Investment Products 投資產品	Investment Experience 投資經驗		
	No 沒有 Score 0	Less than 5 transactions 少於 5 筆交易 Score 3	5 transactions or above 5 筆或以上交易 Score 5
(a) Equity 證券 Average Size per Transaction (HK$): 每宗交易平均金額（港元）________________	☐	☐	☐
(b) Futures and Options 期貨及期權 Average Size per Transaction (HK$): 每宗交易平均金額（港元）________________	☐	☐	☐
(c) Fixed Income Products 固定收益產品 Average Size per Transaction (HK$): 每宗交易平均金額（港元）________________	☐	☐	☐
(d) Mutual Funds/ Unit Trusts 互惠基金/信託基金 Average Size per Transaction (HK$): 每宗交易平均金額（港元）________________	☐	☐	☐
(e) OTC Swap / Accumulators /Decumulators 場外掉期/累計認購期權/累計認沽期權 Average Size per Transaction (HK$): 每宗交易平均金額（港元）________________	☐	☐	☐
(f) Other Structured Notes Average Size per Transaction (HK$): 每宗交易平均金額（港元）________________	☐	☐	☐
(g) Others (Please specify): 其他（請註明） Average Size per Transaction (HK$): 每宗交易平均金額（港元）________________	☐	☐	☐

8. How would the Customer react if the Customer's portfolio fell significantly (e.g., more than 20%) within one day?
如客戶的投資組合在一日之內大幅下跌（例如，超過20％），客戶將如何反應？

☐ (a) Do not know how to react 不知道該如何反應 Score 0

☐ (b) Stop loss without any strategic consideration 在並無作出任何策略考慮下即時止蝕 Score 1

☐ (c) Wait and see if investment improves and may stop loss rationally 等待及觀察投資會否有所改善，並可能合理地止蝕 Score 2

☐ (d) Understand market fluctuations are unavoidable and will not alter the determined investment strategy 明白市場波動是不可避免，不會改變既定的投資策略 Score 4

☐ (e) Undergo in-depth analysis and reallocate investment portfolio 進行深入分析並重新分配投資組合 Score 5

9. What is the Customer's primary investment objective?
客戶的主要投資目標是什麼?

☐ (a) Capital preservation and regular income 資本保值及固定收益 Score 1

☐ (b) Moderate capital appreciation and regular income 適度的資本增值及固定收益 Score 2

☐ (c) Moderate capital appreciation and high regular income 適度的資本增值及高固定收益 Score 3

☐ (d) Aggressive capital appreciation and high regular income 進取資本增值及高固定收益 Score 4

☐ (e) Very aggressive capital growth 極度進取資本增值 Score 5

III. Customer's Risk Tolerance Level (Assessment by Licensed Representative)
客戶風險承受程度（由持牌人士評核）

Risk Tolerance Level 風險承受程度

Customer's risk tolerance level is:
客户的風險承受程度爲：

☐ low risk 低風險 ☐ moderate risk 中等風險 ☐ high risk 高風險

Risk Tolerance Level 風險承受程度	Investment Risk Profiles 投資風險評估
low risk 低風險 0-Score 35 0-35分	Refer to investors who can tolerate low to medium level of investment risk; have some knowledge and experience in financial investment. 指屬於能承受低至中度投資風險的投資者；於金融投資方面具有一些知識及經驗。
moderate risk 中等風險 Score 36-70 36-70分	Refer to investors who can tolerate medium level of investment risk; have reasonable knowledge or experience in financial investment; and / or have moderate financial capability to tolerate losses from investment. 指屬於能承受中度投資風險的投資者；於金融投資方面具有一定的知識或經驗；及/或擁有穩定的財政能力來承受投資帶來的損失。
high risk 高風險 Score70 以上 70分以上	Refer to investors who can tolerate medium to high level of investment risk; have considerable knowledge or experience in financial investment; and / or have strong financial capability to tolerate losses from investment. 指屬於能承受中至高度投資風險的投資者；於金融投資方面具有相當的知識或經驗；及/或擁有良好的財政能力來承受投資帶來的損失。

Customer confirmation 客戶確認

☐ Client agrees with the Risk Tolerance Level result above.
客戶同意上述風險承受程度評核結論。

☐ Client disagrees with the Risk Tolerance Level result above. Please indicate the Risk Tolerance Level towards investment risk that the Customer considers appropriate and state the reason(s):
客戶不同意上述風險承受程度評核結論。請指出客戶認為更合適的可承受風險程度取向，並於此詳述原因:

☐ low risk 低風險 ☐ moderate risk 中等風險 ☐ high risk 高風險

Reason(s) 原因：

IV. Customer's knowledge on derivative instrument 客戶對衍生工具的認識

☐ The Customer does **not** have any knowledge of the nature and risks of derivatives instruments. **Please note that Taiping will not market, distribute and recommend derivative products to the Customer. The Customer cannot give instructions in respect of derivatives instruments.**
客戶對衍生工具的性質及風險**並無**任何知識。**務請注意，太平不會向客戶推銷、分銷及推薦衍生工具產品。客戶不能就衍生工具作出任何指示。**

☐ The Customer confirms that it **has** acquired general knowledge of derivative instruments by the following mean(s) and understood the nature and risks of derivative instruments:
客户確認其經以下途徑**獲得**對衍生工具的一般認識並明白衍生工具的性質及風險 。

☐ (1) The Customer has prior trading experience and have executed five or more transactions in the following derivative instrument(s) (whether traded on an exchange or not) within the past three years (please provide supporting transaction documents):
客户擁有買賣衍生工具的經驗，並於過去三年曾訂立五筆或以上有關下列衍生工具(不論是否在交易所買賣)的交易（請提供交易支持文件）:

☐ Currency Linked Products 貨幣掛鈎產品

☐ Interest Rate Linked Products 利率掛鈎產品

☐ Equity Linked Products 股票掛鈎產品

☐ Credit Linked Products 信貸掛鈎產品

☐ Derivative Warrant/Callable Bull/Bear Contracts 衍生權證/牛熊證

☐ Future/Option 期貨 / 期權

☐ Exchange Traded Funds that Invest in Derivative Instruments
投資於衍生工具的交易所買賣基金

☐ Unit Trusts that involve in Derivative Instruments 包含衍生工具成份的信托基金

☐ Other (Please specify 其他（請註明） ____________________)

☐ (2) The investment decisions on derivative investments have been made in the following manner (please provide supporting transaction documents):
有關衍生工具投資的投資決策已透過下列方式作出（請提供交易支持文件）：

☐ (i) Through the Customer's dedicated investment process or specialized function for making investment decisions on its behalf (please provide details, e.g.: name of the specialized function, composition of the function, the investment decision process etc.):
透過客戶的專用投資流程或專用功能代表客戶作出投資決策（請提供詳情，例如：專用功能的名稱、功能的組成，投資決策流程等）：

____

☐ (ii) Through the Customer's designated investment decision maker who has the following current/ previous experience related to derivative instruments: 透過客戶的指定投資決策者作出投資決策，而該投資決策者具有下列現有/以往與衍生工具相關的經驗：

Industry 行業

☐ Banking 銀行 ☐ Financial Services 金融服務 ☐ Insurance 保險

☐ Education 教育

☐ Other (Please specify) 其他（請註明） ______________________________

Job Nature (in relation to derivative instruments) 職務性質 (與衍生工具有關)

☐ Sales & Marketing 銷售及推廣

☐ Product Trading 產品交易

☐ Product Development 產品開發

☐ Others (Please specify) 其他（請註明）

Please specify no. of years of experience 請列明經驗年期: ______________________________

Trading volume and number of derivative transactions in the past 2 years
過去兩年曾進行的衍生工具交易量及數目:

☐ (iii) Through the Customer's designated investment decision maker who has undergone relevant qualifications, training or attended courses on derivative instruments. 透過客戶的指定投資決策者作出投資決策，而該投資決策者已取得相關資格、曾接受培訓或修讀相關衍生工具課程。

Date of Completion (yyyy/mm) 完成日期(年/月)： ______________________________

Please provide details of the courses attended 請提供修讀課程的詳情:

Please specify the relevant licence /professional status (e.g. SFC licence / HKMA registration / CFP / CFA / CPA etc.)
請註明相關的牌照/專業資格（例如證監會牌照/金管局註冊/特許財務策劃師 / 特許金融分析師 / 註冊會計師等資格）：

Customer's confirmation 客戶確認:

1. The Customer has been invited by Taiping to read this Questionnaire and to ask questions where necessary and take independent advice if needed, and declares the Customer will make investment decision based The Customer's own judgment.
   太平已邀請客戶細閱本問卷並在必要時提出疑問，以及在有需要時尋求獨立意見，同時聲明客戶將根據其判斷自行作出投資決策。

2. The results of this Questionnaire and the assigned Risk Tolerance Level have also been explained to the Customer by a representative of Taiping. The Customer confirms it fully understands the results of this Questionnaire and the assigned Risk Tolerance Level.
   太平已指派代表向客戶解釋本問卷的結果及被指定的風險承受程度。客戶確認，其完全了解本問卷的結果以及被指定的風險承受程度。

3. The Customer confirms that the information provided above is true and complete, and understands and agrees that Taiping will rely on the above information provided to assess whether the Customer has acquired general knowledge of the nature and risks of derivative instruments.
   客戶確認，以上提供的資料均屬真確及完整，明白及同意太平將依賴以上提供的資料來評估客戶是否已獲得有關衍生工具的性質及風險的一般知識。

4. The Customer undertakes to notify Taiping immediately of any changes of information provided in this Questionnaire and changes of its designated investment decision maker, and provide Taiping with any information or appropriate documentary evidence as required by Taiping for assessing the Customer's risk profile.
   客戶承諾，如其在本問卷中所提供的資料及其指定投資決策者有任何更改，其須即時通知太平，並向太平提供太平就評估客戶風險評估所需的任何資料或適當的文件證明。

5. The Customer agrees with the Risk Tolerance Level result above or has indicated objection (and reasons thereof) to the Risk Tolerance Level result. The Customer understands and agrees that Taiping will only market, distribute and recommend investment products to the Customer which are compatible with the Customer's Risk Tolerance Level and as Taiping at its sole and absolute discretion considers suitable to the Customer.
   客戶同意以上風險承受程度結果，或已表明對風險承受程度結果有異議（及其原因）。 客戶明白及同意，太平將僅向客戶推銷、分銷及推薦與客戶的風險承受程度相符，且為太平全權絕對酌情認為適合客戶的投資產品。

Signature (with company chop, if any) 簽署（連同公司印章（如有））:

Date 日期

/ /

Authorised Signatory / designated investment decision maker 授權簽署人/指定投資決策者:

Title 職位:

Signature (with company chop, if any) 簽署（連同公司印章（如有））:

Date 日期

/ /

Authorised Signatory / designated investment decision maker 授權簽署人/指定投資決策者:

Title 職位:

For Official use only 僅供公司使用

Settlement Department approved by 由交收部門批核		
Name of staff 職員姓名:	Signature of staff 職員簽署:	Date 日期:
Responsible Officer approved by 由持牌負责人批核		
Name of staff 職員姓名:	Signature of staff 職員簽署:	Date 日期:
Remarks 備註:		