中信証券經紀(香港)有限公司 (“中信証券經紀香港”) 中信証券期貨(香港)有限公司 (“中信証券期貨香港”)
CITIC Securities Brokerage (HK) Limited (“CSBHK”) CITIC Securities Futures (HK) Limited (“CSFHK”)

風險評估問卷 (“問卷”) - 只適用於非資深法團專業投資者 / 非機構專業投資者
Risk Profiling Questionnaire (the “Questionnaire”) – Applicable to non-Experienced Corporate Professional Investors/non-Institutional Professional Investors

這份問卷是根據閣下/貴公司可承受風險的能力及風險接受程度以評估閣下的風險取向。如閣下/貴公司的情況或投資目標有變，請儘快聯系我們及更新有關資料，以便重新評估閣下/貴公司的投資風險取向。

The objective for this Questionnaire is to help you understand more about your attitude towards risk based on your ability to take risk and your risk tolerance level. If your situation or investment goals changes, you should approach us and update your information in this questionnaire as soon as possible to re-assess your risk profile.

客戶名稱：
Client Name： ______________________

證券/期貨帳戶號碼：
Securities/Futures Account Number： ______________

請選擇適當答案。Please choose the appropriate answer.

Part A：Risk Profile and Investment Needs
甲部： 風險承擔程度及投資需要

1. 如閣下/貴公司以部分資產作出投資，可接受的最長投資期是？
What is the longest investment period which you would be willing to commit **a portion of your investable funds** for?

☐ (A) 少於 1 年 Less than 1 year
☐ (B) 1 至 2 年 Between 1 and 2 years
☐ (C) 2 至 4 年 Between 2 and 4 years
☐ (D) 4 至 7 年 Between 4 and 7 years
☐ (E) 多於 7 年 Over 7 years

2. 以下哪一描述最能表達閣下/貴公司對投資目的？
Which of the following statements best describes your / your company’s investment goal?

☐ (A) 要求保本，即使回報率較低甚至沒有增長
We want to preserve capital even if it means little to no gains
☐ (B) 希望有穩定投資回報，並較銀行存款利率為高
We are looking for a stable stream of income that is higher than what bank deposits can provide.
☐ (C) 要求結合經常性收入，以及一些資本增長
We are looking for a combination of regular income as well as some capital growth
☐ (D) 要求大量長遠資本增長
We are looking for substantial long term capital growth.
☐ (E) 要求高資本增長
We are looking for high capital growth.

3. 假設投資基本面沒有任何改變時, 請問你對在投資組合中風險最高的投資價值下跌的投資決定如何（例如公司前景處理沒有改變，但股價仍然下跌）？ What would be your response to a drop in value of the **highest risk investment in your portfolio** absent any changes to that investment’s fundamentals (for instance the company’s outlook has not changed but the stock price has nonetheless dropped)?

☐ (A) 不論價格只是輕微下跌， 也即時沽出投資以減低損失
Sell that investment immediately to avoid further losses, even if the drop in value is small.
☐ (B) 雖價格下跌令閣下感覺有壓力，也只會沽出虧損較大的投資產品
Although any drop in value would make you feel quite uneasy, only sell if the drop in value is significant
☐ (C) 沽出部份投資產品以減低損失，但視乎該投資項目基本面的變化 ，仍會維持投資
Sell some of the investment to decrease exposure but otherwise maintain the investment subject to any change in the fundamentals of the investment
☐ (D) 雖然價格有所波動， 但如未到任何止蝕位及視乎該投資項目基本面的變化，仍會維持投資
Maintain the investment through any price fluctuations as long as it does not hit any stop loss and subject to any change in the fundamentals of the investment.
☐ (E) 除非該投資項目基本面產生變化，否則不論虧損多大，仍會維持投資
Maintain the investment no matter how large the losses and only sell if there was a change in the fundamentals of that investment

4. 按閣下/貴公司的總資產淨值 (不包括自用物業) 比例，投資多少在股票市場會令你感到安心？
What percentage of your total net wealth (excluding the value of your self-use properties) do you feel comfortable investing in financial products (such as stocks, structured investment products, warrants, options, futures)?

☐ (A) 0% 0%
☐ (B) 少於 20% Less than 20%
☐ (C) 20% 至少於 40% 20% to less than 40%
☐ (D) 40% 至少於 60% 40% to less than 60%
☐ (E) 大過 60% Over 60%

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5. 閣下/貴公司期望的投資組合整體回報是多少 (假設通脹率高於或相等於 0%)？ What is your expected return for **<u>your investment portfolio as a whole</u>** (assuming the inflation rate is higher than or equal to 0%)?

☐ (A) 與通脹率一樣 The same as the inflation rate
☐ (B) 在通脹率以上至高於通脹率 2% Greater than and up to 2% above the inflation rate
☐ (C) 高於通脹率 2% 以上至 5% Greater than 2% and up to 5% above the inflation rate
☐ (D) 高於通脹率 5% 以上 至 8% Greater than 5% and up to 8% above the inflation rate
☐ (E) 高於通脹率 8% 以上 Greater than 8% above the inflation rate

6. 假設閣下/貴公司去年購買了某公司的股票而你計劃的投資年期為 5 年，現時股價比去年增加了 30%，市場上沒有任何消息、資料顯示該公司有潛在或重大的轉變。在這情況下，你會：Suppose you/your company purchased a stock one year ago planning for a time horizon of five years. Since then its share price has increased by 30%. There is no news or market information about any potential or material changes in the company. In this case, you will:

☐ (A) 變賣所有股票，獲取所有利潤 Sell all your shares to secure the profit
☐ (B) 一方面變賣 2/3 股票，獲取大部份利潤，另一方面繼續持有餘下的股票並期望股價會在未來上升
Sell 2/3 of shares to secure a major part of profit while retaining 1/3 to benefit from any further increase in stock price
☐ (C) 一方面變賣 1/3 股票，獲取小部份利潤，另一方面繼續持有餘下的股票並期望股價會在未來上升
Sell 1/3 of shares to secure a minor part of profit while retaining 1/3 to benefit from any further increase in stock price
☐ (D) 繼續持有股票，等待更高股價才變賣 Hold on and wait for a higher selling price
☐ (E) 趁股價有上升的趨勢，繼續購入股票 Buy more to take full advantage of the upward trend

7. 在一段時間之內，投資價值可升可跌，我們稱之為「波動」。一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反，風險愈低的投資，其潛在波動愈小，但潛在回報亦相對較低。在一般情況下，閣下/貴公司會願意投資於波動程度多大的投資產品？**(注意：於此描述的投資波動數字只供說明之用，閣下/貴公司不應倚賴此等數字作為於本公司進行投資的損失之損失/回報指引。)** Over a period of time the value of investments can rise and fall, we call it "fluctuation". Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. In general, which of the following return profiles is most attractive to you? **(Note: Fluctuation figures here are for illustrative purpose only. You should not rely on such figures to be indicative of your investment gain/loss with us.) [Watermark question]**

☐ (A) 於-5% 至 +5% 之間的波動
Fluctuation between -5% and +5%
☐ (B) 於-10% 至 +10% 之間的波動，以期取得潛在資本回報。
Fluctuation between -10% and +10% for the opportunity of potential capital return.
☐ (C) 於-15% 至 +15% 之間的波動，以期取得較佳的潛在資本回報。
Fluctuation between -15% and +15% for the opportunity of better potential capital return.
☐ (D) 於-20% 至 +20% 之間的波動，以期取得更高的潛在資本回報。
Fluctuation between -20% and +20% for the opportunity of higher potential capital return.
☐ (E) 於-20% 以下或+20% 以上之間的波動。我相信長期投資可以抵銷短期波動，並可以取得更高的潛在資本回報。
Fluctuation beyond -20% or +20%. I believe in long-term investment can average out short-term volatility and achieve higher potential capital return.

總分數：
Total Score: ____________________ [A=1, B=2, C=3, D=4 and E=5]

客戶的風險評級：
Client's Risk Rating (CRR): ____________________
[Q7 is a watermark question, i.e. CRR would be capped at "2" for "A","3" for "B", "4" for "C"]

分析：
Explanations:

	分數 Score	**一般投資者分類 General Risk Profile Category***	**風險比率 Risk Scale**
1	Less than 13 以下	保守 Conservative	極低 Very Low
2	13 - 18	中度保守 Moderately Conservative	低 Low
3	19 - 23	平穩 Balanced	中 Medium
4	24 - 29	中度進取 Moderately Aggressive	高 High
5	30 或以上 or above	進取 Aggressive	極高 Very High

* 詳情請參考上載於本公司網站的風險評估問卷附錄: https://www.csb.com.hk/customer-service.php
For details, please visit the company website for the Risk Profiling Questionnaire Annex: https://www.csb.com.hk/customer-service.php

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Part B：Investor Characterization ("IC")
乙部： 投資者分類

此部分旨在協助評估 閣下是否具備衍生工具知識。本公司將根據 閣下所提供資料，評估 閣下是否了解衍生產品的性質和風險。請回答以下問題並在最符合閣下的陳述的方格加上(✓)號。

This part assesses whether you have knowledge of derivatives. Based on the information provided below, we will assess whether you understand the nature and risks of derivative products. Please answer the following questions and tick the box that best describes you.

請提供以下有關於衍生產品的資料:
With regards to derivative products, please provide the following information:

	是 Yes	否 No
請問閣下在過去三年內，有否進行過五次或以上相關於以下衍生產品的投資交易？(優先股、永久債券、可換股債券、對沖基金、遠期、期權、認股權證、期貨、掉期、合成交易所交易基金、結構性產品、無本金交割遠期外匯、雙幣投資、累計期權 / 累沽期權) Have you made 5 or more investment transactions in the past 3 years in any of the following derivatives products? (preference shares, perpetual bonds, convertible bonds, hedge funds, forwards, options, warrants, futures, swaps, synthetic ETFs, structured produces, non-delivery forward, dual currency investment, accumulator/decumulator)	請加以說明： Please provide details: …………………… …………………… …………………… …………………… …………………… …………………… ……………………	☐
請問閣下有否曾經參與由銀行、金融機構、教育機構或專業組織所舉辦與衍生工具相關之培訓或課程呢？ Have you received any training or attended any courses related to derivatives offered by banks, financial institutions, educational institutions or professional organization?	☐ 銀行 Banks ☐ 其他金融機構 Other financial institutions ☐ 教育機構 Education institutions ☐ 專業組織 Professional organizations 請加以說明： Please provide details: …………………… ……………………	☐
請問閣下是否擁有與衍生產品相關的工作經驗？ Do you have any work experience relating to derivatives products?	請加以說明： Please provide details: …………………… ……………………	☐

評估結果 **Assessment Result**	
☐	具備金融衍生工具的知識（至少有一條的答案是「是」）。With knowledge on financial derivatives (at least one positive answer "yes" in above).
☐	不具備金融衍生工具的知識。Without knowledge on financial derivatives.

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Part C：Personal and Financial Information
丙部： 個人及財務資料

[只適用於個人/聯名戶口] [Applicable to Individual/Joint Accounts only]

1. 你的年齡屬於以下哪個組別？ What is your age?

☐ (A) 65 歲或以上 65 or above *
☐ (B) 55 歲至 64 歲 55-64
☐ (C) 45 歲至 54 歲 45-54
☐ (D) 18 歲至 44 歲 18-44

* 另請填妥"需要特別照顧客戶聲明" Please also fill out the "Vulnerable Customer Declaration"

2. 你的教育程度為？ What is your education level?

☐ (A) 小學或以下 Primary or below *
☐ (B) 中學 Secondary
☐ (C) 專上 Post-Secondary
☐ (D) 大學 University

* 另請填妥"需要特別照顧客戶聲明" Please also fill out the "Vulnerable Customer Declaration"

3. 你每年的收入為？ What is your annual income?

☐ (A) 三十萬港元或以下 HKD 300,000 or below
☐ (B) 三十萬港元以上至八十萬港元 Between > HKD 300,000 to HKD 800,000
☐ (C) 八十萬港元以上至一百二十萬港元 Between > HKD 800,000 to HKD 1,200,000
☐ (D) 一百二十萬港元以上 Over HKD 1,200,000 請註明 Please Specify___________
☐ (E) 零港元 HKD 0 原因 Reason:____

4. 你現時的估計資產淨值大約為？What is your estimated net worth?

☐ (A) 一百萬港元或以下 HKD 1,000,000 or below
☐ (B) 一百萬港元以上至四百萬港元 Between > HKD 1,000,000 to HKD 4,000,000
☐ (C) 四百萬港元以上至八百萬港元 Between > HKD 4,000,000 to HKD 8,000,000
☐ (D) 八百萬港元以上 Over HKD 8,000,000 請註明 Please Specify______________

Type: ☐物業 Property_____________(HKD) ☐現金 Cash_____________ (HKD)
☐股票 Stocks_____________ (HKD) ☐其他 Others____________(HKD)

[只適用於公司/機構戶口] [Applicable to Corporate/Institutional Accounts only]

5. 貴公司的總資產負債率為 [定義為：(流動負債總額+非流動負債總額) / 有形淨資產]？ What is your company's total gearing ratio [defined as: (Total Current Liabilities + Total Non-Current Liabilities) / Tangible Net Worth]?

☐ (A) 200%以上 Over 200%
☐ (B) 100%至 200% Between >100% and 200%
☐ (C) 50%至 100% Between >50% and 100%
☐ (D) 20%至 50% Between >20% and 50%
☐ (E) 20%或以下 20% or below

6. 貴公司未來五年的盈利預期如何？ What is your business's profit expectation in the next five years?

☐ (A) 非常不穩定，很有可能虧損 Very unstable with high possibility to lose money
☐ (B) 不算穩定，虧損的可能性中等 Unstable with medium possibility to lose money
☐ (C) 尚算穩定，虧損的可能性不大 Somewhat stable with low possibility to lose money
☐ (D) 穩定並與經濟增長一致 Stable and in line with economic growth
☐ (E) 非常穩定並優於經濟增長 Very stable and outpacing economic growth

7. 貴公司現時的估計資產淨值大約為？ What is your company's estimated net worth?

☐ (A) 一百萬港元或以下 HKD 1,000,000 or below
☐ (B) 一百萬港元以上至一千萬港元 Between > HKD 1,000,000 to HKD 10,000,000
☐ (C) 一千萬港元以上至四千萬港元 Between > HKD 10,000,000 to HKD 40,000,000
☐ (D) 四千萬港元以上至一億港元 Between > HKD 40,000,000 to HKD 100,000,000
☐ (E) 一億港元以上 Over HKD 100,000,000 請註明 Please Specify_______________

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Part D: Investment Experience and Knowledge
丁部： 投資經驗及知識

1. 閣下/貴公司有否委派專業人士處理投資事宜？
Have you/Has your company appointed professional to handle investment?

☐ (A) 無，而且本人/本公司負責處理投資事宜的人員對投資產品的瞭解並不多
No, and the person handling our company's investments / myself does not have much knowledge on investment products

☐ (B) 無，但本人/本公司負責處理投資事宜的人員對投資產品有基本認識
No, but the person handling our company's investments / myself has basic knowledge on investment products

☐ (C) 無，但本人/本公司負責處理投資事宜的人員對投資產品十分熟悉
No, but the person handling our company's investments /myself has extensive knowledge on investment products

☐ (D) 有 Yes

☐ (E) 有，而且多過一名 Yes, and more than 1 professional

2. 閣下/貴公司或負責處理貴公司投資事宜的人員有多少年投資於以下投資產品的經驗？
How many years of experience do you (or the person handling your company's investment) have in respect of the following investment products?

產品種類 Product Type	沒有 No experience	少過 3 年 Less than 3 years	3 至 6 年 Between 3 and 6 years	7 至 10 年 Between 7 and 10 years	多過 10 年 Over 10 years
i) 現金、存款、存款證，保本產品 Cash, deposits, certificate of deposits, capital protected products	☐	☐	☐	☐	☐
ii) 債券、債券基金、非保本之債券/信用掛鈎結構投資產品 Bonds, bond funds, non-capital protected bond/credit linked structured products	☐	☐	☐	☐	☐
iii) 外幣、商品、非保本之貨幣/商品掛鈎結構投資產品 Foreign currencies, commodities, non-capital protected currency/commodity linked structured products	☐	☐	☐	☐	☐
iv) 股票、交易所交易基金、開放式基金、場內衍生工具(包括認股權證 (俗稱 「窩輪」等等)) 、非保本之股票掛鈎結構投資產品 Stocks, exchange traded funds, open-ended funds, listed derivatives (including covered warrants etc.), non-capital protected equity linked structured products	☐	☐	☐	☐	☐
v) 其他衍生工具產品如期貨/遠期、場內/場外期權、累積/累沽期權、掉期 Other derivatives such as futures/forwards, listed/OTC options, accumulator/ decumulator, swaps	☐	☐	☐	☐	☐
vi) 封閉式基金、設有鎖定期的投資產品、另類投資 (包括私募股權投資等等) Close-ended funds, investment products with lock-up, alternative investments (including private equities etc.)	☐	☐	☐	☐	☐

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3. 閣下/貴公司現在是否持有以下任何投資產品？(你可選擇多於一個選項)
Are you currently holding any of the below investment products? (You can choose more than one answer)

☐ (A) 現金、存款、存款證，保本產品
Cash, deposits, certificate of deposits, capital protected products

☐ (B) 債券、債券基金
Bonds, bond funds

☐ (C) 外幣、非保本之貨幣掛鈎結構投資產品
Foreign currencies, non-capital protected currency linked structured products

☐ (D) 股票、開放式基金 (不包括債券基金或貨幣市場基金)、非保本之股票掛鈎結構產品、具投資成份的保險計劃、商品
Stocks, open-end funds (excluding bond funds & money market funds), non-capital protected equity linked structured products, investment-linked insurance plan, commodities

☐ (E) 期權、期貨、認股權證 (俗稱 「窩輪」)
Options, futures, covered warrants

4. 閣下/貴公司現時已投資於價值波動之投資產品的資產，大概佔閣下/貴公司資產 (不包括自用物業) 的百分之幾？有關價值波動之投資產品的例子，請參閱問題 2 (丁部)。
Approximately what percentage of your assets (excluding own use property) is currently held in investment products where the value can fluctuate? Please refer to Question 2 (Part D) for examples of such products.

☐ (A)	0%	0%
☐ (B)	0%以上 至 10%	Greater than 0% and up to 10%
☐ (C)	10%以上至 25%	Greater than 10% and up to 25%
☐ (D)	25%以上至 50%	Greater than 25% and up to 50%
☐ (E)	50%以上	Over 50%

5. 在一般情況下，投資的年期越長，風險越高。當投資於價值波動之投資產品時，閣下/貴公司會願意接受下列哪項投資年期？有關價值波動之投資產品的例子，請參閱問題 2 (丁部)。
It is generally true that the longer the investment horizon, the higher the risk. What time horizon would you generally be comfortable with when investing in products the value of which can fluctuate? Please refer to Question 2 (Part D) for examples of such products.

☐ (A)	少過 1 年	Less than 1 year
☐ (B)	1 年 至 3 年	Between 1 and 3 years
☐ (C)	4 年 至 6 年	Between 4 and 6 years
☐ (D)	7 年 至 10 年	Between 7 and 10 years
☐ (E)	多過 10 年	Over 10 years

這份問卷是根據閣下/貴公司可承受風險的能力及風險接受程度以評估閣下的風險取向。如閣下/貴公司的情況或投資目標有變，請儘快聯系我們及更新有關資料，以便重新評估閣下/貴公司的投資風險取向。
The objective for this Questionnaire is to help you understand more about your attitude towards risk based on your ability to take risk and your risk tolerance level. If your situation or investment goals changes, you should approach us and update your information in this questionnaire as soon as possible to re-assess your risk profile.

責任聲明：
Disclaimer：

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This Questionnaire is provided by CSBHK/CSFHK and is intended to help the customers understand their risk attitude based on their ability to take risk and their risk tolerance level . CSBHK/CSFHK makes no guarantee, representation or warranty and accepts no responsibility or liability as to the accuracy or completeness of the information given in this questionnaire and the result.

本問卷和結果只是客户作出投資前應考慮的**其中一個**因素。以上並不應被視為投資建議、銷售要約或招攬購買任何金融產品。客户應該仔細考慮其投資目標及承受風險能力，並尋求獨立專業意見，才作出任何投資決定。
This questionnaire and the result is **only one of the factors** that the customer should take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision.

所有投資意見均根據客戶所提供的資料而制定。請客戶務必完整回應問卷內的提問，以免我司因資料不足或未能向閣下/貴公司提供投資意見服務。
The investment advices are derived from information that the customer has provided to CSBHK/CSFHK. Customers are advised to answer all questions of the questionnaires. Otherwise, we may not be able to provide any investment advisory service to you.

由問卷之計分方法所得出的風險承受程度(下稱「有關工具」)，應被視為一般參考。中信証券經紀香港/中信証券期貨香港並沒有透過提供有關工具向其客戶提供任何投資或融資建議。中信証券經紀香港對於使用有關工具而引起的結果不會作出任何保證，不論屬明顯的或必然包含的。中信証券經紀香港/中信証券期貨香港不會就客戶因使用有關工具而招致或遭受到的損失、損害或罰款；或任何索償或要求或任何監管問題或爭論等而負上責任。
The risk tolerance level derived from use of the scoring point as shown in the Questionnaire (the "Tools") are provided only as general guidelines. CSBHK/CSFHK is not providing investment or financial advice to any of its customers by providing the Tools. CSBHK/CSFHK makes no warranties, expressed or implied, as to results to be obtained from use of the Tools. CSBHK/CSFHK shall not be liable to any customer for any loss, damage or penalties suffered or incurred by, any claim or demand made against or settled by or any regulatory issues or disputes faced by customer arising out of the use of the Tools.

如客户不同意由問卷之計分方法所得出的風險承受程度，應向相關客戶經理查詢。
If you disagree the risk tolerance level derived from use of the scoring point as shown in the Questionnaire, you should refer to your Account Manager for enquiry.

投資附帶風險。投資價格可升可跌，甚至變成毫無價值，過往數據之表現並非未來表現的指標。有關產品詳情，請參閱產品說明書，以便獲取進一步資料。
Investment involves risks. The value of investment may move up or down and may become valueless. Past performance figures shown are not indicative of future performance. Relevant products offering documents should be read for further details.

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CSBHK/CSFHK will keep personal information collected in this test confidential. The information may be used by CSBHK/CSFHK under a duty of confidentially to CSBHK/CSFHK, for designing and/or making of financial services.

此問卷如中、英文版本有不一致或差異之處，概以英文版本為準。
In case of inconsistency or discrepancy between the Chinese version and the English version of this Questionnaire, the English version shall prevail for all purposes.

中信証券經紀(香港)有限公司 ("中信証券經紀香港")
CITIC Securities Brokerage (HK) Limited ("CSBHK")

中信証券期貨(香港)有限公司 ("中信証券期貨香港")
CITIC Securities Futures (HK) Limited ("CSFHK")

風險評估問卷 ("問卷") - 只適用於非資深法團專業投資者 / 非機構專業投資者
Risk Profiling Questionnaire (the "Questionnaire") – Applicable to non-Experienced Corporate Professional Investors/non-Institutional Professional Investors

這份問卷是根據閣下/貴公司可承受風險的能力及風險接受程度以評估閣下的風險取向。如閣下/貴公司的情況或投資目標有變，請儘快聯系我們及更新有關資料，以便重新評估閣下/貴公司的投資風險取向。
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客戶聲明及承諾
<u>Customer Acknowledgement & Undertaking</u>

本人/吾等確認、明白及同意：
I/We hereby acknowledge, understand and agree that:

據中信証券經紀香港/中信証券期貨香港所知，在設計有關工具時，個別客戶的特定需要、投資準則、個別基金或投資產品的合適性並沒有被考慮在內。因此，有關工具所包含之資料不應被視為或當作任何投資或個人化的建議。於作出投資決定前，本人/吾等應根據自己的判斷及/或尋求財務及法律顧問之專業意見。中信証券經紀香港/中信証券期貨香港對有關工具的任何資料及其使用無須負責，及對有關工具之內容的準確性及完整性均不作出任何保證，並拒絕就客戶或任何人士因使用有關工具之資料或避免使用有關工具的資料而招致或帶來之任何損失或損害承擔任何責任。投資涉及風險，投資產品的價格可能會非常波動，甚至可能會變成毫無價值。於投資前，客戶應參考有關投資的銷售文件。有關工具之內容僅供參考，並不構成買賣要約。過往數據及資料之表現未必可作日後表現的準則。
To the knowledge of CSBHK/CSFHK, in the design of the Tools, the specific needs, investment criteria or suitability of any particular funds or investments of individual customers have not been taken into account. Accordingly, the information in the Tools shall not be treated, nor relied upon, as any investment or individualized advice. I/We should ultimately rely on my/our own judgment and/or the judgment of my/our own financial and legal advisers in making any investment decision. CSBHK/CSFHK takes no responsibility for any information or use relating to the Tools and makes no representation as to the accuracy or completeness of any such information and expressly disclaims any liability whatsoever for any loss or damage as a result of or arising from customers or any other persons acting or refraining from actions based on the information or results contained in the foregoing. Investments involve risks and the prices of investments can and do fluctuate and in certain circumstances may become valueless. Customers should refer to the relevant offering documents before investing. The Tools is for information only and does not constitute any offer or solicitation to buy or sell. Data and information on past performance are not indicative of future performance.

本人/吾等已獲中信証券經紀香港/中信証券期貨香港邀請細閱有關問卷、此客户確認聲明及承諾及責任聲明，提出問題及(假如本人/吾等希望)諮詢獨立意見。本人/吾等聲明本人/吾等會就本人/吾等之判斷作出投資決定。
I/We have been invited by CSBHK/CSFHK to read the Questionnaire, this Customer Acknowledgement & Undertaking and the Disclaimer, to ask questions and take independent advice if I/we wish and I/we declare that I/we will make investment decision based on my/our own judgment.

客戶簽名：
Customer Signature： ______________________________

日期：
Date： ______________________

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由持牌代表填寫 To be completed by Licensed Representative

本人 ________________(姓名以正楷書寫) 持有 C.E. 編號 ________確認本人已向客戶提供已包含上述客戶聲明及承諾之風險評估問卷副本。本人並已邀請該客戶作出提問，及在需要時諮詢獨立意見 (如客戶有此意願)。

I, ________________(name in block letters) with C.E. number________confirm that I have provided to the customer a copy of the Risk Profiling Questionnaire incorporating the above Customer Acknowledgement and Undertaking and that I have invited the above customer to ask questions and take independent advice if he/she wishes.

如持牌代表以公司錄音電話與客戶確認以上資料，請詳細記錄錄音詳情。
If Licensed Representative confirms the above information with client through company taped phone recording system, please provide the taped recording details.

內線 Ext. No.： ______________ 日期 Date： ______________ 時間 Time： ______________

持牌代表簽名：
Licensed Representative Signature： ______________________

日期：
Date： ______________

負責人員 / 管理人員 / 分行經理簽署：
Sign off by Responsible Officer/Management/Branch Manager： ______________
姓名 Name：

日期：
Date： ______________
C.E. 編號 C.E. No：