

**Capital Dynamics Asset Management (HK) Private Limited  
(CDHK)**

資威資產管理（香港）有限公司（「資威香港」）

**INVESTOR PROFILE QUESTIONNAIRE (INDIVIDUAL)**

投資者類型問卷（個人）

**Please complete all details below.**

請詳細填寫以下各項。

---

**A Section A - Individual personal details (to be completed by single and joint investors)**

**A 部分 - 個人資料（由個人及聯名投資者填寫）**

1. Full name(s) 名字

---

2. Identity Card / Passport no

身份證 / 護照號碼

---

3. Age 年齡

☐

18 to 40  
18 至 40 歲

☐

Above 65  
65 歲以上

☐

41 to 55  
41 至 55 歲

☐

Above 75  
75 歲以上

☐

56 to 64  
56 至 64 歲

4. Phone number 電話號碼

---

5. Occupation status

就業狀況

☐

Employed 受僱

☐

Self-employed 自僱

☐

Unemployed 非受僱

☐

House-hold duties 主理家事

☐

Retired 退休

Nature of business /  
occupation 業務 / 職業性質

## 6. Politically Exposed Persons 政治活躍人士

Examples of Politically Exposed Persons include heads of state, ministers, influential public officials, judges and military commanders. If you are unsure, please contact us.

政治活躍人士的例子包括國家領導官員、部長、具影響力公職人員、法官及軍事指揮官。若您不確定，請與我們聯絡。

(a) Tick (✓) the applicable section. 請在適用項目填上「✓」號

☐ I am a politically exposed person (please refer to part b) 我是政治活躍人士（請回答 b 部分）

☐ I am related to a politically exposed person(s) (please refer to part c) 我與政治活躍人士有關連（請回答 c 部分）

☐ I am NOT a politically exposed person. 我不是政治活躍人士。

(b) Please state, in what capacity are you a politically exposed person. If not applicable, please state "N/A".

請註明您作為政治活躍人士的身份。如不適用，請填上「N/A」。

(c) Please state, your relationship with the politically exposed person(s) and in what capacity is he / she a politically exposed person. If not applicable, please state "N/A".

請註明您與政治活躍人士的關係，以及其作為政治活躍人士的身份。如不適用，請填「N/A」。

## 7. Education 教育程度

☐

University or above  
大學或以上

☐

Tertiary 高等教育

☐

High School 高中

☐

Primary 小學

## 8. Types of assets owned 所擁有資產類別

☐

Cash 現金

☐

Real Estate  
房地產

☐

Shares, bonds  
股票、債券

☐

Other (please specify)  
其他（請註明）

\_\_\_\_\_

## 9. Investor's net worth in HKD (total assets less total liabilities) EXCLUDING ALL REAL ESTATE AND INSURANCE (in respect of joint investor, combined total net worth)

投資者的港元資產淨值（總資產減去負債），不包括任何房地產及保險

（如屬聯名投資者，則為所有投資者的資產淨值總和）

☐

Less than 1 million  
少於 100 萬

☐

More than 1 million but less than 8 million  
100 萬以上但少於 800 萬

☐

More than 8 million  
800 萬以上

10. What is the percentage of the current fund investment with CDHK compared with your net worth above?  
閣下現時於資威香港的基金投資佔上述資產淨值多少百分比？

- |                                               |                                               |
|-----------------------------------------------|-----------------------------------------------|
| <input type="checkbox"/> Less than 20% 少於 20% | <input type="checkbox"/> Less than 50% 少於 50% |
| <input type="checkbox"/> More than 70% 多於 70% | <input type="checkbox"/> More than 80% 多於 80% |

**B Section B - Risk profiling analysis**  
**B 部分 - 風險類型分析**

(i) Financial situation 財務狀況

11. What is your annual total income (in HK dollars)? 您的年度總收入（港元）有多少？

For internal use only 僅供內部使用

- |                                                                   |         |
|-------------------------------------------------------------------|---------|
| <input type="checkbox"/> Below 250,000 250,000 以下                 | _____ 1 |
| <input type="checkbox"/> 250,001 to 500,000 250,001 至 500,000     | _____ 2 |
| <input type="checkbox"/> 500,001 to 800,000 500,001 至 800,000     | _____ 3 |
| <input type="checkbox"/> 800,001 to 1,000,000 800,001 至 1,000,000 | _____ 4 |
| <input type="checkbox"/> Over 1,000,000 100 萬以上                   | _____ 5 |

12. What percentage of your annual income is available for investment?  
您的年度收入有多少百分比可用作投資？

- |                                              |         |
|----------------------------------------------|---------|
| <input type="checkbox"/> 0% to 10% 0%至 10%   | _____ 1 |
| <input type="checkbox"/> 11% to 20% 11%至 20% | _____ 2 |
| <input type="checkbox"/> 21% to 30% 21%至 30% | _____ 3 |
| <input type="checkbox"/> 31% to 40% 31%至 40% | _____ 4 |
| <input type="checkbox"/> Over 40% 40%以上      | _____ 5 |

(ii) Investment experience and objectives 投資經驗及目標

13. How many years of investment experience do you have? 您有多少年投資經驗？

- |                                                                                                              |         |
|--------------------------------------------------------------------------------------------------------------|---------|
| <input type="checkbox"/> None, we have never made any investments in financial markets<br>沒有，我們從未在金融市場作出任何投資 | _____ 1 |
| <input type="checkbox"/> Less than 1 year 少於 1 年                                                             | _____ 2 |
| <input type="checkbox"/> 1 to 5 years 1 至 5 年                                                                | _____ 3 |
| <input type="checkbox"/> 6 to 10 years 6 至 10 年                                                              | _____ 4 |
| <input type="checkbox"/> Over 10 years 10 年以上                                                                | _____ 5 |

14. What is your main investment objective? 您的主要投資目標是甚麼？

- |                                                                            |         |
|----------------------------------------------------------------------------|---------|
| <input type="checkbox"/> Capital preservation 保本                           | _____ 1 |
| <input type="checkbox"/> Retirement / children education fund 退休金 / 子女教育基金 | _____ 2 |
| <input type="checkbox"/> Hedging 對沖                                        | _____ 3 |
| <input type="checkbox"/> Capital gains 資本增值                                | _____ 4 |
| <input type="checkbox"/> Speculation to get high returns 投機賺取高回報           | _____ 5 |

(iii) Investment horizon 投資年期

15. How long do you tend to hold investments? 您計劃持有投資多久？

- |                                                    |         |
|----------------------------------------------------|---------|
| <input type="checkbox"/> Less than 1 year 少於 1 年   | _____ 1 |
| <input type="checkbox"/> 1 to 3 years 1 至 3 年      | _____ 2 |
| <input type="checkbox"/> 4 to 6 years 4 至 6 年      | _____ 3 |
| <input type="checkbox"/> 7 to 9 years 7 至 9 年      | _____ 4 |
| <input type="checkbox"/> More than 10 years 10 年以上 | _____ 5 |

(iv) Risk appetite 風險承受度

16. What level of potential loss on your investment amount is acceptable to you?

您可接受甚麼程度的潛在投資虧損？

- |                                                                  |         |
|------------------------------------------------------------------|---------|
| <input type="checkbox"/> No capital loss 無資本虧損                   | _____ 1 |
| <input type="checkbox"/> A small loss (up to 10%) 小量虧損 (最多 10%)  | _____ 2 |
| <input type="checkbox"/> A medium loss (up to 20%) 中等虧損 (最多 20%) | _____ 3 |
| <input type="checkbox"/> A large loss (up to 30%) 大量虧損 (最多 30%)  | _____ 4 |
| <input type="checkbox"/> A huge loss (50% or more) 龐大虧損 (50%或以上) | _____ 5 |

17. If you were not to have any new income an ongoing basis, how long could you support yourself based on your current financial status?

若您不會持續賺取新收入，以現時的財務狀況來看，您的積蓄可以支持個人的生活多久？

- |                                                     |         |
|-----------------------------------------------------|---------|
| <input type="checkbox"/> Less than 6 months 少於 6 個月 | _____ 1 |
| <input type="checkbox"/> Less than 1 year 少於 1 年    | _____ 2 |
| <input type="checkbox"/> Less than 2 years 少於 2 年   | _____ 3 |
| <input type="checkbox"/> Less than 3 years 少於 3 年   | _____ 4 |
| <input type="checkbox"/> More than 3 years 3 年以上    | _____ 5 |

18. What kind of product return profile would you be comfortable with?  
您對以下哪種產品回報類型感到安心？

- |                                                                |         |
|----------------------------------------------------------------|---------|
| <input type="checkbox"/> guaranteed funds / products 保證基金 / 產品 | _____ 1 |
| <input type="checkbox"/> stable growth 穩定增長                    | _____ 2 |
| <input type="checkbox"/> balanced growth 均衡增長                  | _____ 3 |
| <input type="checkbox"/> Aggressive 進取                         | _____ 4 |
| <input type="checkbox"/> high risk 高風險                         | _____ 5 |

19. Do you foresee any liquidity need within the next 12 months?  
您預計接下來的 12 個月內會否需要流動資金？

- |                                               |         |
|-----------------------------------------------|---------|
| <input type="checkbox"/> Yes 會                | _____ 1 |
| <input type="checkbox"/> Highly likely 很可能會   | _____ 2 |
| <input type="checkbox"/> Likely 可能會           | _____ 3 |
| <input type="checkbox"/> Highly unlikely 機會不大 | _____ 4 |
| <input type="checkbox"/> None 不會              | _____ 5 |

20. If you suddenly had to arrange for a substantial loan or mortgage, would you have the capacity to make regular contributions to pay the installments?  
若您突然需要進行大額貸款或按揭，您能否定期支付分期供款？

- |                                                                                                                             |         |
|-----------------------------------------------------------------------------------------------------------------------------|---------|
| <input type="checkbox"/> Not possible 不可能                                                                                   | _____ 1 |
| <input type="checkbox"/> Possible only for small loan e.g. tax<br>只可應付小型貸款，例如稅務                                             | _____ 2 |
| <input type="checkbox"/> Possible for both tax loan and property mortgage payment<br>可應付稅務貸款及物業按揭還款                         | _____ 3 |
| <input type="checkbox"/> Yes, because of stable employment or plenty of savings etc<br>可以，因為我擁有穩定工作或充裕儲蓄等                   | _____ 4 |
| <input type="checkbox"/> Not applicable, because I will not have to arrange for any loan or mortgage<br>不適用，因為我不需要進行大額貸款或按揭 | _____ 5 |

(v) Investment knowledge 投資知識

21. Do you have any educational / professional qualifications related to investment?  
(Please tick one or more boxes as applicable.)  
您是否持有任何投資相關的教育 / 專業資格？  
(請在適用的方格填上「✓」號)

- |                                                                                                                           |                                  |                                 |
|---------------------------------------------------------------------------------------------------------------------------|----------------------------------|---------------------------------|
| - Bachelor Degree or above in Investment / Accounting / Economics or Finance related areas<br>投資 / 會計 / 經濟或金融相關領域的學士學位或以上 | Yes 是 <input type="checkbox"/> 1 | No 否 <input type="checkbox"/> 0 |
| - Chartered Financial Analyst (CFA) / Certified Financial Planner (CFP) 特許財務分析師 / 認可財務策劃師                                 | Yes 是 <input type="checkbox"/> 1 | No 否 <input type="checkbox"/> 0 |

- Financial Risk Manager Program (FRM) and other relevant programmes 金融風險管理及其他相關課程 Yes 是 ☐ 1 No 否 ☐ 0
- Certified Public Accountants (CPA) 註冊會計師 Yes 是 ☐ 1 No 否 ☐ 0
- Passed relevant licensing examinations of Hong Kong Securities Institute (HKSI) or currently a member of HKSI or other relevant securities body recognized by overseas regulator  
通過香港證券專業學會 (HKSI) 的相關資格認證考試或現為 HKSI 或其他獲海外監管機構認可的相關證券機構之成員 Yes 是 ☐ 1 No 否 ☐ 0
- Other (please specify) 其他 (請註明) Yes 是 ☐ 1 No 否 ☐ 0

22. Have you ever invested in any of the following investment types? If yes, what is / was the average investment amount and years held to date? (For additional information; no score allocated.)

您曾否投資於以下任何投資類別？如有，請註明平均投資金額及持有年期。（僅作補充資料；不會給予評分。）

Types 類型	Average value (in HK\$) 平均價值 (港元)	Years 年期
HK listed securities / exchange traded funds 香港上市證券 / 交易所買 賣基金	_____	_____
Overseas listed securities 海外上市證券	_____	_____
Private equity funds 私募基金	_____	_____
Hedge funds 對沖基金	_____	_____
Equity funds 股票基金	_____	_____
Fixed income funds 固定收益基金	_____	_____
Money markets funds 貨幣市場基金	_____	_____
Balanced funds 均衡基金	_____	_____
Other (please specify) 其他 (請註明)	_____	_____

(vi) Rating of investor's risk tolerance level 投資者的風險承受能力水平之評級

23. Based on your responses to the profiling questions above, your risk tolerance level is indicated below.  
根據您就上述問題所作的回應，您的風險承受能力水平如下。

**Important note: 重要事項:**

- (a) If you do not provide sufficient information for us to assess your risk tolerance level, we will still make an assessment based on the assumptions set out below.  
若您未能向我們提供足夠資料以評估您的風險承受能力水平，我們將根據以下假設作出評估。
- (b) If you disagree with our rating, please change it and initial the change, only if you wish to downgrade your risk tolerance. Under no circumstances may you upgrade your rating.  
若不同意我們的評級，請更改評級並提出有關要求，但只適用於調低您的風險承受能力。您在任何情況下均不得調高您的評級。

In general, a score which falls into the following range would indicate the following risk tolerance level.  
一般來說，評分所屬區間即反映您屬於以下哪個風險承受能力水平。

[Score guide 評 分指引] Your total score 您的總分

--	--

Your risk tolerance level 您的風險承受能力水平

8 to 20 8 至 20	Low (Your primary objective is to preserve your capital and you expect interest income in order to be in line with short-term money market rates. You do not accept moderate or high risk products.) 低（您的主要目標是保本，您預期可賺取與短期貨幣市場利率相若的利息收入。您不接受中等至高風險的產品。）
21 to 30 21 至 30	Moderate (You seek a regular income of moderate returns and do not accept high risk products.) 中（您希望以中等回報賺取定期收入，而且不接受高風險產品。）
31 or above 31 或以上	High (You seek only high capital appreciation over the long term and can bear high risks and potential losses.) 高（您只希望在長遠取得高資本增值，並可承受高風險及潛在虧損。）

Other factors considered (please specify)  
其他考慮因素（請註明）

---



---



---



---

24. For use only in cases of insufficient information to make assessment 僅供資料不足以進行評估時使用

Please list assumptions: 請  
列出假設:

---



---



---

## Declaration by licensed staff member of CDHK during face-to-face meeting with investors

### 資威香港持牌職員與投資者面談的聲明

- I have provided the Risk Disclosure Statements in a language of the investor's choice (English or Chinese).
- I have invited the client to read the Risk Disclosure Statements, ask questions and take independent advice if the client thinks it is necessary.
- 我已根據投資者的語言選擇提供相應版本的風險披露聲明（英文或中文）。
- 我已邀請客戶細閱風險披露聲明，並在其有需要時作出查詢及徵求獨立意見。

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Full name of staff member

職員姓名

Signature of staff member

職員簽署

Date 日期

SFC CE number:

證監會中央編號:

--	--	--	--	--	--

## Acknowledgement by Individual Investor 個人投資者確認

- I, the undersigned investor, confirm that the information contained in this (i) Investor Profile Questionnaire is true and accurate. Unless Capital Dynamics Asset Management (HK) Private Limited ("CDHK") receives notice in writing of any change from me, CDHK is entitled to rely fully on such information and representations for all purposes.
- 本人（以下簽署投資者）確認(i)本投資者類型問卷調查所載資料均為真實及準確。除非資威資產管理（香港）有限公司（「資威香港」）收到本人作出任何變動的書面通知，否則資威香港有權完全依據該等資料及聲明作所有目的。
- I also note and agree with my risk tolerance level in item 23 above.
- 本人亦表明及同意上文第 23 項有關本人的風險承受能力水平。
- I am the beneficial owner of the investments.
- 本人為投資的實益擁有人。
- CDHK is authorized at any time to contact anyone, including my banks, brokers or any credit agency, for the purpose of verifying the information provided on this Investor Profile Questionnaire.
- 資威香港獲授權可隨時聯絡任何人，包括本人的銀行、經紀或任何信貸代理，以核實本投資者類型問卷調查所提供的資料。
- I have received a copy of CDHK's Personal Information Collection Statement.
- 本人已收到資威香港的個人資料收集聲明副本。
- The Risk Disclosure Statements set out in Annex 1 to the letter enclosing this Investor Profile Questionnaire have been provided in English, which is according to my choice of language.
- 本投資者類型問卷調查附件 1 載有英文版本的風險披露聲明，乃根據本人的語言選擇提供。
- I have read the Risk Disclosure Statements and had opportunity to ask questions and take independent advice.
- 本人已細閱風險披露聲明，並已作出查詢及徵求獨立意見。

IF THIS QUESTIONNAIRE CANNOT BE SIGNED BY THE INVESTOR IN THE PRESENCE OF A REPRESENTATIVE OF THE COMPANY, IT MAY BE SIGNED IN THE PRESENCE OF A SPECIFIED PERSON IN SECTION BELOW

若投資者未能在基金管理人代表見證本表格，則可在下文部分的指定人士見證下簽署

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Full name of investor

投資者姓名

Signature of investor

投資者簽署

Date 日期



IF THIS QUESTIONNAIRE CANNOT BE SIGNED BY THE INVESTOR IN THE PRESENCE OF A REPRESENTATIVE OF THE COMPANY, IT MAY BE SIGNED IN THE PRESENCE OF A SPECIFIED PERSON (SEE NOTE) 若投資者未能在公司代表見證下簽署本問卷，則可在指定人士見證下簽署（見附註）

The undersigned person hereby confirms that they have sighted an appropriate original identification document of the investor and that the investor signed this document in his / her physical presence.

以下簽署人謹此確認其已就投資者的適當身份證明文件正本過目，而且投資者在其親身見證下簽署本文件。

Signed by: 簽署人:

Witness full name 見證人姓名

Witness signature 見證人簽署

HKID card / passport no /  
SFC CE no/ other registration  
no 香港身份證 / 護照號碼 /  
證監會中央編號 / 其它號碼

Witness address 見證人地址

D D M M Y Y Y

Date 日期

Witness occupation 見證人職業

Witness corporate chop/seal

見證人加企業蓋/印鑑

(Note) Signing can be witnessed by any Hong Kong SFC licensed or registered person or a licensed individual of a financial institution which is an affiliate of CDHK and is regulated in a FATF member country, a Justice of the Peace, a branch manager of a bank in a FATF member country, Hong Kong practicing certified public accountant, lawyer in a FATF member country or notary public in a FATF member country.

（附註）簽署可由任何香港證監會持牌人或註冊人或屬資威香港聯屬公司並受 FATF 成員國監管的金融機構之持牌個人、太平紳士、FATF 成員國的銀行分行經理、香港執業註冊會計師、FATF 成員國的律師或 FATF 成員國的公證人見證。