

Corporate Client Risk Assessment Questionnaire

Client name: _____ Account number (if any): _____

(1) How many years of experience does your company have with investment products like stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, callable bull/bear contracts, options, futures, investment-linked insurance plans?

- ☐ No experience (0) ☐ Less than 1 year (1) ☐ 1-3 years (2)
☐ 3-8 years (3) ☐ More than 8 years (4)

(2) Are you currently holding or did you previously hold any of the investment products listed below? (You can select more than 1 option, only the highest score will be counted)

- ☐ Cash, deposits, certificates of deposit, capital protected products (0)
☐ Bonds, bond funds (1)
☐ Foreign currencies, non-capital protected currency linked structured products and investment products (2)
☐ Stocks, open-ended funds (excluding bond funds and money market funds), non-capital protected equity linked structured products (3)
☐ Options, futures, warrants, callable bull/bear contracts, products not authorized by Securities and Futures Commission including private equity funds and OTC derivatives products (4)

(3) Approximately what percentage of your liquid asset is currently held in investment products of which the value will fluctuate?

- ☐ 0% (0) ☐ > 0-10% (1) ☐ >10-25% (2) ☐ >25-50% (3) ☐ >50% (4)

(4) Generally, the higher investment risk, the potential fluctuation is higher but also the potential return is higher. On the other hand, the lower the investment risk, the potential fluctuation is lower but also the potential return is lower. What level of fluctuation would be acceptable to you?

- ☐ Between -5% and +5% (0) ☐ Between -10% and +10% (1)
☐ Between -20% and +20% (2) ☐ Between -30% and +30% (3)
☐ More than -40% or More than +40% (4)



(5) Investment portfolio may rise or fall in value, which of the following best describes your risk attitude towards investment value fluctuations?

- ☐ Risk adverse – I would be very concerned about any volatility; I am not comfortable with fluctuations in the values of my investment portfolio. (0)
- ☐ 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 than maximizing capital appreciation. (1)
- ☐ 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. (2)
- ☐ 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. (3)
- ☐ Aggressive – I want my investments to grow and earn the highest possible return. I can accept negative fluctuations and possible loss of my initial investments. (4)

(6) In general, the longer the investment period, the higher the risk an investor can tolerate. What time period would you generally plan when making the investment plan with investment products of which the value can fluctuate?

- | | |
|--|---|
| <input type="checkbox"/> Less than 1 month (0) | <input type="checkbox"/> 1 month -less than 1 years (1) |
| <input type="checkbox"/> 1-less than 5 years (2) | <input type="checkbox"/> 5- less than 10 years (3) |
| <input type="checkbox"/> >10 years (4) | |



Marking Scheme: Please aggregate the scores indicated in the blanket for the option selected in each question.

Client risk tolerance analysis result (Please circle if appropriate).

Total score: ()

<i>Total Score</i>	<i>Risk Tolerance Level</i>	<i>Investment Aptitude</i>	<i>Suitable Investment Product (Example)</i>
0-3	Low Risk (1)	Risk adverse	- Capital Protection Products
4-9	Low Risk (2)	Conservative	- Bonds/Funds Classified as Low Risk
10-15	Medium Risk	Moderate	- Bonds/Funds Classified as Medium Risk Mutual Funds - Stock - High Yield Bonds - Foreign Currencies - Commodities
16-24	High Risk	Aggressive	- Bonds/Funds Classified as High Risk - Warrants - Callable Bull/Bear Contracts - Futures - Options - Structured products - Alternative Investments

Recommendation of Sales Officer:

After taking into account the client's investment objectives, investment period, risk tolerance and financial circumstances, the Sales Officer advises that the client may invest in the following types of products:

Product Risk Profile: _____

Investment types: _____

Investment Period: _____

Disclaimer:

The result of this questionnaire is derived from information that you ('Client') have provided, and only serve as reference for your consideration when making your own 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. ABCI Securities Company Limited 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 ABCI Securities Company Limited. The information may be used by ABCI Securities Company Limited or any ABCI Group entity under a duty of confidentiality to ABCI Securities Company Limited, for designing and/or marketing of financial products and service.

Client Signature(s)

Date: _____

Sales Officer Signature

Date: _____

Please sign and return the completed form by mail: 13F Fairmont House, 8 Cotton Tree Drive, Central, Hong Kong or fax to (852) 2868-0320.

Reviewed by Department head or Responsible Officer:

If the product risk profile does not match the client's risk profile, please comment:

If the investment types involve unauthorized products or derivative structured products, please comment: _____

If the investment period is over 3 years, please comment: _____

Department head / Responsible officer

Date: _____

公司內部處理 For internal use

Signature verification	Phone Confirmation	Fee Processing	Data Update	Acknowledgment sent	Document Filed