is not a substitute for independent professional advice. Vision Quest International Futures Company Limited and its associated companies shall not give any guarantee for the accuracy and completeness of the content of the questionnaire and the results. You should regularly review your investment strategy. If necessary, you may complete the questionnaire again in the future in order to re-evaluate your risk appetite.

投資涉及風險。過往的表現不能作為日後表現的指標。

Investment involves risk. Past performance is not indicative of future performance.

請將十條問題的得分加起來並在方格內寫出閣下的風險分數：

Please total the scores for the ten questions and write your risk score in the box :

風險分數 Risk Score	風險評估描述 Risk Profile Description
7-20	<b>風險評估 1：保守 Risk Profile 1: Conservative</b> 閣下接受較低的風險及價格波動，和較低的投資回報 You can accept a low level of risk and price fluctuation on your investment coupled with a low level of potential return
21-32	<b>風險評估 2：中度 Risk Profile 2: Moderate</b> 閣下接受低至中風險及價格波動，和一些投資回報 You can accept a low to moderate level of risk and price fluctuation on your investment coupled with some potential return
33-45	<b>風險評估 3：均衡 Risk Profile 3: Balanced</b> 閣下接受中至高風險及價格波動，並以資本增長為中期目標 You can accept a moderate to high level of risk and price fluctuation on your investment, and aimed at a medium term capital growth
46-57	<b>風險評估 4：增長 Risk Profile 4: Growth</b> 閣下接受高風險及價格波動，並以資本增長為短期目標 You can accept a high level of risk and price fluctuation on your investment, and aimed at a short term capital growth
58-66	<b>風險評估 5：進取 Risk Profile 5: Aggressive</b> 閣下接受最高風險及價格大幅波動，並以高資本增值為目標 You can accept the highest level of risk and price fluctuation on your investment, and aimed at maximum capital growth

## 適合性聲明: Suitability Declaration:

本人/吾等明白及同意 (任選其一) I / We understand and agree that (choose either one)

- ☐ 根據本人/吾等填寫的【風險評估問卷】時披露現時的需要及投資風險概況，有關產品之特色及其風險級別與本人/我們所選擇的風險承受程度均適合本人/我們。

In accordance with my/our investment needs and risk profiles as set out in the Risk Profiling Questionnaire, the characteristics of the product(s) and its risk rating is appropriate to my/our risk tolerance level.

- ☐ 儘管根據本人/吾等填寫的【風險評估問卷】時披露的現時需要及投資風險概況，有關產品之特色及/或風險級別及/或本人/吾等選擇的相關投資組合可能並不適合本人/我們，但本人/吾等確認基於上述原因，本人/吾等打算及意欲選擇本風險承受程度。本人/吾等進一步承認，盡管已有前述條文，本人/吾等已決定根據本人/吾等的獨立決策，投資於產品風險較高的衍生產品、投資基金和/或其他金融產品。

In accordance with my/our investment needs and risk profiles as set out in the Risk Profiling Questionnaire, the characteristic of the product(s) and/or its risk rating and/or my/our selected mix of investment portfolios may not be suitable for me/us, however, I/we confirm that it is my/our intention and desire to accept the higher level of risks with regard to the reason(s) stated below. I/We further confirm that, notwithstanding the foregoing, I/we shall, based on my/our independent judgment, proceed to make investment in derivatives products, investment funds and/or other financial products of higher risks.

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## Acknowledgement of Receipt

本人謹此確認已收到已填寫及簽署之【風險評估問卷】的副本。

I hereby confirm that I have received a copy of this completed and signed Risk Profiling Questionnaire.

客戶簽署:

Signature of Customer:

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日期(日/月/年):

Date (DD/MM/YYYY):

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## 填寫及簽署人

Completed and signed by

客戶簽署：

Signature of Customer:

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客戶全名：

Full Name of Customer:

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客戶身份證號碼：

Identity No. of Customer:

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日期(日/月/年)：

Date (DD/MM/YYYY):

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## 見證人

Witness

證監會持牌人簽署：

Signature of SFC licensed Representative:

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證監會持牌人姓名：

Full name of SFC licensed representative:

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持牌人中央編號：

CE No. of SFC Licensed Representative:

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日期(日/月/年)：

Date (DD/MM/YYYY):

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***For Internal Use Only***

Signature verified by:	Document checked by:	Approved by:
Sign: Date:	Sign: Date:	Sign: Date:

**風險評估計分表 Risk Profile Calculation Table**

根據下表計算客戶的得分： Please calculate client scores according to the table below:

問題 Question	A	B	C	D	E	F	G	客戶答案 Client answers	客戶得分 Client scores
問題 1 Question 1	1	3	5	3	1				
問題 2 Question 2	1	2	3	5	7				
問題 3 Question 3	1	1	3	5	7	9			
問題 4 Question 4	1	2	3	5	5				
問題 5 Question 5	1	3	5	7	9				
問題 6 Question 6	9	7	5	3	1	1	0		
問題 7 Question 7	1	3	5	5	7				
問題 8 Question 8	0	1	2	3	4	5			
問題 9 Question 9	1	2	3	4	5				
問題 10 Question 10	5	5	3	3	2	1	0		

\* 由於問題可選擇多於一個答案，計算得分時請選用得分最高的答案。

\* As multiple answers may be possible, only the answer carrying the highest score is counted in the calculation.