

Investment Risk Profiling Questionnaire 投資風險取向問卷

Client Name(s):

客戶姓名:

Client No(s):

帳戶號碼:

Date Completed:

問卷填寫日期:

Imperium International Securities Limited Staff Name:

帝國國際証券有限公司職員姓名:

CE No.:

中央編號:

About this questionnaire 關於這份問卷

The following questionnaire is designed to help you evaluate your Risk Appetite toward investment risks and the risk tolerance level that you are prepared to accept for your investments. It may not match your actual attitude toward investment risk, but it indicates the profile you fit into.

本問卷旨在為閣下評估出投資風險取向，以及在投資時閣下能承受的風險水平。本問卷會評估出閣下的投資風險取向類型，但未必與閣下的實際投資風險取向相符。

About You – Your Risk Appetite 關於您 - 您的投資風險取向

1. What portion of your net worth would you like to set aside for investments? Please note that there is a potential for loss of your capital when investing in investment products*.

[* Such products could include one or more of the following products: stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans.]

你會撥作投資的資產淨值比例是多少？請注意，買賣投資產品可能帶來虧損*。

[* 該等產品可能包括以下一項或多項的投資產品：股票、單位信託基金、外幣、商品、結構投資產品、認股權證、期權、期貨以及具投資成份的保險計劃。]

() a. 0%

() b. Between >0% and 50% 0% 至 50% 之間

() c. Over 50% 大過 50%

2. Generally, investing involves a trade-off between risk and return. It has been historically shown that investors who achieve high returns have experienced correspondingly high fluctuations and losses. In order to achieve your expected returns, which statement best describes the degree of losses you are willing to take?

投資通常是風險與回報的取捨。獲得高回報的投資者往往承受的波動與損失風險較高。以下哪項描述最符合您為達致預期回報而願意承受損失的程度？

() a. I am willing to accept minimal amount of capital loss. 我願意接受輕微的資金損失。

() b. I am willing to accept moderate capital loss. 我願意接受中度的資金損失。

() c. I am willing to accept high capital loss. 我願意接受大額的資金損失。

3. On the whole, which of the following best describes your investment objectives?

以下哪一項最能描述您的投資目的?

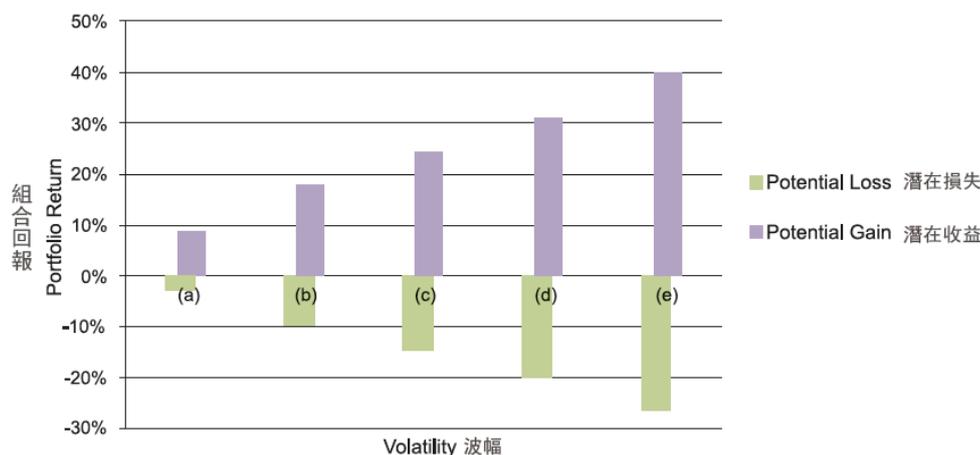
- a. Capital preservation 資本保值
- b. A regular stream of stable income 穩定收入來源
- c. A combination of income and capital growth 收入及資本增長
- d. Achieve substantial long term capital growth 長期實質的增長
- e. High capital appreciation 大幅資本增長

4. The following answer options are descriptions of 5 sample portfolios and their potential* portfolio gain and loss outcomes over a short time horizon (i.e. 1 year). Which of the sample portfolio would be most attractive to you?

[* Potential portfolio gain/loss values are for illustrative purposes. Clients should not rely on such figures to be indicative of their portfolio gain/loss with the company.]

下列答題選項顯示 5 種不同投資組合於較短投資期 (如一年) 的潛在*收益和損失。您認為哪一個投資組合最吸引您?

[* 投資組合的潛在收益/損失價值僅供參考。投資者不應將該等數據視為其公司投資組合的收益/損失的指標。]



- a. Portfolio (a) - I am willing to accept a potential loss of 3% in exchange for 9% potential gain.
投資組合(a) - 我願意接受 3% 的潛在損失，以換取 9% 的潛在回報。
- b. Portfolio (b) - I am willing to accept a potential loss of 10% in exchange for 18% potential gain.
投資組合(b) - 我願意接受 10% 的潛在損失，以換取 18% 的潛在回報。
- c. Portfolio (c) - I am willing to accept a potential loss of 15% in exchange for 25% potential gain.
投資組合(c) - 我願意接受 15% 的潛在損失，以換取 25% 的潛在回報。
- d. Portfolio (d) - I am willing to accept a potential loss of 20% in exchange for 31% potential gain.
投資組合(d) - 我願意接受 20% 的潛在損失，以換取 31% 的潛在回報。
- e. Portfolio (e) - I am willing to accept a potential loss of 27% in exchange for 40% potential gain.
投資組合(e) - 我願意接受 27% 的潛在損失，以換取 40% 的潛在回報。



5. What will you do with your investments if the value drops over a period of time due to market fluctuations?

倘若您的投資價值經過一段時間後由於市場波動而下跌，您會如何處理？

- () a. I do not wish to hold onto any investments at a loss and will sell the investments immediately even if the drop in value is small.
我不願意持有任何虧損的投資，即使跌幅輕微也會立刻出售。
- () b. I will sell the investments if the drop in value is large.
倘若下跌幅度較大，我會將投資出售。
- () c. I will sell some of the investments if the drop in value is large, and wait for the remaining investments to recover in value.
倘若下跌幅度較大，我會將部分投資出售，保留其餘投資等待價值回升。
- () d. I will not sell the investments, regardless of the drop in value, as I would like to wait for the investments to recover in value.
即使投資價值下跌，我也不會出售投資，而會願意等待其價值回升。
- () e. I will not sell the investments, regardless of the drop in value, and will buy more to capitalize on the cheaper price.
即使投資價值下跌，我也不會出售投資，反而會考慮趁低吸納。

6. Generally, higher returns are coupled with higher risks and fluctuations. The following answer options describe the level of fluctuations in the value of 5 different investment portfolios over a long period of time, e.g. 10 years. Which would you be most comfortable investing in?

一般而言，回報越高，風險及波動亦越大。下列答題選項顯示 5 種不同投資組合於較長投資期(如10年)的波動水平，您會選擇哪項投資？

- () a. Portfolio (a) - The value may have limited fluctuation of 5% in both directions, with the potential for extra space small gains and losses.
投資組合(a) - 價值可能波動不大，上下波幅5%，潛在收益及損失較少。
- () b. Portfolio (b) - The value may have more fluctuation of 10% in both directions, with the potential for more gains and losses.
投資組合(b) - 價值可能有較大波動，上下波幅10%，潛在收益及損失較大。
- () c. Portfolio (c) - The value may have moderate fluctuation of 15% in both directions, with the potential for moderate gains and losses.
投資組合(c) - 價值可能有適度波動，上下波幅15%，潛在收益及損失適中。
- () d. Portfolio (d) - The value may have considerable fluctuation of 20% in both directions, with the potential for greater gains and losses.
投資組合(d) - 價值可能有相當大幅波動，上下波幅20%，潛在收益及損失頗大。
- () e. Portfolio (e) - The value may have extensive fluctuation of over 20% in both directions, with the potential for substantial gains and losses.
投資組合(e) - 價值可能大幅波動，上下波幅超過20%，潛在收益及損失相當大。

Your Risk Appetite 您的投資風險取向

The following chart indicates the Risk Appetite a typical investor is expected to have based on the overall scores determined from your responses to the questions above.

以下圖表顯示得到不同分數的典型投資者的投資風險取向。根據閣下回答以上問題所得的分數，閣下可知悉自己屬於哪一類型。

Score 分數	Risk Appetite 投資風險取向	Definition 定義
0 - 6	SAFETY ORIENTED 謹慎型	<p><u>Risk Tolerance 風險接受程度:</u> You are generally comfortable with achieving minimal level of potential return on your investment coupled with minimal risks. 您基本上接受輕微的損失，以換取輕微的潛在投資回報。</p> <p><u>Investment Preference 投資取向:</u> Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions, fluctuation is expected to be minimal (although this is not guaranteed), and you are comfortable with this level of fluctuation. 可能適合您的產品之資本價值可能波動，並跌至低於您原本的投資額。預期在正常市況下僅輕微波動(縱使不能保證)，而您可接受此程度的波動。</p> <p><u>Available Investment Products 適合的投資產品:</u> Investment products with risk rating 1 are likely to be suitable for you. 評為一級風險的投資產品應當適合您。</p>
7 - 13	CONSERVATIVE 保守型	<p><u>Risk Tolerance 風險接受程度:</u> You are generally comfortable with achieving a low level of potential return on your investment coupled with a low level of risks. 您基本上接受低程度的損失，以換取低程度的潛在投資回報。</p> <p><u>Investment Preference 投資取向:</u> Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions, fluctuation is expected to be low (although this is not guaranteed), and you are comfortable with this level of fluctuation. 可能適合您的產品之資本價值可能波動，並跌至低於您原本的投資額。預期在正常市況下波動較小(縱使不能保證)，而您可接受此程度的波動。</p> <p><u>Available Investment Products 適合的投資產品:</u> Investment products with risk rating 2 or below are likely to be suitable for you. 評為二級或以下風險的投資產品應當適合您。</p>
14 - 23	MODERATE 平衡型	<p><u>Risk Tolerance 風險接受程度:</u> You are generally comfortable with achieving a moderate level of potential return on your investment coupled with a moderate level of risk. 您基本上接受中度的損失，以換取中度的潛在投資回報。</p> <p><u>Investment Preference 投資取向:</u> Capital values can fluctuate and may fall below your original investment. Fluctuation is expected to be higher than products that are suitable for investors in lower risk tolerance categories, but not as much as for higher risk tolerance categories. 資本價值可能波動，並跌至低於您原本的投資額。預期產品波動大於適合較低風險承受能力投資者的投資的產品，惟小於適合較風險承受能力投資者的產品。</p> <p><u>Available Investment Products 適合的投資產品:</u> Investment products with risk rating 3 or below are likely to be suitable for you. 評為三級或以下風險的投資產品應當適合您。</p>
24-32	AGGRESSIVE 進取型	<p><u>Risk Tolerance 風險接受程度:</u> You are generally comfortable with achieving a high level of potential return on your investment coupled with high level of risk. 您基本上接受高程度的損失，以換取高程度的潛在投資回報。</p>



		<p>Investment Preference 投資取向: Capital values can fluctuate significantly and may fall quite substantially below your original investment. You understand the risk-return principle and are comfortable with this level of fluctuation. 資本價值可能有相當大幅的波動並跌至頗低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。</p> <p>Available Investment Products 適合的投資產品: Investment products with risk rating 4 or below are likely to be suitable for you. 評為四級或以下風險的投資產品應當適合您。</p>
>=33	SPECULATIVE 投機型	<p>Risk Tolerance 風險接受程度: You are generally comfortable with maximizing your potential return on investment coupled with maximized risk. 您基本上接受重大的損失，以換取得重大的潛在投資回報。</p> <p>Investment Preference 投資取向: Capital values can fluctuate widely and may fall substantially below your original investment. You understand the risk-return principle and are comfortable with this level of fluctuation. 資本價值可能有大幅的波動並跌至遠低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。</p> <p>Available Investment Products 適合的投資產品: Investment products with risk rating 5 or below are likely to be suitable for you. 評為五級或以下風險的投資產品應當適合您。</p>

Based on the answers you have provided, your score is (). Using the above definition, your Risk Appetite is likely to be

根據您所提供的答案，您的評分是 ()。就以上定義，您的投資風險取向為

If you disagree with this assessment, please select the Risk Appetite that you believe can best describe yourself (please tick on the appropriate box). This can only be lower than the Risk Appetite assessed above, and will be the Risk Appetite captured in the Company's record.

如果您不同意這結論，請選出閣下認為更符合自己的風險取向類型。(請於適當的方格上「✓」)。閣下只能選取較評估所得的風險取向較低的類型，本行將紀錄此為閣下的風險取向類型。

SAFETY ORIENTED 謹慎型	CONSERVATIVE 保守型	MODERATE 平衡型	AGGRESSIVE 進取型
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I/We hereby acknowledge that the above concluded Risk Appetite is consistent with my/our investment risk tolerance level and profile. I/we confirm that I/we were reminded and am/are aware that investment involves risk and I/we should have adequate liquid funds to meet unforeseen events.

本人確認以上得出的投資風險取向與本人的承受的風險水平及投資風險取向類型一致。本人確認已被提醒及注意到投資涉及風險，本人應擁有足夠流動資金去應付意料之外的情況。

X

Client Signature
客戶簽署

Date (dd/mm/yy)
日期 (日/月/年)



Investment Risk Profiling Questionnaire — Scoring Matrix
風險取向問卷 - 計分表

Question 問題 Option 選項	1	2	3	4	5	6	Total
a	0	0	0	0	0	0	
b	0	2	0	3	0	3	
c	1	5	1	5	0	6	
d			1	9	2	11	
e			3	12	4	11	
Points Score 分數							

Risk Appetite 投資風險取向	Safety Oriented 謹慎型	Conservative 保守型	Moderate 平衡型	Aggressive 進取型	Speculative 投機型
Score 分數	0 - 6	7 - 13	14 - 23	24 - 32	>=33

Disclaimer:

免責聲明:

This questionnaire is provided by Imperium International Securities Limited ("IISL"). The results of this questionnaire are derived from information that you have provided to IISL, and only serve as a reference for your consideration when making your own investment decisions. This questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. IISL 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 IISL.

此問卷由帝國國際証券有限公司(「帝國國際証券」)提供。此問卷結果基於您所提供的資料，並祇供您作為個人投資決定的參考。此問卷內容及結果不應理解為對任何理財產品及服務的銷售或購買之邀請，亦不構成任何投資建議。帝國國際証券對上述有關資料的準確性或完整性並不負上任何責任。帝國國際証券確保此問卷內的個人資料保密。

Investment involves risks. Past performance is not indicative of future performance in respect of any investment.

投資涉及風險。過往的表現不能作為日後表現的指標。

T (852) 3585 8988 / **F** (852) 3585 3622 / **W** www.imperiumhk.com / **E** cs.securities@imperiumhk.com
Room 2603A, 26/F, One Harbour Square, 181 Hoi Bun Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘海濱道 181 號 One Harbour Square 26 樓 2603A 室

IISL_IRPQ_06_01/2022

Please "✓" on the appropriate box. 請於適當的方格內加上 "✓"。

Page 8 of 8