



弘歷環球證券有限公司

HOMILY WORLDWIDE SECURITIES COMPANY LIMITED

Client's Name:

客戶姓名

Account No.:

賬戶號碼

### Risk Profile Questionnaire 風險評估問卷

Please answer the following questions. They will help you to understand your attitude to risk.

請回答下列問題，這些問題可以幫閣下了解自己對投資風險的取態。

Q1. What is your estimated amount of trades volume in the past 12 months? 請問閣下過去一年的總投資金額為何？

- ☐ None (無) (0)
- ☐ Less than HK\$50,000 (少於港幣 \$50,000) (2)
- ☐ Between HK\$50,000 and HK\$149,999 (港幣 50,000 至港幣 \$149,999) (3)
- ☐ Between HK\$150,000 and HK\$499,999 (港幣 \$150,000 至港幣 \$499,999) (4)
- ☐ Between HK\$500,000 and HK\$999,999 (港幣 \$500,000 至港幣 \$999,999) (5)
- ☐ Between HK\$1,000,000 and HK\$7,999,999 (港幣 \$1,000,000 至港幣 \$7,999,999) (6)
- ☐ HK\$8,000,000 or more (港幣 \$8,000,000 或以上) (7)

Q2. How many dependents do you have (including spouse, children, or parents) 你所需要供養人數 (包括配偶, 子女或父母)?

- ☐ None 無 (4) ☐ 1-2 人 (3) ☐ 3-4 人 (2) ☐ more than 4 多於四人 (1)

Q3. How many months of your share of household expenses have you put aside to meet unforeseen events?

你儲備作不時之需的金額, 大約相等於你多少個月的家庭開支?

- ☐ Have no amount set aside for unforeseen events 我沒有儲備金額作不時之需 (0) ☐ Between 7 and 12 months 7 至 12 個月 (3)
- ☐ Less than 3 months 少於 3 個月 (1) ☐ Between 1 and 2 years 1 至兩年 (4)
- ☐ Between 3 and 6 months 3 至 6 個月 (2) ☐ Over 2 years 兩年以上 (5)

Q4: Which of the following return objective most closely reflect your personal investment goal? 下列哪一項是最貼近你的個人投資目標?

- ☐ Capital preservation with a return similar to bank deposit rate 資本保障同時賺取接近銀行利率的回報 (1)
- ☐ Earn fixed interest income 賺取定息收益 (2)
- ☐ Stable, balanced income and capital growth 穩定均衡收益及資本增長 (3)
- ☐ Gradual long-term capital growth 逐步累積的長線資本增長 (4)
- ☐ Maximize capital growth as soon as possible 盡快賺取最大的資本增長 (5)

Q5: What is your expectation on the investment return? (Assuming inflation rate is greater than zero) 你期望的投資回報是多少? (假設通脹率 >= 0%)?

- ☐ Same as inflation rates (與通脹率一樣) (1)
- ☐ 2% higher than inflation rates (在通脹率以上至高於通脹率 2%) (2)
- ☐ 2-5% higher than inflation rates (高於通脹率 2% 以上至 5%) (3)
- ☐ 5-8% higher than inflation rates (高於通脹率 5% 以上至 8%) (4)
- ☐ More than 8% higher than inflation rates (高於通脹率 8% 以上) (5)

Q6: What level of fluctuation of investment product would be acceptable to you? 你願意接受有多大波動程度的投資產品?

- ☐ 0%, indicating zero risk tolerance. (0%, 代表完全不能有價格波動) (1)
- ☐ Between -5% and +5% (-5% 至 +5% 之間) (2)
- ☐ Between -10% and +10% (-10% 至 +10% 之間) (3)
- ☐ Between -25% and +25% (-25% 至 +25% 之間) (4)
- ☐ Between -50% and +50% (-50% 至 +50% 之間) (5)
- ☐ Total loss (全部損失) (6)

Q7: It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What time horizon would you generally plan with when investing in products the value of which can fluctuate? 一般而言, 投資者計劃的投資期限越長, 意味著能承受的風險越高。你投資時會對投資期限做什麼樣的計劃?

- ☐ Less than 1 years (< 1 年) (1)
- ☐ 1 to 3 years (1-3 年) (2)
- ☐ 4 to 6 years (4-6 年) (3)
- ☐ 7 to 10 years (7-10 年) (4)
- ☐ Over 10 years (>10 年) (5)

v.20240916



弘歷環球證券有限公司

HOMILY WORLDWIDE SECURITIES COMPANY LIMITED

Q8. Which of the following is your response to fluctuation in investments? 下列哪一項是你對投資項目出現波動時的反應?

- ☐ I will cut loss very soon and will not invest anymore 我會盡快止蝕及不再投資 (1)
- ☐ I will replace my portfolio by a better alternative 我會投資更好項目從而取銷現在的投資項目 (2)
- ☐ I will wait for at least one year before making changes 我會觀察一年以上才作出變動 (3)
- ☐ I will keep my current portfolio and buy more if the market prices go down 我會繼續持有現在的投資項目並趁低吸納 (4)

Q9. What will you do to your investment if you need cash for other purposes (e.g. home purchasing, college tuition payment, retirement fund) in the coming 2 years  
你會如何選擇當你在未來兩年內需要套現 (如買樓, 大學學費, 退休金)?

- ☐ I will liquidate all my investments 我會將所有投資項目套現 (1)
- ☐ I will liquidate a large portion of my investments 我會將大部分投資項目套現 (2)
- ☐ I will liquidate a small portion of my investments 我會將小部分投資項目套現 (3)
- ☐ No action will be taken as I have a lot of cash 不會作任何行動因我有大量現金 (4)

Q10. Income from Investment may go up and down. How would you describe your acceptance and attitude towards market fluctuations?  
投資回報可升可跌, 你怎樣形容你對投資市場風險的接受能力及態度?

- ☐ Concern that income/asset will be affected by market fluctuations, and hence unwilling to take up any risk  
憂慮市場波動影響投資回報/資產價值,故不願意承擔任何風險 (1)
- ☐ Accept minor fluctuations for the opportunity to grow capital  
願意承擔輕微程度市場風險,以換取資金增值的機會 (2)
- ☐ Accept moderate fluctuations for the opportunity of assets enhancement and better capital returns  
願意承擔中等程度市場風險,以加強資金增值及投資回報的機會 (3)
- ☐ Accept higher risks from market fluctuations, believe long-term investing can average out short-term volatility and higher potential growth can be achieved accordingly  
願意承擔較高程度市場風險,相信短期波動無礙長線投資以獲取較高的投資回報 (4)

Q11: Which of the following best describes your risk attitude towards investment value fluctuations? 以下哪一項最適合用來形容你對投資風險的態度?

- ☐ Risk adverse – I would be very concerned about any volatility; I am not comfortable with fluctuations in the values of my investment portfolio.  
避免風險 – 我是相當保守的投資者,我不願意所從事的投資有任何價格波動。(1)
- ☐ Conservative – I am conservative, but can accept some minor fluctuations in my portfolio's value and some potential loss of principal. I am more concerned with preserving my principal and earning income that maximizing capital appreciation.  
平穩保守 – 我是保守的投資者,我可以接受所從事的投資有少許價格波動及可能損失部分投資本金,但比較注重保本及收益。(2)
- ☐ Moderate – I have a moderate investment attitude and accept that the potential for higher returns means accepting fluctuations in my portfolio's value and possible loss of principal.  
中度風險 – 我瞭解風險與高回報息息相關,因此我願意接受從事的投資有價格波動情況,及可能損失投資本金。(3)
- ☐ Long-term Growth – My main goal is long-term capital appreciation; and though I would be concerned about major fluctuations and increased risk of loss, I can accept considerable investment volatility.  
長期增長 – 我以追求長期資本增值為主。雖然我會關注所從事的投資有較大的價格波動及損失風險,但我可以接受相當的投資波動。(4)
- ☐ Aggressive – I want my investments to grow and earn the highest possible return. I can accept negative fluctuations and possible loss of my principal.  
進取增長 – 我期望透過投資增長而達至最高回報。我能接受價格下跌及可能損失投資本金。(5)

Q12: In which age group do you fall into? 請問閣下的年齡區間?

- ☐ Age Between 18 and 35 ( 18 至 35 歲 ) (3)
- ☐ Age Between 36 and 50 ( 36 至 50 歲 ) (4)
- ☐ Age Between 51 and 65 ( 51 至 65 歲 ) (2)
- ☐ Age over 65 ( 65 歲或以上 ) (1)

Q13. Education Level: ☐ Primary School or Below(1) ☐ Secondary School graduates (2) ☐ Certificate or Diploma (3) ☐ Undergraduate (3) ☐ Post-graduate or above(4)  
學歷程度: (copy from above) 小學程度或以下 中學畢業 證書或文憑 大學畢業 研究生或以上

Q14. Annual Income (in HKD\$) 每年收入(以港幣計算): (Copy from above)

- ☐ Less than 少於 \$200,000 (1)
- ☐ \$200,000 ~ \$399,999 (2)
- ☐ \$400,000 ~ \$599,999 (3)
- ☐ \$600,000 ~ \$799,999 (4)
- ☐ \$800,000 ~ \$999,999 (5)
- ☐ More than 多於 \$1,000,000 (6)

Q15. How many years of investment experience do you have? 你有多少年投資經驗? (Copy from above)

- ☐ Nil 沒有 (1)
- ☐ 1-5 years 年 (2)
- ☐ 6-10 years 年 (3)
- ☐ >10 years 年 (4)

Q16. What percentage of your yearly income is available for investment 你的投資金額佔你的每年收入百分比? (Copy from above)

- ☐ <10% (1)
- ☐ 10%-20% (2)
- ☐ 21% - 30% (3)
- ☐ > 30% (4)

v.20240916



弘歷環球證券有限公司

HOMILY WORLDWIDE SECURITIES COMPANY LIMITED

Q17. Approximate net value of my assets (in HKD\$) (including real estates, cash deposits at Bank, shares, bonds, warrants, Funds)

資產淨值約值 (以港幣計算) (包括物業、銀行存款、股票、債券、認股權證、基金) (Copy from above)

- ☐ Less than 少於 \$1,000,000 (1) ☐ \$1,000,000 ~ \$3,999,999 (2) ☐ \$4,000,000 ~ \$8,999,999 (3) ☐ <\$9,000,000~ \$14,999,999 (4)  
☐ <\$15,000,000~ \$19,999,999 (5) ☐ <\$20,000,000~ \$24,999,999 (6) ☐ >\$25,000,000 (7)

Years of investing experience for ..... 關於 ..... 投資經驗年期 (Check the C2 answer and pick the right group.)

Shares Q18 股票	CBBC Q19 牛熊證	Futures Q20 期貨	Warrants Q21 衍生權證 (窩輪)	Options Q22 期權	Unit Trusts or Bonds Q23 單位託基金或債券	Structured Product Q24 結構性產品	ETFs Q25 交易所買賣基金
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> None (無) (0)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Less than one year (少於 1 年) (1)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Between 2 and 3 years (2 至 3 年) (2)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Between 4 and 5 years (4 至 5 年) (3)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Between 6 and 10 years (6 至 10 年) (4)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> More than 10 years (10 年以上) (5)

Q26. Have you undergone relevant training or attended relevant courses on investment products (securities, derivatives)?

你曾否接受有關股票及衍生產品的培訓或修讀相關課程?

- ☐ No (0) ☐ Yes (2)

Q27. Do you have current or previous working experiences related to securities and derivatives products?

你曾否擁有與衍生產品有關的工作經驗?

- ☐ No (0) ☐ Yes (3)

Please be noted that the above questionnaire and your answer will be assessed only for the purpose of determining your investment risk profile. Nothing contained therein should be constructed as authorizing or instructing Homily Worldwide Securities Company Limited (named below "HWSCL") in any way. The questionnaire's references to expected returns and potential losses are for illustrative purposes only. They may not be constructed as indicating that the adoption of a specific risk appetite may correspond to a specific level of return or loss, nor may they be constructed as an expression of guarantee of any actual investment result in any way.

請注意以上問卷及答案僅用於評估閣下的投資風險屬性。當中的任何陳述或選擇均不得視為弘歷環球證券有限公司(下稱"弘歷證券")做出任何特定授權或指示。問卷內所提及目標回報率或虧損亦僅作為說明用途，並不代表選擇任何特定風險會取得相對應回報，或預期虧損限制在所指定範圍，亦不保證與實際投資的結果相符。

### Classification of Customer Investment Risk Profiles 客戶投資風險屬性分類

[ 1 + 2 + 3 + 4 + 5 + 6 + 7 + 8 + 9 + 10 + 11 + 12 + 13 + 14 + 15 + 16 + 17 + 18 + 29 + 20 + 21 + 22 + 23 + 24 + 25 + 26 + 27 ] (Mark the score of above questions.)

[Total Score = Calculate the sum of above scores.]

According to your answers in the questionnaire above, your total score is \_\_\_\_\_.

根據閣下對以上問卷的答案，依照您的回答總計得分為 \_\_\_\_\_。

(Note: In case the client is 65 or over, the risk tolerance level should be classified as Conservative disregarding his/her score above. (display 1. Conservative ONLY for the following classification) 如客戶年齡是 65 歲或以上，不論其總分如何，其風險承受能力應設定為保守型。)

Please refer to the "Description of Client Investment Suitability Classification". Your investment risk profile is classified as:

您可參照「客戶投資屬性分類的說明」。弘歷證券僅將您的投資風險屬性分類如下：

1. Conservative 保守型      2. Balanced 平衡型      or 或      3. Aggressive 進取型

☐ I disagree to the classification abovementioned, and would like to be : ☐ Conservative ☐ Balanced ☐ Aggressive, and understand and agree with the risk level.

本人不同意上述投資風險屬性歸類，本人欲重新歸類至: ☐ 保守型 ☐ 平衡型 ☐ 進取型，並確認本人明白及同意於此風險承擔能力水平

v.20240916



Description of Client Investment Suitability Classification 客戶投資屬性分類的說明

Total score 得分	Risk tolerance level 風險承受能力	Investment risk profiles 投資取向	Recommended risk level of investment products 建議投資產品風險水平
<35	Conservative 保守型	You can bear low level of investment risks with a main concern of principal protection. 閣下能承受的投資風險極低，最關注保本。	LOW 低風險
35-74	Balanced 平衡型	You can bear medium level of investment risks. You expect a balanced portfolio among principal protection, fixed interest and capital gain. 閣下能承受中度投資風險。閣下期望組合在保本、定息與資本收益間取得平衡。均衡分配不同類別資產的投資組合可能適合閣下考慮。	MEDIUM 中風險
>74	Aggressive 積極型	You can bear very high risks. You are looking for adventurous and speculative investment products. Even so, you are suggested to strictly execute stop-loss and limit selling price investment principles to achieve your goal. 閣下能承受高度風險。閣下物色進取及投機的投資產品。即使如此，建議閣下嚴格執行止蝕及止賺價的投資準則，以實現閣下的目標。	HIGH 高風險

Please be noted that your investments with HWSCL will be restricted to the eligible products applied to your assigned risk profile as indicated in the table above unless you chose to opt out of the assigned risk profile. You may opt out of the assigned risk profile by clicking the above “disagreement” and selection of risk level.

請注意，除非閣下再次更新您的風險屬性，否則閣下於弘歷環球證券有限公司的投資將僅限於上表符合閣下風險屬性之商品範圍內。閣下如欲交易您風險承受能力以外的商品，可以點選“不同意”和選擇您的風險屬性。

Investment involves risks. Investors should note that value of investments can go down as well as up and past performance is not necessarily indicative of future performance. This document does not and is not intended to identify all of the risks that may be involved in the products or investments referred to in this document.

Investors must make investment decisions in light of their own investment objectives, financial position and particular needs and where necessary consult their own professional advisers before making any investment. Investors should read and fully understand all the offering documents relating to such products or investments and all the risk disclosure statements and risk warnings therein before making any investment decisions.

投資涉及風險。投資者應注意，投資的價值可跌亦可升，過往的表現不一定可以預示日後的表現。本文件並非，亦無意總覽本文件所述產品或投資可能牽涉的所有風險。投資者須基於本身的投資目標、財政狀況及特定需要而作出投資決定；在有需要的情况下，應於作出任何投資前諮詢獨立專業顧問。於作出任何投資決定前，投資者應細閱及了解有關該等產品或投資的所有發售文件，以及其中所載的風險披露聲明及風險警告。

I/We confirm that I understand and agree with the result of this Risk Profile Questionnaire.

本人確認本人明白及同意於此風險承擔能力問卷之結果

Signature of Account Holder

賬戶持有人簽署

\_\_\_\_\_

Name of Account Holder

賬戶持有人姓名

\_\_\_\_\_

\*\*Joint client is required to complete this questionnaire separately 聯名客戶需填寫另外一份問卷

Date 日期：\_\_\_\_\_