中國信託證券(香港)
CTBC ASIA

Investment Risk Profiling Assessment (Individual Customer)
客戶投資風險評估表格(個人客戶)

Account Name 帳戶名稱:	**Account Number 帳戶號碼:**

I、Basic Information and Financial Status:
一、基本資料與財務狀況:

Project/Risk Tolerance Score 項目/風險承受度計分				Points 分數
1.Customer Age 客戶年齡	□ Below 24 or above 70 24 歲以下或 70 歲以上	□ Between 51-69 51 歲至 69 歲	□ Between 25 to 50 25 歲至 50 歲	
2.Education level 教育程度	□ Junior high school or below or unable to determine 國中以下或無法判定	□ High school, vocational training, college 高中、職業學校、專科	□ University or above 大學以上	
3.Annual income 個人年收入	□ US 100K or below US$ 10萬以下	□ US 110K to 200K US$ 11萬至 20萬	□ US 210K or above US$ 21萬以上	
4.Personal asset 個人財產總值	□ US 200K or below US$ 20 萬以下	□ US 210K to 1 million US$ 21萬至 100萬	□ US 1.01 million or above US$ 101 萬以上	
5.Source of income 資金來源 (Can choose more than one) (可複選)	□ Savings 儲蓄 □ Pension 退休金	□ Inheritance or gift 繼承或贈與 □ Company warrants 公司認股權憑證 □ Investment 理財投資所得	□ Rental income 租金收入 □ Salary (including bonus) 薪資所得(含獎金) □ Business Revenue 經營事業所得	
6.Approximate disposable investment capital (US$) 可支配投資資金規模(約當美元)	□ US 200K or below US$ 20萬以下	□ US 210K to 1 million US$ 21萬至 100萬	□ US 1.01 million or above US$101 萬以上	

II、Investment Experience and Objectives:
二、投資經濟與目的:

Project/Risk Tolerance Score 項目/風險承受度計分				Points 分數
1.Investment objective 投資目的 (Can choose more than one) (可複選)	□ Children's education fund 子女教育金 □ Earn fix income 賺取固定收益 □ Long term investment 長期投資 □ Others 其他	□ Wealth accumulation 財富累積 □ Legal Tax Saving 合法節稅	□ Use of idle funds 閒置資金利用 □ Fund application 資金運用	
2.Investment experience 投資經歷	□ None 無 □ Less than 1 year 1 年以下	□ 1-2 years 1 年至 2 年 □ 2-5 years 2 年至 5 年	□ More than 5 years 5 年以上	
3.Investment duration 投資期限	□ Long-term 長期	□ Mid-term 中期 □ Unknown 不定	□ Short-term 短期	
4.Transaction frequency 交易頻率	□ Half a year 半年 □ One year or above 1 年以上	□ Monthly 每月 □ Seasonal 每季	□ Daily 每日 □ Weekly 每週	
5.Experience in financial products investment 投資金融商品經歷	□ Funds, bonds 基金、債券	□ Individual stocks, warrants, options, exchange traded funds (ETF) 個股股票、權證、期權、交易所買賣基金(ETF)	□ Structured goods 結構型商品	
6.Stock investment preference 投資股票類型偏好	□ Blue-ship stock 穩健的大型股	□ Mid-cap stocks with high potentials 具成長性的中型股	□ Small stocks with high volatility 波動幅度大的小型股	

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7. Capital leverage ratio (potential profit and potential loss is enlarged by the same magnitude) 可接受的資金槓桿成數(潛在獲利與潛在損失同等幅度放大)	□ Do not use capital leverage 不使用資金槓桿	□ Within 150% leverage 槓桿成數 150%以內	□ 150% above leverage 槓桿成數 150%以上	

III、 Customer risk appetite and tolerance:

三、客戶風險偏好及承受:

Project/Risk Tolerance Score 項目/風險承受度計分				Points 分數
1.Expected proportion of capital-guaranteed commodities in the investment portfolio 預計保本型商品佔投資組合的比重	□ 60% or above 60%以上	□ Between 40% to 59% 40%~59%	□ 39% or below 39%以下	
2.Which product are you willing to invest 50% of your investment? 願意投入所有投資資金的50%在哪一種商品?	□ ROI: 3% to 5% 報酬率: 3%至 5%	□ ROI: 15% to 25% 報酬率: 15%至 25%	□ ROI: 50% to 100% 報酬率: 50%至 100%	
3.The level of impact on your daily activities when the overall value of investment dropped by 25%. 投資部位整體價值下跌 25%時，對日常活動的影響	□ Highly impacted 影響程度大	□ Moderate impacted, still tolerable 中等影響，尚能承受	□Slightly impacted 影響輕微	
4.If the investment encounters unexpected incidents which caused substantial loss, your current available cash flow is able to support how many months of your living expenses? 投資部位若遇到非預期事件發生導致投資部位大幅度損失，尚能動用的預備資金可支應日常生活多久?	□ 0-3 months 0~3個月	□ Between 3 to 6 months 3~6個月	□.6 months or above 6個月以上	

評估結果客戶風險承受能力分數: 分(由開戶對保人員填寫) 開戶對保人員簽署 ______________

Customer's Declarations 客戶聲明
I hereby declare and confirm that an Investment Risk Tolerance Analysis and an Investor Characterization are conducted on ___________(date/time) by your staff _____________________ (Name of staff). I hereby accept and agree that the above result is my Risk Tolerance Level and Investor Characterization on Investment. I acknowledge receipt of a copy of this Customer Investment Risk Assessment Form. 本人現聲明及確認於_____________（日期/時間），貴公司職員_________________（職員姓名）為本人進行投資風險承受能力分析及投資者分類，本人接受及同意以上結果為本人的投資風險承受能力程度及投資者分類。本人已收訖此客戶投資風險評估表格的副本。 I hereby declare and confirm that the above information relating to my investment profile, risk tolerance and investor characterization is true and correct. 本人現聲明及確認以上關於本人投資檔案，風險承受程度及投資者分類的資料均屬真實及正確。 I hereby declare and confirm that I have read and understand the attachment on risk disclosure for derivative products. 本人現聲明及確認本人已閱讀及明白附件中有關衍生產品的風險披露。 _________________________ Signature of Customer: 客戶簽署： Date: 日期：

Internal Use Only 只供內部使用:

文件於____________（日期）____________ (時間）____________ (地點) 或以電話錄音 (內線:__________) 完成。

錄音人員

Customer risk tolerance type 客戶風險承受等級類型	Risk tolerance level (interval) 風險承受等級對應分數區間	Customer risk tolerance level 客戶風險承受分級評估結果勾選
Active 積極型	46 to 51 46 至 51	□
Active and steady 穩健積極型	39 to 45 39 至 45	□
Steady 穩健型	32 to 38 32 至 38	□
Conservative and steady 保守穩健型	25 to 31 25 至 31	□
Conservative 保守型	17 to 24 17 至 24	□

Risk tolerance 風險承受度	Customer risk tolerance type 客戶風險承受類型	Customer risk tolerance type description 風險承受類型描述
Low 低	Conservative 保守型	A high degree of capital preservation is required, and the acceptable return on investment is only slightly higher than the fixed deposit interest rate. This type of customers is willing to accept low fluctuations in the securities they invest with low investment loss. 要求高度資本保全，可接受投資報酬率僅略高於定存利率。本類型客戶願意接受所投資的有價證券低幅度波動與低幅度損失。
Medium Low 中低	Conservative and steady 保守穩健型	Medium to high-level capital preservation is required, and the acceptable return on investment is higher than the fixed deposit interest rate. This type of customers is willing to accept low-to-medium fluctuations with medium-low investment loss. 要求中高度資本保全，追求投資報酬率高於定存利率。本類型客戶願意接受所投資的有價證券中低幅度波動與中低幅度損失。
Medium 中	Steady 穩健型	Medium capital preservation is required, and the acceptable return on investment is higher than market average. This type of customers is willing to accept moderate fluctuations with medium investment loss. 要求中等資本保全，追求投資報酬率高於市場平均。本類型客戶願意接受所投資的有價證券中等幅度波動與中等幅度損失。
Medium High 中高	Active and steady 穩健積極型	Low capital preservation is required, and expected high return on investment. This type of customers is willing to accept medium to high fluctuations and medium to high investment loss. 要求中低度資本保全，追求相對高的投資報酬率。本類型客戶願意接受所投資的有價證券中高幅度波動與中高幅度損失。
High 高	Active 積極型	Willing to take a high of investment risk and actively pursue the maximization of return on investment. This type of client is willing to accept high fluctuations and high losses in the securities invested. 願意承擔高度投資風險，積極追求投資報酬率極大化。本類型客戶願意接受所投資的有價證券高幅度波動與高幅度損失。