Manulife Investment Management
宏利投資管理

RISK PROFILE QUESTIONNAIRE FOR COMPANIES
風險取向問卷（適用於公司）

This questionnaire is designed to assess the risk tolerance and attitude of typical investors and assist our Clients to understand their general risk profiles for the purpose of investment suitability assessment. This questionnaire should be completed by any Authorized Signatory of the Client who makes investment decisions and is specified in the corresponding client agreement with us.
此問卷旨在評估典型投資者的風險承受能力和態度，並協助客戶理解其一般風險取向以作投資適合性評估之用。此問卷應由客戶獲授權簽署人士填妥，此人是作出投資決定，並在與我們訂立相關客戶協議中所指定的獲授權簽署人士。

Company Name 公司客戶名稱：______________________________

Account Number 帳戶編號：______________________________

1. Does your company have any qualified professionals to make investment / hedging decisions? 貴公司是否擁有合資格的專業人員負責投資／對沖決策？
   - ☐ A) Yes, we have an independent division / team within our company to make investment / hedging decision. 是，公司內部擁有一個獨立部門／團隊，負責投資／對沖決策。
   - ☐ B) Yes, we have senior management with relevant professional qualifications to make investment / hedging decisions. 是，我們的高級管理層具備專業資格，可負責投資／對沖決策。
   - ☐ C) No, but we have adequate knowledge in financial investment. 否，但我們對金融投資有足夠的認識。
   - ☐ D) No, but we have some knowledge in financial investment. 否，但我們對金融投資略有認識。
   - ☐ E) No, we have little knowledge in financial investment. 否，我們對金融投資認識不多。

2. How long is the investment experience of your company in financial products (e.g. certificates of deposits, foreign currency, stocks, investment funds, credit linked notes, structured products, bonds, futures, warrants, and commodities, etc.)? 貴公司投資於金融產品(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？
   - ☐ A) No experience at all 全無經驗
   - ☐ B) Less than 1 year 少於 1 年
   - ☐ C) 1 year to less than 2 years 1 年至 2 年以下
   - ☐ D) 2 years to less than 5 years 2 年至 5 年以下
   - ☐ E) 5 years or more 5 年或以上

3. Which investment product(s) has your company ever held during the past 24 months? (Tick one or more) 貴公司過去 24 個月曾持有過哪些 投資產品？(可選擇多於一項)
   - ☐ A) Margin Trading / Futures / Options / Equity Options / Accumulators / Forwards / Credit Linked Notes with exposure to Structured Products 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
   - ☐ B) Stocks / Equity-Linked Investments (Non-Blue Chips) / Investment Funds exposed to Emerging Markets, Regional Markets, Single Country or Single Sector / Hedge Funds / Foreign Exchange Options / Option Embedded Products 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
   - ☐ C) Stocks / Equity Linked Investments (Blue Chips) / Global Equity Investment Funds / Balanced Investment Funds / Bond Investment Funds exposed to Emerging Markets, Regional Markets or Single Country / High-yield Bond Investment Funds / Currency Linked Deposits / Credit-linked Notes without exposure to Structured Products 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
   - ☐ D) Bond / Global Bond Investment Funds / Foreign Currencies 債券／環球債券投資基金／外幣
   - ☐ E) Certificates of Deposits / Capital-guaranteed Investment Products / Money Market Funds 存款證／保本型投資產品／貨幣市場基金
   - ☐ F) None of the above during the past 24 months but some of the above or other financial products prior to the past 24 months 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
   - ☐ G) Never held any investment products so far 迄今從未持有任何投資產品

4. What is the percentage of surplus that your company will allocate to financial investment? 貴公司會把多少盈餘撥作金融投資？
   - ☐ A) Less than 10% 少於 10%
   - ☐ B) 10% to 20% 10%至 20%
   - ☐ C) 21% to 30% 21%至 30%
   - ☐ D) 31% to 50% 31%至 50%
   - ☐ E) More than 50% 多於 50%

5. What is the percentage of net liquid asset (i.e. cash or assets easily converted into cash, for example, foreign currencies, bullion, and freely tradable securities) that your company will set aside for financial investment? 貴公司會預留多少百分比的淨流動資產(即現金或容易變為現金的資產如外幣、金銀條、自由買賣的證券等)作金融投資？
   - ☐ A) Less than 10% 少於 10%
   - ☐ B) 10% to 20% 10%至 20%
   - ☐ C) 21% to 30% 21%至 30%
   - ☐ D) 31% to 50% 31%至 50%
   - ☐ E) More than 50% 多於 50%

6. In terms of average monthly operational expenses, how much does your company set aside for emergency use? 以平均每月營運開支計算，貴公司預留以應付不時之需的金額為多少？
   - ☐ A) Less than 1-month operational expenses 少於1個月的營運開支
   - ☐ B) 1-month to less than 6-month operational expenses 1 至 6 個月以下的營運開支
   - ☐ C) 6-month to less than 12-month operational expenses 6 至 12 個月以下的營運開支
   - ☐ D) 12-month to less than 24-month operational expenses 12 至 24 個月以下的營運開支
   - ☐ E) 24-month or more operational expenses 24 個月或以上的營運開支

7. How long is the expected investment horizon of your company? 貴公司預期中的投資年期為多少？
   - ☐ A) Less than 1 year 少於 1 年
   - ☐ B) 1 year to 5 years 1 年至 5 年
   - ☐ C) 6 years to 10 years 6 年至 10 年
   - ☐ D) 11 years to 20 years 11 年至 20 年
   - ☐ E) More than 20 years 20 年以上

8. Which statement can best describe the general attitude of your company towards financial investment? 以下哪一句子最能貼切描述貴公司對金融投資的一般態度？
   - ☐ A) We cannot put up with any price fluctuation and have no interest on earnings. 本公司不能接受任何價格波動，並且對賺取投資回報不感興趣。
   - ☐ B) We can only put up with little price fluctuation and wish to have earnings slightly higher than bank deposit rates. 本公司只能接受較小幅度的價格波動，並且僅希望賺取稍高於銀行存款利率的回報。
   - ☐ C) We can put up with some price fluctuation and wish to have earnings much better than bank deposit rates. 本公司可接受若干價格波幅，並希望賺取遠高於銀行存款利率的回報。
   - ☐ D) We can put up with high degree of price fluctuation and wish to have earnings comparable to the stock market indexes. 本公司可接受大幅度的價格波動，並希望賺取與股市指數表現相若的回報。
   - ☐ E) We can put up with any price fluctuation and wish to have earnings remarkably higher than the stock market indexes. 本公司可接受任何幅度的價格波動，並希望回報能跑贏股市指數。

How to Score the Risk Profile Questionnaire?
如何為風險取向問卷計分？

Please calculate your company's points according to the table below: 根據下表計算貴公司的得分：

Question Number 問題	A	B	C	D	E	F	G	Your Points 閣下的得分
Question 1 問題 1	7	5	3	2	1			
Question 2# 問題 2#	0	2	3	4	5			
Question 3 *# 問題 3*#	9	7	5	3	1	1	0	**(Only use the highest score of your answer(s) 只選用得分最高的答案)**
Question 4 問題 4	1	2	3	4	5			
Question 5 問題 5	1	2	3	5	5			
Question 6 問題 6	0	1	3	5	5			
Question 7 問題 7	1	2	3	5	5			
Question 8# 問題 8#	0	1	3	4	5			

* **As the question allows multiple answers, only the answer carrying the highest score is used in the calculation.** 由於問題可選多於一項答案，計算時請選用得分最高的答案。

\# **If the answer to question 8 is "A", the score of both questions 2 and 3 is zero, which means the total risk score does not count your company's investment experience and holdings of investment products.** 如在第 **8** 條的答案是「**A**」，第 **2** 及 **3** 條的得分均會是零，即總風險分數不會計算貴公司的 投資經驗及持有的投資產品。

Please total the points from the eight questions and write your company's risk score in the box:
請將八條問題的得分加起來並在方格內寫出貴公司的風險分數：

Risk Score 風險分數	General Risk Profile Description 風險取向描述
4 - 8	**1 = Low Risk Profile** 低風險取向： Your company can accept investments with low risk exposure and price fluctuation for small returns. 貴公司能接受較低風險和價格波動的投資以取得較少的回報。
9 - 17	**2 = Low to Medium Risk Profile** 低至中風險取向： Your company can accept investments with low to medium risk exposure and price fluctuation for some returns. 貴公司能接受低至中度風險和價格波動的投資以取得一些回報。
18 - 28	**3 = Medium Risk Profile** 中風險取向： Your company can accept investments with medium risk exposure and price fluctuation for capital growth potential. 貴公司能接受中度風險和價格波動的投資以取得資本增值的潛力。
29 - 37	**4 = Medium to High Risk Profile** 中至高風險取向： Your company can accept investments with medium to high risk exposure and price fluctuation for some capital growth. 貴公司能接受中至高度風險和價格波動的投資以取得一些資本增值。
38 - 46	**5 = High Risk Profile** 高風險取向： Your company can accept investments with high risk exposure and price fluctuation for substantial capital growth. 貴公司能接受較高風險和價格波動的投資以取得顯著的資本增值。

This risk profile questionnaire and the results should not be regarded as investment advice on, an offer to sell, or a solicitation for an offer to purchase any investment products or services. Manulife and its associated companies accept no responsibility or liability as to the accuracy or completeness of the information provided in this questionnaire and the results. This questionnaire is not a comprehensive financial planning tool and is not a substitute for independent professional advice. 本問卷及測試結果僅供參考，並不構成投資意見，亦不得視為招攬買賣任何投資產品或服務。宏利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。本問卷並非全面的理財策劃工具，不能取代獨立的專業意見。

DECLARATIONS AND SIGNATURE 聲明及簽署

a. We understand that the provision of personal information, if any, in this questionnaire is voluntary for the purposes of updating our risk profile on record with Manulife Investment Management (Hong Kong) Limited. 吾等明白於本問卷上提供之個人資料（如有），作為吾等在宏利投資管理（香港）有限公司的風險取向的記錄更新乃屬自願。

b. We acknowledge and agree that the personal information collected from us in this form, together with any subsequent alterations or supplements to it, is being collected on behalf of Manulife Investment Management (Hong Kong) Limited. We further acknowledge and confirm that we have received and read the Personal Information Collection Statement attached as Schedule I to the Client Agreement entered into between us and Manulife Investment Management (Hong Kong) Limited (the "Client Agreement") (as amended from time to time). We understand and agree that the personal information collected from us in this form, together with any subsequent alterations or supplements to it, can be used and/or transferred to any of the transferees in accordance with any of the uses and purposes (including in relation to direct marketing) as described in the Personal Information Collection Statement. 吾等確認及同意從吾等在本表格上收集的個人資料及日後之任何改動或補充，乃代表宏利投資管理（香港）有限公司所收集。吾等進一步確認及確定，吾等已收訖及閱畢與宏利投資管理（香港）有限公司簽定的客戶協議中，附表一所載的個人資料收集聲明(「客戶協議」）（不時作出修訂）。吾等理解及同意從吾等在本表格上收集的個人資料及日後之任何改動或補充，可根據個人資料收集聲明內所描述的使用及目的（包括直接促銷）被使用及／或轉交予任何受讓人。

Completed and Signed by 填寫及簽署人：

Signature of Authorized Signatory 授權簽署人簽署：______________________

Name of Authorized Signatory 授權簽署人姓名：______________________

Date (DD/MM/YYYY) 日期(日／月／年)：______________________