

BANK OF CHINA (Hong Kong) LIMITED (the "Bank") is a bank incorporated in the Hong Kong Special Administrative Region of the People's Republic of China and is not an authorized institution within the meaning of the Commercial Bank Law and Regulation on the Administration of Foreign-funded Banks of the People's Republic of China, nor carrying on banking business in the Mainland China.

| For BOCHK Use Only       |             |  |
|--------------------------|-------------|--|
| Customer Number :<br>012 |             | Date :                                     |
| Branch No. :             |             | <input type="checkbox"/> Production of ESS |
| Checker (2)              | Checker (1) | Maker                                      |

**For Witnessing Bank Use Only (All must input)**

|  |            |   |                              |
|--|------------|---|------------------------------|
| Name of Witnessing Bank:   | Full Name  |   |                              |
| PIC :  | (Name)     | (Signature)                                   | (Position)                   |
| Authorized Viewer :  | (Name)     | (Signature)                                   |                              |
| 中国银行见证行一级分行联行行号及机构号码:  | (一级分行联行行号) |   | (机构号码)                       |
| * Confirm the customer complied with our local requirements of account opening witnessing service  |            | (Please <input checked="" type="checkbox"/> ) | <input type="checkbox"/> Yes |
| * Witness has already signed, with date specified on the Account Opening Form:   |            | (Please <input checked="" type="checkbox"/> ) | <input type="checkbox"/> Yes |
| *Applicant should present the identity and valid address proof for account opening(as below), those documents should be stamped with the printed words of 'CERTIFIED TRUE COPY' or 'Original Sighted' or seals with identical meaning, with date specified, signed by handling staff with full name, and signed by Authorized Signatory staff together with full name. |            |   |                              |
| <input type="checkbox"/> Identity Proof <input type="checkbox"/> Travel Pass/Proof of nationality <input type="checkbox"/> Residential Address proof<br><input type="checkbox"/> Permanent Address proof (if different with the residential address) <input type="checkbox"/> Others(please specify):  |            |   |                              |

**Account Opening Form (Investment Services)**

As part of the account opening process, you are required to complete this application form and to provide supporting documents (including supporting and other documents required under any laws, regulations or guidelines issued by any regulatory or tax authorities, if applicable). You must provide information and documents that are valid, true, complete, accurate and up-to-date. The information is required from you for the Bank's compliance with its customer due diligence policy, local laws and regulations and/or international standards. It forms an important part of the international efforts to combat money laundering, terrorist financing and fraudulent activity. This application form is for the purpose of opening accounts and/or applying for services by new or existing customers. Failure to provide the required information may result in the Bank's inability to process your application to provide services to you and/or to conduct suitability assessment (where applicable). Please refer to the Bank's "Data Policy Notice" or documents under other relevant headings issued by the Bank and its associate entities from time to time relating to the general policies on the use, disclosure and transfer of personal data. For existing customers, it may not be necessary for you to provide certain background information which you have furnished to the Bank previously, provided that such information remains unchanged. If any such information has changed since you have last completed the account opening/ amendment documentation, then for the purpose of the Bank to comply with its customer due diligence policy, you must promptly provide the Bank with the updated information and in any event, not later than 30 days after such change. Existing information furnished to the Bank is deemed to be valid, true, complete, accurate and unchanged until the Bank is otherwise notified. Notwithstanding that, the Bank has the right to rely on the information obtained or that comes to its knowledge from any source it may consider appropriate to update your existing information in the Bank and may require your confirmation if necessary. Please complete this form in block letters.

**Investment Account Opening (including Securities / Funds / Debt Securities / Notional Precious Metals Passbook / Currency Linked Investments (Dual Currency Investment/Option Linked Investment))**

[The Customer may be required to complete further application procedures and/or documents before conducting transactions in the above investment accounts.]

**Customer Declaration**

The undersigned Customer agrees, confirms, acknowledges and declares that:-

- All information set out in this application form and any document(s) provided by the Customer to the Bank is valid, true, complete accurate and up-to-date. The Customer authorizes the Bank to verify such information from any source it may consider appropriate. The Customer further agrees to notify the Bank promptly in writing upon occurrence of any changes to that information, in any event not later than 30 days after such change, and to provide certified copies of any replacement or documents (including supporting and other documents required under any laws, regulations or guidelines issued by any regulatory or tax authorities, if applicable). The Customer acknowledges that the Bank has the right to rely on the information obtained or that comes to its knowledge from any source it may consider appropriate to update the Customer's existing information and may require the Customer's confirmation if necessary.
- The Customer has received, read and understood the Bank's Conditions for Services, General Information and General Banking Services Charges, and the relevant terms, conditions, rules, user's manual or reference, brochures and provisions relating to the accounts, products and services applied for in this application form and agrees to be bound by them (as amended by the Bank from time to time). [The customers may browse the relevant documents on the website of the Bank (<http://www.bochk.com> → Tools → Download Forms)]
- The Customer understands and agrees that the Bank may at any time at its sole discretion vary the Bank's Conditions for Services, General Information and General Banking Services Charges relating to the accounts, products and services applied for in this application form, with notice using any method including by way of display of such notice in the Bank's premises and/or on publicly accessible sections of the Bank's website (<http://www.bochk.com>).
- The Customer has received, read and understood the Bank's Data Policy Notice and agrees to be bound by it (as amended by the Bank from time to time) [The customers may browse the relevant documents on the website of the Bank (<http://www.bochk.com> → Tools → Download Forms)]. The Customer represents that all personal data provided by the Customer to the Bank (a) has been collected by lawful means; and (b) is accurate in all material respects so far as the Customer is aware. The Customer agrees to ensure that, in relation to all personal data collected by and provided to the Bank by the Customer, all necessary consent required from the data subjects have been obtained and that the data subjects are aware that their personal data and information may be used, transferred or disclosed by the Bank in accordance with its policies on the use and disclosure of personal data as set out in its Data Policy Notice made available by the Bank to Customer from time to time and that those data subjects are aware that they may have legal rights of access to and correction of information held about them by the Bank.
- Unless otherwise specified in other relevant documents (if any), no other persons besides the Customer has any interest in the Customer's accounts.
- Unless otherwise specified in this application form, the Customer is not one of the following persons or their relatives: director/ supervisor / chief executive/ senior management and key staff/ chairman of committee/ head of department/ head of branch/ lending officer/ controller (holding 5% or more shareholding along or together with associates who are controllers) of BOCHK or Bank of China Ltd (including their subsidiaries and branches) nor BOCHK's subsidiaries, affiliates and other entities over which BOCHK is able to exert control or controller/ minority shareholder controller/ director/ senior management and key staff of such subsidiaries, affiliates and other entities. None of the Customer's agents is BOCHK or any of its controllers or minority shareholder controllers or directors or their relatives. None of the Customer's guarantors is any controller, minority shareholder controller or director of BOCHK or their relatives. The Customer undertakes to inform the Bank in writing immediately if there is a change in this

status.

7. **Applicable to the collection of Jurisdiction of Residence & Taxpayer Identification Number or its Functional Equivalent ("TIN")**
- (a) The Customer acknowledges and agrees that (i) the information is collected and may be kept by the Bank for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
- (b) The Customer undertakes to advise the Bank of any change in circumstances which affects the tax residency status of the individual or causes the information contained herein to become incorrect, and to provide the Bank with a suitably updated self-certification form within 30 days of such change in circumstances.
8. (a) The Customer has received, read and understood the Bank's risk disclosure statements (including the Risk Explanatory Note of Exchange-Traded Derivative Products, services charges related to investment accounts, Rules: Renminbi ("RMB") related accounts, Supplemental Information On RMB Services, the Important Notice of Subscription for / Trading of Listed RMB Equity Products and Important Notice of Trading Shanghai A Shares and A Shares Margin Trading via Shanghai-Hong Kong Stock Connect), and the relevant terms, conditions, rules, user's manual or reference, brochure and/or Rules: Notional Precious Metals Passbook Account, The Product Key Facts Statement of Notional Precious Metals Passbook Account, The Principal Brochure of Notional Precious Metals Passbook Account, Rules : Currency Linked Investments, Currency Linked Investments (Dual Currency Investment/Option Linked Investment)-Important Facts Statement, Terms and Conditions for e-Statement Service, Questionnaire on Investment Preference and provisions, etc relating to the investment accounts, products and services applied for in this application form, and agrees to be bound by them (as amended by the Bank from time to time). These documents were provided in a language of the Customer's choice (English or Chinese). The Bank has explained to the Customer, and the customer confirms that he/she understands the nature and key features of, fees and risks associated with the investment accounts, products and services applied for in this application form. The Customer was invited to read the risk disclosure statements (including the Risk Explanatory Note of Exchange-Traded Derivative Products), to ask questions and take independent advice if it wishes. All of the Customer's enquiries (if any) have been duly answered and explained and the Customer does not require further explanation from the Bank. [The customers may browse the relevant documents on the website of the Bank (<http://www.bochk.com> → Tools → Download Forms)]
- (b) The Customer understands and agrees that the Bank may at any time at its sole discretion vary the Bank's risk disclosure statements, and the relevant terms, conditions, rules, user's manual or reference, brochure and provisions relating to the investment accounts, products and services applied for in this application form, with notice using any method including by way of display of such notice in the Bank's premise and/or on publicly accessible sections of the Bank's website (<http://www.bochk.com>).
- (c) The Customer undertakes to inform the Bank in writing immediately if it becomes or ceases (as the case may be) to be employed by any intermediary to carry on any regulated activities as defined in the Securities and Futures Ordinance.
- (d) The Customer is not a "US person" or "Canadian resident". If the circumstances of the Customer change so that it becomes or is deemed to be a US or Canadian person or resident, the Customer undertakes to inform the Bank in writing immediately of the change. The Customer understands that in which case the Bank may be obliged to sell its securities and/or close out its outstanding contracts in the Precious Metal and FX Margin account (if any), and cancelled the relevant account, and the Customer agrees to do so.

**Note: Please fill in all the fields below**

**Customer Particulars (The following customer particulars will be used for purposes of updating the customer's personal data for the accounts/services to be opened and those currently existing.)**

(a) Chinese name : ..... (Surname)   
 (First name)

(b) English name ( Please also provide valid passport ) : ..... (Surname)   
 (First name)

(c) Identification Document Type :  
 1. Chinese National ID Card 2. Hong Kong ID Card (Permanent Resident) 3. Hong Kong ID Card (Non Permanent Resident)  
 4. Macau ID Card (Permanent Resident) 5. Macau ID Card (Non Permanent Resident)  (Details)   
 6. Overseas Passport 7. Taiwan Passport 8. Others (please specify) ..... (Fill in the number)

(d) Identification Document No. : .....

(e) Education Level :  
 1. Primary school or below 2. Secondary school 3. Post-secondary or tertiary ..... (Fill in the number)   
 4. University degree 5. Postgraduate or above

**Jurisdiction of Residence & Taxpayer Identification Number or its Functional Equivalent ("TIN")\***

\* Complete the table below indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:  
 Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
 Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.  
 Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
 If more than five jurisdictions of residences, please supplement in the blank space of the application form.

| Jurisdiction of Residence | TIN | Tick Reason A, B or C if no TIN is available                                     | Explain why the account holder is unable to obtain a TIN if you have selected Reason B |
|---------------------------|-----|--|--|
| (1)                       |     | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |
| (2)                       |     | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |
| (3)                       |     | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |
| (4)                       |     | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |
| (5)                       |     | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |

Remarks:WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)

(f) Please complete the following questionnaire (The Customer should choose the most appropriate answer for each question)

(i) What is the Customer's investment objective?

1. Capital appreciation    2. Yield enhancement    3. Regular income    4. Capital preservation    .....▶ (Fill in the number)

(ii) How many years of investment experience does the Customer have in securities products / precious metals?

1. This is the Customer's first investment    2. Less than one year    3. Between one and three years  
4. More than three years but less than five years    5. More than five years    .....▶ (Fill in the number)

(iii) What is the amount of the Customer's investment assets\* / liquid capital? (\* The sum of the Customer's investment portfolio and cash not only with the Bank and excluding all the value of all of the Customer's properties or business interests)

1. Equivalent to HKD8,000,000 or above    2. HKD5,000,000 equivalent to less than HKD8,000,000 equivalent  
3. HKD3,000,000 equivalent to less than HKD5,000,000 equivalent    4. HKD2,000,000 equivalent to less than HKD3,000,000 equivalent  
5. HKD1,000,000 equivalent to less than HKD2,000,000 equivalent    6. Over HKD360,000 equivalent to less than HK\$1,000,000 equivalent  
7. Equal or less than HKD360,000 or equivalent

.....▶ (Fill in the number)

(iv) What is the Customer's monthly income (from all sources)? [For All New Customer, the choice below should be consistent with section (s) of Account Opening Form (Consolidated)]

1. HKD80,000 equivalent or above    2. HKD50,000 equivalent to less than HKD80,000 equivalent  
3. HKD30,000 equivalent to less than HKD50,000 equivalent    4. Over HKD10,000 equivalent to less than HKD30,000 equivalent  
5. Equal or less than HKD10,000 or equivalent    .....▶ (Fill in the number)

(g) Settlement Accounts

The following accounts shall be the designated fund debit account/ settlement account/ payment account / designated fund / relevant account for the *Wealth Management Service/Banking Service*, non-*Wealth Management Service/Banking Service*(if applicable), BOC Wealth Express Card(HKD, which was applied and delivered in China), Investment Services applied for under this application form, and the relevant fees and charges for the abovementioned products/services shall be debited from such accounts:

|                  |  |
|------------------|--|
| HKD              | <input type="checkbox"/> New savings account <input type="checkbox"/> Existing account number: |
| Foreign Currency | <input type="checkbox"/> New savings account <input type="checkbox"/> Existing account number: |
| RMB              | <input type="checkbox"/> New savings account <input type="checkbox"/> Existing account number: |

I **do not wish** the Bank to use my personal data in direct marketing via the following channel(s) (please use "✓" to select the channel(s)):

Electronic Channels     Mail     Personal Call

If you returns this Form without ticking any of the above boxes, it means that you do not wish to opt-out from any form of the Bank's direct marketing.

In order to provide more comprehensive services to our customers, the Bank may provide your personal data to other members of the Group\* and any other persons for their use in direct marketing of financial, insurance, credit card, securities, commodities, investment, banking and related services and products and facilities and so forth. Please tick "✓" this box if you **do not wish** the Bank to provide your personal data to the above persons for the above purposes.

\*The "Group" means the Bank and its holding companies, branches, subsidiaries, representative offices and affiliates, wherever situated. Affiliates include branches, subsidiaries, representative offices and affiliates of the Bank's holding companies, wherever situated.

The above represents your present choice regarding whether or not to receive direct marketing materials, and the Bank's intended provision of your personal data to other members of the Group\* for their use in direct marketing. This replaces any choice communicated by you to the Bank prior to this application. Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in the Bank's Data Policy Notice. Please also refer to the said Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.

( S.V. )

Customer's Signature: \_\_\_\_\_

Customer's Signature Date: \_\_\_\_\_

(The signature must be the same as that in the Bank's record)

**Declaration:**

Our bank hereby declare that we have provided the Customer with the risk disclosure statements in the Conditions for Service, rules and brochures for the services/products in a language (English or Chinese) of the Customer's choice, and we have invited the Customer to read the risk disclosure statements, ask questions and take independent advice (if the Customer wishes).

**中銀香港專用**

Production of ESS    Bank code : 012    Sign. No. : \_\_\_\_\_  
Customer Location : \_\_\_\_\_ Financial Advisor Code : \_\_\_\_\_ Remarks : \_\_\_\_\_  
Branch No. : \_\_\_\_\_ Contact No. : \_\_\_\_\_ Handle By : \_\_\_\_\_  
Country Code/ China LOC : \_\_\_\_\_  
ID/ Passport Type : \_\_\_\_\_

## Documents for Customers' Record

- ◆ **Below blank form is for Customers' record. Customers do not need to return the form to Bank of China (Hong Kong).**
- ◆ **Customers may refer to the blank form while staff of Bank of China (Hong Kong) calls for information verification.**

### Notice:

1. Customers should browse on the website of the Bank (<http://www.bochk.com> → Tools → Download Forms) and read the documents including Conditions for Services, General Information, Data Policy Notice, General Banking Services Charges, services charges related to investment accounts , Rules: Renminbi related accounts, Supplemental Information On Renminbi Services, Risk Explanatory Note of Exchange-Traded Derivative Products, Important Notice of Subscription for / Trading of Listed RMB Equity Products and Important Notice of Trading Shanghai A Shares and A Shares Margin Trading via Shanghai-Hong Kong Stock Connect, Rules : Notional Precious Metals Passbook Account, The Product Key Facts Statement of Notional Precious Metals Passbook Account, The Principal Brochure of Notional Precious Metals Passbook Account, Rules : Currency Linked Investments, Currency Linked Investments (Dual Currency Investment/Option Linked Investment)-Important Facts Statement and Terms and Conditions for e-Statement Service and take independent advice if necessary.
2. Customers should keep the Questionnaire on Investment Preference (Individual Customer), staff of Bank of China (Hong Kong) will contact you in future for the questionnaire to assess your investment risk profile.

# Documents for Customers' Record

**中國銀行(香港)有限公司**  
BANK OF CHINA (HONG KONG) LIMITED  
香港花園道一號 1 GARDEN ROAD, HONG KONG.

| FOR BANK USE ONLY          |     |            |  |
|----------------------------|-----|------------|--|
| CIN No.(Personal)          | 012 |            |  |
| CIN No.(Other)             | 012 | H.C        |  |
| ID Type (Other)            |     |            |  |
| Branch Code                |     | Date       |  |
| Audio Ref. No.:            |     | Time       |  |
| 1 <sup>ST</sup> Checked by |     | Handled by | L.E. <input type="checkbox"/><br>L.M. <input type="checkbox"/> IA <input type="checkbox"/> |
| 2 <sup>nd</sup> Checked by |     | Input by   |  |

## 個人客戶投資取向問卷 Questionnaire on Investment Preference (Individual Customer)

### 客戶須知

#### Notice to Customer(s):

1. 本問卷用以協助中國銀行(香港)有限公司(「本行」)評估您的投資風險取向,並收集有關您的風險取向、財政狀況、投資經驗及投資年期的資料。如您不提供有關資料,本行可能無法處理您的申請。蒐集及使用本問卷內的資料並不構成任何投資產品或服務的要約、招攬或建議,且不應被視為一項投資建議。

This questionnaire is designed to help the Bank of China (Hong Kong) Limited (the "Bank") to assess your investment risk profile and to collect information about your risk appetite, financial situation, investment experience and investment horizon. If relevant information is not provided, the Bank may not be able to process your application(s). The collection and use of information in this questionnaire does not constitute any offer, solicitation or recommendation of any investment product or services and it should not be considered an investment advice.

2. 為作出合理的產品合適性評估,本行需要您提供有關財政狀況、投資經驗及投資目標的資料。於做出任何投資決策前,您應考慮自身情況,包括但不限於您的財政狀況、投資經驗及投資目標。於做出任何投資決策前,您應考慮諮詢您的獨立投資顧問。

The Bank is required to obtain information on your financial situation, investment experience and investment objectives in order to make reasonable product suitability assessment. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. Please consider consulting your independent investment adviser before making any investment decisions.

3. 有關您的財務或投資資料之問題,例如可投資資產、某一產品的總投資金額或投資經驗等,您在本行之內及本行以外的所有資產及交易均應計算在內。

For questions on your financial and investment information, such as the amount of investable assets, total amount invested in a specific product, or investment experience, ALL your holdings and transactions, whether within our Bank or not, should be taken into account.

4. 本行將會根據本行的資料政策通告使用並保密處理本問卷所收集的資料。

All information obtained in this questionnaire will be used and kept confidential in accordance with our Data Policy Notice.

5. 本問卷的結果乃根據您提供給我們的資料得出。請您務必提供有效、真實、完整、準確及最新的資料。您未能提供該等資料將會對本行的合適性評估產生重大影響。

The results of this questionnaire are derived from information you provide to us. You must provide information that is valid, true, complete, accurate and up-to-date. Your failure in doing so would materially affect our suitability assessment.

6. 請圈出最適合的一項答案。

Please circle the most appropriate answer.

客戶姓名 Customer Name \_\_\_\_\_ (ID No. \_\_\_\_\_)

## 投資風險取向評估 Investment Risk Profile Assessment

1. 您是否有或預期有任何特殊的健康或財政狀況，需本行在評估您的產品合適性時作出特別考慮？  
Do you have or foresee any special needs in respect of health or financial status that we should consider when assessing your product suitability?
  - A. 是 Yes
  - B. 否 No
  
2. 您年收入是否超過港幣 12 萬或擁有可投資資產超過港幣 36 萬，令您於財政上能支持您的基本日常生活？  
Do you have annual income over HK\$120,000 or investable asset over HK\$360,000 to financially support your basic daily?
  - A. 是 Yes
  - B. 否 No
  
3. 請選出您所屬的年齡組別  
Please indicate the age group that you belong to:
  - A. 18-24
  - B. 25-34
  - C. 35-50
  - D. 51-64
  - E. 65或以上 65 or above
  
4. 您的最高學歷是  
What is your highest education level?
  - A. 小學或以下 Primary school or below
  - B. 中學 Secondary school
  - C. 大專 / 副學士 / 文憑 Post-secondary school / Associate Degree / Diploma
  - D. 大學或以上 University or above
  
5. 您可以用作儲蓄或投資的款項平均佔您收入百分比為  
What is the average percentage of your income that can be set aside for savings or investment?
  - A. 少於5% Less than 5%
  - B. 5% 至少於10% 5% to less than 10%
  - C. 10% 至少於20% 10% to less than 20%
  - D. 20% 至少於30% 20% to less than 30%
  - E. 30%或以上 30% or above
  
6. 您打算用作為投資用途的款項平均佔您的總資產淨值中的百分比為(物業除外)  
What is the average percentage of your total net worth that will be allocated for investment purpose (excluding real estate properties)?
  - A. 少於5% Less than 5%
  - B. 5% 至少於10% 5% to less than 10%
  - C. 10% 至少於20% 10% to less than 20%
  - D. 20% 至少於30% 20% to less than 30%
  - E. 30%或以上 30% or above
  
7. 於您的整體投資組合中，您偏向的平均投資年期是多久？  
What is your preferred average investment horizon of your entire investment portfolio?
  - A. 最長6個月 Up to 6 months
  - B. 最長1年 Up to 1 year
  - C. 最長3年 Up to 3 years

- D. 最長6年 Up to 6 years
- E. 最長10年 Up to 10 years
- F. 超過10年 Over 10 years

8. 下列那項陳述最能表達您的主要投資目的及投資取向?

Which of the following statements best describes your primary investment objective and investment attitude?

- A. 在一般情況下，本人的主要投資目的以投機為主，可承受平均每年金融投資 30%或以上的價格波動，並希望獲得明顯高於股票市場指數的回報，惟價格波動非本人唯一考慮，在考慮其他風險評估因素後可接受高於或低於上述的價格波動。

In general, my primary investment objective is speculation-oriented and can bear 30% or higher price fluctuation of my financial investment in one-year time on average and wish to gain a return that is remarkably higher than the stock market indexes. However, price fluctuation is not my only consideration, and I can accept higher or lower price fluctuation than the aforesaid level in consideration of other risk-assessment factors.

- B. 在一般情況下，本人的主要投資目的以資本增值為主，可承受平均每年金融投資 20%至少於 30%的價格波動，並希望獲得媲美股票市場指數的回報，惟價格波動非本人唯一考慮，在考慮其他風險評估因素後可接受高於或低於上述的價格波動。

In general, my primary investment objective is growth-oriented and can bear 20% to less than 30% price fluctuation of my financial investment in one-year time on average and wish to gain a return that is comparable to the stock market indexes. However, price fluctuation is not my only consideration, and I can accept higher or lower price fluctuation than the aforesaid level in consideration of other risk-assessment factors.

- C. 在一般情況下，本人的主要投資目的以資本增值為主，可承受平均每年金融投資 10%至少於 20%的價格波動，並希望獲得遠高於銀行存款利率的回報，惟價格波動非本人唯一考慮，在考慮其他風險評估因素後可接受高於或低於上述的價格波動。

In general, my primary investment objective is growth-oriented and can bear 10% to less than 20% price fluctuation of my financial investment in one-year time on average and wish to gain a return that is much better than the interest rate of bank deposits. However, price fluctuation is not my only consideration, and I can accept higher or lower price fluctuation than the aforesaid level in consideration of other risk-assessment factors.

- D. 在一般情況下，本人的主要投資目的以收入為主，可承受平均每年金融投資 5%至少於 10%的價格波動，並希望獲得高於銀行存款利率的回報，惟價格波動非本人唯一考慮，在考慮其他風險評估因素後可接受高於或低於上述的價格波動。

In general, my primary investment objective is income-oriented and can bear 5% to less than 10% price fluctuation of my financial investment in one-year time on average and wish to gain a return that is higher than the interest rate of bank deposits. However, price fluctuation is not my only consideration, and I can accept higher or lower price fluctuation than the aforesaid level in consideration of other risk-assessment factors.

- E. 在一般情況下，本人的主要投資目的以收入為主，可承受平均每年金融投資少於 5%的價格波動，並希望獲得稍高於銀行存款利率的回報，惟價格波動非本人唯一考慮，在考慮其他風險評估因素後可接受高於或低於上述的價格波動。

In general, my primary investment objective is income-oriented and can bear less than 5% price fluctuation of my financial investment in one-year time on average and wish to gain a return that is slightly higher than the interest rate of bank deposits. However, price fluctuation is not my only consideration, and I can accept higher or lower price fluctuation than the aforesaid level in consideration of other risk-assessment factors.

- F. 在一般情況下，本人的主要投資目的以資本保障為主，不可承受金融投資任何價格波動。

In general, my primary investment objective is capital preservation and cannot bear any price fluctuation of my financial investment.

# Documents for Customers' Record

9. 在下列表中, 請選出您的投資經驗: (如適用, 可選擇✓多於一項)

Please indicate your investment experience in the following table: (Tick ✓ more than one choice if appropriate)

| 投資產品種類<br>Type of Investment Product |  | 經驗 Experience            |                               |                          |                           |
|--------------------------------------|--|--------------------------|-------------------------------|--------------------------|---------------------------|
|                                      |  | A. 沒有 No                 | B. 少於 1 年<br>Less than 1 year | C. 1-5 年<br>1-5 years    | D. 超過 5 年<br>Over 5 years |
| i)                                   | 外幣/貴金屬<br>Foreign Currency/ Precious Metals  | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| ii)                                  | 定息債券<br>Fixed Income Securities  | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| iii)                                 | 保本結構性產品<br>Principal Protected Structured Product  | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| iv)                                  | 非保本結構性產品(與貨幣/利率掛鉤) 例如:外匯掛鉤投資<br>Non-principal Protected Structured Product (Currency / Interest Rate Linked) e.g. Currency Linked Investments  | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| v)                                   | 單位信託/互惠基金<br>Unit Trust / Mutual Fund  | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| vi)                                  | 股票<br>Equities   | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| vii)                                 | 投資相連保險計畫<br>Investment linked assurance scheme   | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| viii)                                | 非保本結構性產品(與股票/信貸/商品掛鉤)<br>例如: 股票掛鉤投資、股票掛鉤票據、信貸掛鉤票據<br>Non-principal Protected Structured Product<br>(Equities/Credit/Commodities Linked)<br>e.g. Equity Linked Investment, Equity Linked Note or Credit Linked Note | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |
| ix)                                  | 其他衍生工具 / 杠杆產品(例如:期權、期貨、認股權證、牛熊證、孖展買賣、累計認購期權或累計認沽期權)<br>Other Derivative / Leverage Product<br>(e.g. option, futures, warrant, callable bull/bear contracts, margin trading, accumulator or decumulator)            | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/> | <input type="checkbox"/>  |

## 評估結果 Assessment Result

(A) 根據您提供的答案, 您已獲通知您的投資風險取向屬於  
Based on the answers you have provided, you have been informed that your investment risk profile is

**進取 Aggressive**

您是一個進取型的投資者, 渴望追求最大潛在回報。把風險減至最低並非您的首要考慮。您能接受槓桿式投資及當產品有高回報潛力時承受相對的資本損失風險。

You are an aggressive investor who is eager to earn the highest potential returns. Minimizing risks is not your primary concern. You can accept leveraged investment and bear corresponding risk of capital loss in exchange for high return potential.

**中度進取 Moderately Aggressive**

您是一個中度進取型的投資者。您尋求賺取遠高於通脹的回報以達致高資本增值。您能接受資本值波動的程度以致能接受資本值跌至顯著地低於原本的投資額。

You are a moderately aggressive investor. You aim to earn returns substantially higher than inflation to pursue high capital appreciation. You can accept a level of fluctuation of capital values to the extent of your capital falling noticeably below your original investment.

**平穩 Moderate**

您是一個平穩型的投資者, 希望達致高於通脹率的回報及溫和資本增長。一般來說, 您傾向承受中度投資風險及接受溫和的資本值波動和能面對偶爾的短期高損失之可能性。

You are a moderate investor who wants to achieve a return higher than inflation rate and a moderate growth of capital. In general, you prefer to take medium investment risk and accept moderate fluctuation of capital values with the possibility of facing occasional high short-term loss.

**中度保守 Moderately Conservative**

您是一個中度保守型的投資者, 以尋求稍微高於存款利率的回報為主要目標。一般來說, 您傾向承受低至中度投資風險及接受不太大的資本值波動和能面對偶爾的短期高損失之可能性。

You are a moderately conservative investor whose primary aim is to look for a return slightly above deposit rate. In general, you prefer to take low-to-medium investment risk and accept modest fluctuation of capital values with the possibility of facing occasional high short-term loss.

**保守 Conservative**

您是一個保守型的投資者, 以保本為主要目標。您在投資上不願承擔風險。

You are a conservative investor whose primary aim is to preserve capital. You are risk adverse on investment.

(B)

- 根據您提供的答案及本行的評估，您已獲通知本行不會向您推介任何投資產品。  
Based on the answers you have provided and the assessment made by us, you have been informed that our Bank will not recommend any investment product to you.

### 客戶確認 Customer Declaration :

#### 第一部份 Part I : (請於以下二者選其一 Please choose from either one below)

- 本人謹此聲明根據本人所知悉的全部，為本問卷提供有效、真實、完整、準確及最新的資料，並同意及確認上述已正確顯示本人的投資風險取向。  
I hereby declare that the information I provide in this form is valid, true, complete, accurate and up-to-date to the best of my knowledge and agree and confirm that my investment risk profile is correctly stated above.
- 本人認為以下由本人自行選定更為保守的投資風險取向，更能反映本人的實際情況（請別選適合者，只適用於(A)項）。  
I confirm that my self-declared investment risk profile below, which is more prudent, is more appropriate to my situation (please tick the appropriate one, only applicable to (A)).
- 中度進取 Moderately Aggressive
- 平穩 Moderate
- 中度保守 Moderately Conservative
- 保守 Conservative

#### 第二部份 Part II :

- 本人對投資產品/服務(包括但不限於基金、債券、票據、股票掛鈎票據及其他結構性產品)感興趣，並樂意於日後以任何方式收到銀行提供的有關資料，而銀行職員亦可隨時聯絡本人，以提供有關資料。

I am interested in investment products/services (including without limitation funds, bonds, notes, equity-linked notes and other structured products) and would like to receive in future and in any means relevant information from the Bank. Also, the Bank staff may at anytime contact me for providing such information.

本人謹此聲明根據本人所知悉的全部，為本問卷提供有效、真實、完整、準確及最新的資料，並同意及確認上述的投資風險取向已正確顯示本人的投資風險取向。本人同意此投資風險取向將存於銀行記錄，及銀行將採取本問卷結果、或本人自行選定的投資風險取向、兩者的較保守者作產品合適性評估。  
I hereby declare that the information I provide in this form is valid, true, complete, accurate and up-to-date to the best of my knowledge, and agree and confirm that my investment risk profile is correctly stated above.

I hereby agree that this investment risk profile will be captured in the Bank's record, and the Bank will adopt the more conservative of the above assessment result and the self-declared investment risk profile, for product suitability assessment.

#### 重要事項

**Important Note:** 本行將就您對整份問卷提供的答案而綜合評估您的投資風險取向，而非取決於問卷內任何單一問題的答案。而您的產品合適性評估則會在往後於每次交易前做。

**Your investment risk profile assessment is based on your overall responses rather than your answer to any individual question. However, your product-specific suitability assessment will be separately conducted before every single transaction is made in future.**

客戶簽署 Customer Signature(s): \_\_\_\_\_

S.V

日期 Date: \_\_\_\_\_

#### 免責聲明

**Disclaimer:** 本問卷及其結果並不構成任何投資產品或服務的要約、招攬或建議，且不應被當作為一項投資建議。您在作出任何投資決定前，亦應考慮您的個人狀況，包括但不限於您的財政狀況、投資經驗及投資目標。本問卷的結果來自您向本行提供的資料。您必須提供有效、真實、完整、準確及最新的資料，否則將會嚴重影響本行的合適性評估。在作出任何投資決定前，請考慮諮詢您的獨立投資顧問。除我們的資料政策通告另有規定外，本問卷所收集的個人資料，將保密處理。

This questionnaire and the results do not constitute any offer, solicitation or recommendation of any investment product or services and it should not be considered an investment advice. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. The results of this questionnaire are derived from information you provide to us. You must provide information that is valid, true, complete, accurate and up-to-date. Your failure in doing so would materially affect our suitability assessment. Please consider consulting your independent investment adviser before making any investment decisions. Personal information collected in this questionnaire will be kept confidential, subject to our Data Policy Notice.