投資者問卷 Investor Questionnaire

本問卷旨在評估 閣下是否擁有關於衍生工具的一般知識。我們將會根據 閣下所提供的資料，考慮 閣下是否了解衍生工具的性質和風險。請注意：閣下日後可能需要再次填寫這份問卷，以重新評估 閣下的投資者分類。The Questionnaire is designed for assessing your whether you possess the general knowledge of derivatives products. Based on the information provided below, we will assess whether you understanding on the nature and risks of derivative products. Please note that you may be required to complete this questionnaire again in future to re-assess your Investor Characterization.

客戶資料 Client Information

客戶號碼 Client Account No.: ______________ 客戶姓名 Client(s) Name: ____

問卷 Questionnaire

本人有意交易衍生產品，包括但不限於衍生認股權證、牛熊證、交易所買賣基金、股票掛鈎票據等。I wish to trade derivatives products including but not limited to derivative warrant, Callable Bull / Bear Contract, Exchange Traded Fund, Equity Linked Instrument/ Equity Linked Note etc. (請剔選最符合 閣下的陳述。*Please answer the following questions and tick the box that best described you.*)

1. 您現時的年紀？What is your current age？	☐ 18-30 ☐ 31-40 ☐41-50 ☐51-60 ☐60 以上 Above
2. 您的應急資金可以應付多少個月的日常開支? How many months of expenses can your emergency funds cover?	☐九個月以上 More than 9 months ☐七至九個月 7 to 9 months ☐四至六個月 4 to 6 months ☐少於三個月 Less than 3 months ☐我目前沒有應急資金 I currently have no emergency funds
3. 您可以用作投資的款項佔您收入百分比為? What percentage of monthly income can be invested?	☐ 30%以上 Above ☐ 21%-30% ☐11%-20% ☐0-10% ☐我目前沒有任何收入 I currently have no income
4. 您的投資期限是多久? When do you expect to liquidate your investment?	☐七年以上 More than 7 year ☐六至七年 6 to 7 years ☐三至五年 3 to 5 years ☐一至二年 1 to 2 years ☐少於一年 Less than 1 year
5. 有多少人在財務上依賴您以維持日常生活？ How many people depend on you financially?	☐0 位 ☐1 位 ☐1 位，但是他/她就業中 But someone who work ☐2-3 位 ☐ 3 位以上 Above
6. 我願意承擔高度投資風險以實現高投資報酬 。 In order to achieve high returns I am willing to choose high risk investments.	☐非常同意 Strongly agree ☐同意 Agree ☐沒意見 Neutral ☐不同意 Disagree ☐非常不同意 Strongly disagree
7. 您的預期投資回報率是多少? What is your expected rate of return from your investments?	☐潛在回報率每年多於 15% Potential return of more than 15% per annum ☐潛在回報率每年 15% Potential return of 15% per annum ☐潛在回報率每年 12% Potential return of 12% per annum ☐潛在回報率每年 10% Potential return of 10% per annum ☐潛在回報率每年 6% Potential return of 6% per annum
8. 當您的整體投資資產下跌多少百分比，您會開始感到不安? I would start to worry about my investments if my portfolio value falls?	☐每年多於 30% More than 30% per annum ☐每年 20%至 30% 20%-30% per annum ☐每年 10%至 20% 10%-20% per annum

	☐每年 5%至 10%　5%-10% per annum ☐每年少於 5%　Less than 5% per annum
9.　您整體投資資產內的最大資金盈餘會擺放於 The maximum surplus in your current portfolio is parked into	☐房地產 Real Estate ☐互惠基金 Mutual Funds ☐股票及衍生產品 Equities and Derivatives ☐債券 Bonds ☐儲蓄及定期存款 Savings and fixed deposits
10.　相對於獲取高投資回報，我更傾向於維持資金安全。 I prefer to keep capital safe rather than have high returns	☐非常同意 Strongly agree ☐同意 Agree ☐沒意見 Neutral ☐不同意 Disagree ☐非常不同意 Strongly disagree
11.　您的主要投資目標是什麼? What is your primary investment objective?	☐提升未來生活水平 Future Lifestyle Improvement ☐資本增值 Capital Appreciation ☐保本 Capital Preservation ☐孩子的教育 Children Education ☐退休計劃 Retirement Planning
12.　您每年實得收入(扣除所有稅項後)有多少? What is your annual take home income?	☐ Over HKD$ 2,000,000 以上 ☐ HKD$ 1,000,000 - HKD$ 2,000,000 ☐ HKD$ 500,00 - HKD$ 1,000,000 ☐ HKD$ 200,000 - HKD$ 500,000 ☐ Under HKD$ 200,000 以下
13.　您用於償還債務的款項佔您實得收入百分比為? What percentage of your take home income goes into repaying your liabilities?	☐我有足夠的資金盈餘 I have enough of surplus ☐少於 20% Less than 20% ☐30% - 20% ☐50% - 30% ☐> 50%

聲明與簽署 Declaration and Signature(s)

1. 本人確認所提供的問卷資料在提供當時均屬真確。I hereby affirm that the information provided in this questionnaire is accurate as of the moment of provision.
2. 本人已明白倘若問卷內容不實，泰嘉將不能夠評估所要求服務對本人的適合性。I understood that TSAM will be unable to assess the suitability of the requested service to my interest if I fill in the questionnaire incorrectly.
3. 本人確認已收妥《風險披露聲明》，並進一步確認了解當中內容。I hereby acknowledge my/our receipt of the "Risks Disclosures Statement". I further confirm that I/we understand the content of which.

Client Signature(s) 客戶簽署　　　　日期 Date:

責任聲明 Disclaimer

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