AFG Securities Limited ("AFG")
高鉦証券有限公司("高鉦")

CRPQ-01

Client Risk Profiling Questionnaire - Investment Products
投資產品 – 風險承受能力問卷
(for Individual/Joint/Corporate[Note] Account 個人/聯名/公司[註]戶口適用)

This questionnaire serves to help us to assess your risk attitude based on your ability to take risk and your risk tolerance level. If your situation or investment goals change, you should approach us and update your information in this questionnaire as soon as possible for us to re-assess your risk profile.這份問卷是根據閣下承受風險的能力及風險接受程度以評估閣下的風險態度。如閣下的情況或投資目標有變動，應聯絡我們及更新閣下的資料，以便重新評估閣下的投資風險取向。

Note: Applicable for the Ultimate Beneficial Owner(s) of the Corporate Account is/are natural person(s). 註：只適用於公司賬戶的最終實益擁有人是個人。

Information provided will be kept confidential.閣下提供的資料將絕對保密。

Section A Client's Information 客戶資料	
Client's Name : 客戶名稱：	
Client Code : 客戶編號：	

Section B Background Information/Financial Situation 背景資料/財務狀況		
	Answer 答案	Score 分數
Q1 What percentage of your overall income is available for investment? 您/貴公司可用作投資的金額，佔總收入多少個百分比？ a. 30% or above, 30% 或以上.....(5) b. Less than 30%, 少於 30%..... (4) c. Less than 20%, 少於 20%..... (3) d. Less than 10%, 少於 10%..... (2) e. Less than 5%, 少於 5% ..... (1)		

	Answer 答案	Score 分數
Q2 What is the percentage of your/your's company liquid net worth that have been invested in non-capital protected structured products and/or derivative products (e.g. futures, options, warrants, CBBC etc)? 您/貴公司現時擁有的非保本結構性產品及/或衍生工具(如期貨，股票期權，期貨期權，認股權證，牛熊證等)佔流動資產多少百分比？ a. >75%, 超過 75%…….(1) b. 56% - 75%, 介乎 56% 至 70%…….(2) c. 36%-55%, 介乎 36% 至 55%…….(3) d. 16% - 35%, 介乎 16% 至 35%…….(4) e. <15%, 少於 15%…….(5)		
Q3 How many months of the expenses could be covered by your/your company's reserve to meet your/your company's liquidity and emergency needs? 您/貴公司現時的儲備足夠應付多少個月的開支及以面對突如其來的情況？ a. More than 12 months, 多於 12 個月…….(5) b. 6 - 12 months, 6 - 12 個月…….(4) c. 3 - 6 months, 3 - 6 個月…….(3) d. Less than 3 months；少於 3 個月…….(2) e. None , 沒有…….(1)		
Q4 How do you/your company expect future monthly investable amount over the next five years? 您/貴公司預計未來五年每月可投資之金額會怎樣？ a. Expect the monthly investable amount will increase sharply 預計每月可投資之金額會急速上升…….(5) b. Expect the monthly investable amount will increase gradually 預計每月可投資之金額會逐漸上升…….(4) c. Expect the monthly investable amount will remain unchanged 預計每月可投資之金額會維持不變…….(3) d. Expect the monthly investable amount will decrease gradually 預計每月可投資之金額會逐漸減少…….(2) e. Expect the monthly investable amount will decrease sharply 預計每月可投資之金額會急速減少…….(1)		
Q5 What is your/ your company total liquid net worth? 您的/貴公司流動資產總淨值是多少? Liquid Net Worth (or money you can access quickly) = [Current accounts + savings + investments]* - total loans outstanding 流動資產淨值 (或您的流動資金) = [往來戶口 + 存款 + 投資]* - 所有借貸總額 * Within AFG and/or outside, held in common by all account holders. Please do not include real estate or the value of any businesses you own. *包括所有戶口持有人於高鈺及/或其他機構共同持有的資產，但不包括房地產業或自資生意。 (HKD) (港幣) Note: This information may be used by the AFG in any concentration assessment conducted. If details are not provided, then concentration assessment will be done using assets help with AFG.		

	Answer 答案	Score 分數
註：此資料可能被高鉅用於進行集中風險評估。若你不願意透露此資料，你於高鉅所持有之資產將被用作進行集中風險評估。		
Section C Investment Objective and Horizon 投資目標及年期		
Q6 What is your/your company's current investment horizon?您/貴公司現時的投資年期為多久？ a. Over 10 years, 多於 10 年.....(5) b. 7 – 10 years, 7 - 10 年.....(4) c. 4 – 6 years, 4 - 6 年.....(3) d. 1 – 3 years, 1 -3 年.....(2) e. None or less than 1 year, 沒有或少於 1 年.....(1)		
Q7 What is your/your company's objective for investment? 您/貴公司的投資目標是？ a. Maximize capital growth as soon as possible 以最短時間，爭取最高回報.....(5) b. Gradual long-term capital growth 資本長期地逐漸增長.....(4) c. Stable and balanced income 穩定、平衡收入.....(3) d. Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報.....(2) e. Capital preservation 資本保障.....(0)		
Section D Risk Appetite / Risk Tolerance Level 風險偏好 / 風險承受能力		
Q8 Which of the following statement could best describe your/your company's attitude towards investment risk? 以下那一段句子最能反映您/貴公司對風險的態度？ a. I never consider risks or ignore risks 我不會考慮風險或忽視風險.....(5) b. I am willing to accept higher risks, as I aim for higher returns 我願意承受較高的風險，以換取更高回報.....(4) c. I am trying to strike a balance between risks and returns 我會平衡風險與回報.....(3) d. I am trying to avoid risks but minor ones are still acceptable 我會盡量回避風險，但仍可承受較低的波動.....(2) e. I am risk averse and do not want the value of my investments drop 我不願意承受任何風險及不希望我的投資價值下降.....(0)		
Q9 What is the average level of annual price fluctuation that you/your company would generally be comfortable with? 您/貴公司可以接受以下哪個年度平均價格波幅？ a. Price fluctuates over -20% and +20%, 價格波幅超過-20% 至 +20%..... (5) b. Price fluctuates between -15% and +15%, 價格波幅介乎-15% 至 +15%.....(4) c. Price fluctuates between -10% and +10%, 價格波幅介乎-10% 至 +10%.....(3) d. Price fluctuates between -5% and +5%, 價格波幅介乎-5% 至 +5%.....(2) e. No price fluctuation 沒有價格波幅.....(0)		

	Answer 答案	Score 分數
Q10 What is the level of potential loss on the investment amount would be acceptable to you/your company? 您/貴公司可以接受投資金額潛在損失水平？ a. Total loss on investment amount, 投資金額全部損失.....(5) b. Loss on investment amount up to 50%, 投資金額損失至 50%.....(4) c. Loss on investment amount up to 20%, 投資金額損失至 20%.....(3) d. Loss on investment amount up to 10%, 投資金額損失至 10%.....(2) e. No capital loss 沒有資金損失.....(0)		
Q11 If you/your company's overall investment portfolio falls more than 20%, how you/your company would be affected? 如您/貴公司的整體投資組合下跌超過 20%，將如可以影響您/貴公司？ a. No impact 沒有影響.....(5) b. Slight impact 輕微影響.....(4) c. Medium impact 中等影響.....(3) d. Significant impact 嚴重影響.....(2) e. Intolerable 不能承受.....(0)		
Q12 Are you/your company willing to invest in derivative products? 您/貴公司是否願意投資衍生工具? a. Yes 是 .....(5) b. No 否 .....(1) Note. If your answer is "No", AFG will not recommend any derivative product to you and you are not allowed to purchase any derivative product through AFG. 註：如答案為"否"，高鈺將不會建議或推薦 您/貴公司購買任何衍生工具，而你/貴公司亦不能經高鈺購買任何衍生工具。		
Section E Investment Knowledge and Experience 投資知識及經驗		
Q13 Do you/your company have any general knowledge in the nature and risks of derivatives to invest in derivatives? 您/貴公司是否對衍生工具的性質及風險有認識，以投資衍生工具？ a. Yes 有 (Please also complete Section F, 請完成 F 部份) .....(5) b. No 沒有.....(0) Note. If your answer is "No", AFG will not recommend any derivative product to you and you are not allowed to purchase any derivative product through AFG. 註：如答案為"沒有"，高鈺將不會建議或推薦 您/貴公司購買任何衍生工具，而你/貴公司亦不能經高鈺購買任何衍生工具。		

Q14 How many years of relevant investment experience on the following financial products do you/your company have? 您/貴公司有多少年投資經驗投資於以下產品？ (you may select more than 1 option 您可選擇多於一項)

Note: The highest score for this question is 5 if total score more than 5. 註: 這問題最高分數為 5 如果總分超過 5 分。

Investment Experience 投資經驗 / Product 產品	None 沒有經驗	Basic Experience 基礎經驗		Intermediate Experience 中度經驗		Advanced Experience 豐富經驗
		less than 1 year 少於 1 年	1-3 years 1-3 年	4-6 years, 4-6 年	7-10 years；7-10 年	Over 10 years 多於 10 年
a. Stocks 股票[1]	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
b. Exchange Traded Funds with different risk categories 交易所 買資基金具有不同的風險類別[2]	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
c. Non Exchange Traded Funds with different risk categories 非交易所買賣基金具有不同的風險類別[3]	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
d. Fixed Income Products with different risk categories (Plain Vanilla) 固定收益產品具有不同的風險類別 (傳統類別)[4]	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
e. Fixed Income Products (Complex) 固定收益產品 (複雜類別)[5]	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
f. Investment-Linked Insurance Plans 投資相連保險計劃	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)

[1] HK and/or overseas markets 香港及/或海外市場

[2] Including Real Estate investment Trusts (REITs)包括房地產投資信託基金

[3] For example: Mutual Funds, Unit Trust Funds, Hedge Funds, Private Equity Funds etc.如互惠基金，單位信託基金，對沖基金，私募股權基金等

[4] For example: Bonds 如：債券

[5] Examples of special features include perpetual, subordinated, callable, variable and/or deferral of interest payment terms, extendable maturity dates, convertible/ exchangeable, contingent write down or loss absorption feature, etc

舉例說，這些特點包括屬永續性質、後償性質、可贖回、具有浮息及/或延遲派付利息條款、可延遲到期日、屬可換股/可交換性質、具有或然撇減或彌補虧損特點等。

g. Listed Derivatives/ Structured Products 上市衍生工具 / 結構性產品[6]	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
h. OTC Derivatives / Structured Products 衍生工具 / 場外結構性產品[7]	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
i. Leveraged FX Trading 槓桿外匯投資	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
j. Other (please specify) 其他 (請註明) _____	☐…(0)	☐…(1)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
					Q14 Score 分數	

[6] For example: Equity Options, Futures, Futures Options, Warrants, CBBCs etc. 如 股票期權，期貨，期貨期權，認股權證，牛熊證等

[7] For example: Accumulators, Decumulators, Equity Linked Notes, etc. 累計期權，累活期權，股票掛飽票據等

Q15 How many transactions (per annum) that you/your company have executed in the relevant market in the past two years at your own accord (i.e. Not through a discretionary account) 在過去兩年內，您/貴公司每年自行於相關市場 (不包括通過全權代客買賣賬戶的交易) 所執行的交易次數？

Note: The highest score for this question is 5 if total score more than 5. 註： 這問題最高分數為 5 如果總分超過 5 分。

	None 沒有	1 – 19	20 – 39	40 – 59	> 60
HK and/or PRC 香港及/或中國	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
Developed Markets 發達市場	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
Emerging Markets 新興市場	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
Frontier Markets 前沿市場	☐…(0)	☐…(2)	☐…(3)	☐…(4)	☐…(5)
				Q15 Score 分數	

Market Group Definition 市場組別定義：

Market Group 市場組別	Economies in the Group 市場組別內的經濟體
HK and/or PRC 香港及 / 或中國	Hong Kong SAR (HK) / The People's Republic of China (PRC) 香港特區 (香港) / 中華人民共和國 (中國)
Developed Markets 發達市場	U.S.A. / Australia / Canada / France / Germany/ Japan / New Zealand / Singapore / South Korea / Sweden / United Kingdom / Austria / Belgium / Luxembourg / Denmark / Finland / Greece / Ireland / Israel / Italy / Netherlands / Norway / Spain / Switzerland 美國 / 澳大利亞/ 加拿大 / 法國 / 德國 / 日本 / 新西蘭 / 新加坡 / 韓國 / 瑞典 / 英國 / 奧地利 / 比利時 / 盧森堡 / 丹麥 / 芬蘭 / 希臘 / 愛爾蘭 / 以色列 / 意大利 / 荷蘭 / 挪威 / 西班牙 / 瑞士
Emerging Markets 新興市場	Indonesia / Malaysia / Philippines/South Africa /Taiwan /Thailand / Brazil / Chile / Colombia / Czech Republic / Egypt / Hungary / India / Mexico / Morocco / Pakistan / Peru / Poland / Russia / Turkey / United Arab Emirates 印度尼西亞 / 馬來西亞 / 菲律賓 / 南非 / 台灣 / 泰國 / 巴西 / 智利 / 哥倫比亞 / 捷克共和國 / 埃及 / 匈牙利 / 印度 / 墨西哥 / 摩洛哥 / 巴基斯坦 / 秘魯 / 波蘭 / 俄羅斯 / 土耳其 / 阿拉伯聯合酋長國
Frontier Markets 前沿市場	Argentina / Bahrain / Bangladesh / Botswana / Bulgaria / Cote d'Ivoire / Croatia / Cyprus / Estonia / Jordan / Kazakhstan / Kenya / Lebanon / Lithuania / Macedonia / Malta / Mauritius / Nigeria / Oman / Qatar / Romania / Serbia / Slovakia / Slovenia / Sri Lanka /Tunisia / Uruguay / Venezuela / Vietnam 阿根廷 / 巴林 / 孟加拉國 / 博茨瓦納 / 保加利亞 / 科特迪瓦 / 克羅地亞 / 塞浦路斯 / 愛沙尼亞 / 約旦 / 哈薩克斯坦 / 肯尼亞 / 黎巴嫩 / 立陶宛 / 馬其頓 / 馬耳他 / 毛里求斯 / 尼日利亞 / 阿曼 / 卡塔爾 / 羅馬尼亞 / 塞爾維亞 / 斯洛伐克 / 斯洛文尼亞 / 斯里蘭卡 / 突尼斯 / 烏拉圭 / 委內瑞拉 / 越南

Q16 Investment Products intended to trade with AFG by you / your company 您/貴公司擬與高鉦進行交易的投資產品	
Total Score 總分數 (Note)	

Overall Assessment Result 投資者取向評估結果**					
Total Score 總分數	≤ 20	21 - 30	31 - 45	46 - 54	≥ 55
Risk Tolerance Level 風險承受程度	Low 低	Low-to-Medium 低至中	Medium 中	Medium-to-high 中至高	High 高
Investor Characteristics 投資者特徵	**Conservative** **保守型** An investor who is risk-averse and to whom capital preservation is very important. 投資者對風險採取比較保守的態度及重視保存資本。	**Stable** **穩健型** An investor who would like to have the capital gain potential, and he/she understands he/she needs to take a low to medium level of risk in respect of the capital invested. 投資者喜愛有資本增值的潛力的投資，同時亦明白到需要承擔低至中度風險。	**Balanced** **平衡型** An investor who is willing to accept a medium level of risk. 投資者願意承擔中等程度的風險。	**Growth** **增長型** An investor who would like to have greater capital gain potential, and he/she understands that he/she needs to take a high level of risk. 投資者喜愛有較大資本增值潛力的投資，同時亦明白到需要承擔高程度的風險。	**Aggressive** **進取型** An investor who would like to have significant capital gain, and he/she understands that he/she needs to take a very high level of risk in respect of the capital invested. 投資者喜愛有可觀資本增值的投資，同時亦明白到要承擔相當高的風險。

Note:

(A) If any questions in Section C and Section D scored 0, your/your company's overall risk profile is set as “Conservative" 如果 C 或 D 部份中的任何問題得分為 0，您/貴公司的整體投資取向/風險概況將定為"保守型"。

(B) If you / the ultimate beneficial owner of your company is (1) over 65 years old and/or (2) education level is primary or below； AFG will classify you/your company as a "Vulnerable Client".如果您/貴公司的最終受益人是（1）65 歲以上和/或（2）教育水平在小學或以下，高鉦會將您/貴公司歸類為"容易受損客戶"。

Section F 衍生產品知識確認書 Confirmation on Derivatives Knowledge

If you answered "Yes" in Question 13(a), please tick the relevant boxes (one or more) below and provide the corresponding proof. 如問題 13(a)答案為"有"，請於以下方格填上✓號(可選多項)， 並提供相關證明。

☐ I/We confirm that I have completed training organized by a financial institution. I/We attach a copy of my training completion certificate(s)/record(s). 本人/我們確認已完成由金融機構提供的培訓，並附上有關培訓證書/紀錄副本以茲證明。

☐ I/We confirm that I have completed courses organized by an academic or professional institution. I/We attach a copy of my qualification certificate(s) /record(s). 本人/我們確認已修讀學術機構或專業機構開辦的課程，並附上有關資歷證書/紀錄副本以茲證明。

☐ I/We confirm that I have present or past working experience related to derivative products. I/We attach a copy of my employment record(s), e.g. business card. 本人/我們確認目前或過往從事與衍生產品有關的工作，並附上有關的工作經驗紀錄副本，如公司名片，以茲證明。

☐ I/We confirm that I have trading experience of 5 or more transactions in any structured products or derivative products within the past 3 years. I/We attach a copy of my trading account statement(s). 本人/我們確認過往三年內曾進行五次或以上有關任何結構性或衍生產品的交易，並附上有關交易帳戶結單副本以茲證明。

Note: If you cannot provide the relevant proof, please complete the Derivative Knowledge Assessment Form and obtain a passing mark of at least 60% out of 100% before you can invest in any derivative product. 如果客戶無法提供相關證明，請填寫衍生工具知識評估表，並獲得至少 60%及格分數，才可以投資衍生工具產品。

Section G Applicable only if client is classified as a “Vulnerable Client”

僅適用於被界定為"容易受損客戶"

In order to protect your interest. AFG will classify you as a "Conservative investor" and as a consequence we will not accept your subscription instruction in high risk investment products.

為保障閣下的利益，高鉦將閣下定為「保守型投資者」。因此，高鉦不會接受閣下認購高風險的投資產品。

☐ However, if you consider that you should not be classified as a conservative investor, given your higher risk appetite and as such would be keen to deal in a wider range of investment products of a higher risk profile, please check the box in the left hand side with signature below. By signing and checking the box, you confirmed that notwithstanding your age and other conditions, you may want to deal in investment products of a higher risk profile and you understand that your investment in such products may involve higher risk (including the possibility of loss of the capital invested) than what you can take and therefore may not be in your best interest.

然而，閣下如認為可承受較高風險而不應被定為保守型投資者，並有意買賣較廣泛的投資產品（包括較高風險的產品）請在左面方格內✓並在下方簽署。透過在方格內✓及簽署，閣下確認儘管考慮年齡及其他狀況，閣下仍有意買賣較高風險的投資產品，並明白於該等產品的投資涉及的風險可能較閣下可承受的為高（包括可能損失投資本金），未必屬於閣下的最佳利益。

Client's Declaration 客戶聲明

I hereby confirm that the registered person has advised that if I have any doubt about any investment products, I should seek independent advice from professional adviser before making any investment decision.

本人謹此聲明，持牌人亦對本人建議倘若本人對投資產品有任何疑問，本人應在作出投資決策前咨詢專業顧問的獨立意見。

Client’s Signature 客戶簽署	

Witness by Client's relative / friend or AFG non-sales staff 客戶的親戚/朋友或高鉦非銷售人員見證

I have witnessed the licensed person has explained to the vulnerable client the relevant risks commensurate with the relevant investment products and agree that the vulnerable client is mentally capacitated to make independent investment decisions, despite of age and other vulnerable conditions.

在本人見證下，持牌人已向容易受損的客戶講解投資於投資產品的相關風險，並同意容易受損的客戶精神上有能力做出獨立的投資決策，儘管考慮年齡及其他容易受損的狀況

Signature of Witness 見證人簽署

_____

Name of Witness 見證人姓名

Date 日期

Relationship with Client 與客戶之關係

☐ Client's non-vulnerable relative or friend 客戶非易受損害的親友

☐ AFG non-sales staff 高鉦非銷售人員

Section H Disclaimer 免責聲明

This questionnaire and its result is only one of the factors you may take into account when investing. You/your company should consider carefully your investment objective and risk tolerance ability and seek independent professional advice before making any investment decision. AFG assume it is client's responsibility or liability as to the accuracy or completeness of the information provided by you/your company in this questionnaire and/or its result.

Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the relevant product before making any investment decision.

You/your company should always make your investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc. Licensed person of AFG will assist by explaining whether or not a product is suitable for you/your company according to your circumstances.

本問卷和結果只是您/貴公司考慮投資的其中一個因素。閣下應該仔細考慮您/貴公司的投資目標及承受風險能力，並尋求獨立專業意見，才作出任何投資決定。高鉦假定您/貴公司對於本問卷所提供的資料及其結果的準確性或完整性負有責任或義務。

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升亦可跌，而所呈列的過往表現資料並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細了解該產品的性質和相關風險。

當您/貴公司作出投資決策前，須考慮閣下的財務狀況，投資經驗，投資目標，獨立專業意見等因素。高鉦的持牌人會根據上述因素，協助解釋產品是否適合您/貴公司作出投資。

Section I Personal Information Collection Statement 個人資料收集聲明

PERSONAL DATA (PRIVACY) ORDINANCE (CAP.486)("PDPO")

PERSONAL INFORMATION COLLECTION STATEMENT

(1) The client ("Client") respectively AFG Securities Limited (''AFG'") may from time to time be requested by AFG to supply personal data (as defined under the PDPO) relating to the Client. For the purposes of this Statement, "personal data" (i) in the case of individual account holders, joint account holders or sole proprietors, means personal data relating to the relevant individual concerned; (ii) in the case of a partnership, means personal data relating to each partner of the partnership; and (iii) in the case of a corporate entity, means personal data relating to any individual director, shareholder, officer or manager which has been provided to AFG. "AFG" means all and/or any of AFG's subsidiaries and/or holding companies and/or subsidiaries of such holding companies, within and/or outside Hong Kong.

(2) The Client shall provide all such personal data as shall be reasonably requested by AFG in the Account Opening Form or otherwise, and any failure to do so may result in AFG being unable to open or continue the Client's account ("Account"), or to effect transactions under the Account.

(3) The Client understands and accepts that AFG may provide personal data received from the Client to the following persons (whether within or outside of Hong Kong) for the purposes set out in sub-paragraph (4) of this Statement:

(i) any nominees in whose name securities or other assets may be registered;

(ii) any member or affiliated or related company in the AFG including but not limited to AFG's parent and/or subsidiary companies;

(iii) any contractor, adviser, agent or third party service provider which provides administrative, background checking, data processing, financial, computer, telecommunication, payment or clearing, professional or other services to AFG in connection with the operation of its business or provision of financial services or products to the Client;

(iv) credit reference agencies, and, in the event of default, to debt collection agencies;

(v) any person with whom AFG enters into or proposes to enter into a transaction with on behalf of the Client or the Account, or the persons representing the same;

(vi) any person who provides financial services or issues, distributes or provides financial products to the Client through or with AFG;

(vii) any foreign or local exchanges of securities, futures and/or other financial products where the Client's orders to buy or sell such securities, futures and/or other financial products are placed or transacted; or their associated clearing houses or operators;

(viii) any assignee, transferee, participant, sub-participant, delegate, successor or person to whom any agreement between the Client and AFG is novated; and any

(ix) foreign or local governmental, regulatory, supervisory, tax, law enforcement or other authorities, bodies or institutions.

(4) The Client understands and accepts that the purposes for which the personal data provided by the Client from time to time may be used are:

(i) executing or giving effect to the Client's orders relating to transactions or otherwise, and carrying out the Client's other Instruction;

(ii) providing financial services or products to the Client or in connection with the Account, whether the services or products are provided by or through any other member of AFG or any other person, within or outside Hong Kong; providing

(iii) personalized financial analysis and planning or designing financial services or products for the Client's use;

(iv) marketing services or products which may be of interest to the Client; conducting

(v) credit inquiries or background checks on the Client and ascertaining the Client's financial situation and investment objectives;

(vi) collecting of amounts due, enforcing of security, charges or other rights and interests in favour of AFG or any member of AFG;

(vii) complying with and/or enabling any affiliated or related company in the AFG to comply with any foreign or local laws, regulations (including Foreign Account Tax Compliance Act, Automatic Exchange Of Financial Account Information, Common Reporting Standards and similar regulations), notifications, directives, guidelines or guidance given or issued by or in agreement with any legal, regulatory, governmental, tax, law enforcement or other authorities, exchanges, or self-regulatory or industry bodies or associations of financial services providers, within or outside Hong Kong, existing currently and in the future;

(viii) complying with obligations, requirements, policies, procedures, measures and arrangements for sharing personal data and information within the AFG and/ or any other use of personal data in accordance with any AFG wide programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities; and

(ix) other purposes related or incidental to any one or more of the above.

(5) AFG may from time to time transfer the personal data of the Client outside Hong Kong to any of the persons referred to in sub-paragraph (3) of this Statement above and for any of the purposes referred to in sub-paragraph (4) of this Statement above.

(6) Use of Personal Data in Direct Marketing

AFG intends to use, from time to time, Client's personal data in direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services.

Only the following kinds of personal data of the Client may be used in such direct marketing:

(i) name;

(ii) gender;

(iii) date of birth;

(iv) part of identity card or passport number;

(v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);

(vi) information about the products and/or services the Client has purchased or applied for.

AFG may not so use the data unless it has received the Client's consent to the intended use.

(7) Provision of Personal Data for Use in Direct Marketing

AFG intends to provide, from time to time and for money and other property, Client’s personal data to AFG (other than AFG itself) for use by AFG in direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services.

Only the following kinds of personal data of the Client may be provided to AFG for use by AFG in such direct marketing:

(i) name;

(ii) gender;

(iii) date of birth;
(iv) part of identity card or passport number;
(v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);
(vi) information about the products and/or services the Client has purchased or applied for.

AFG may not so use the data unless it has received the Client's consent to the intended use.

(8) The Client has the right to request a copy of such personal data and may request the correction of the personal data (if applicable). Any such request must be made in accordance with the PDPO and shall be addressed to the Data Protection Officer of AFG at the address at Room B, 17/F, Fortune House, 61 Connaught Road Central, Central, Hong Kong. The Client understands that a fee shall be charged by AFG for any such request.

《個人資料〈私隱〉條例》〈第 486 章〉〈「私隱條例」〉

個人資料收集整明

(1) 高鋐証券有限公司〈高鋐〉可不時要求其客戶提供其個人資料〈按私隱條例之釋義〉。在本聲明中，「個人資料」意指客戶已向高鋐提供之下述個人資料：(i) 就個人帳戶持有人、聯名帳戶持有人或獨資經營者而言，其個人資料；(ii) 就合夥而言，其各合夥人之個人資料；及(iii) 就公司實體而言，其個人董事、股東、行政人員或經理之個人資料。「高鋐」意指全部及/或任何香港境內及/或境外高鋐之附屬公司及/或控股公司及/或該等控股公司之附屬公司。

(2) 在高鋐合理地要求客戶在開戶文件或其他情況下提供個人資料時，客戶需按要求提供個人資料，否則可能導致高鋐無法為客戶開立或保持其帳戶或為其帳戶執行任何交易。

(3) 客戶明白及同意，高鋐可以向下述人士提供收取自客戶的個人資料：
(i) 任何以其名義登記證券或其他資產的代名人；
(ii) 高鋐集團內之成員或關聯或相關公司，包括但不限於高鋐之母公司及/或子公司；
(iii) 任何向高鋐提供與高鋐業務經營有關的或向客戶提供金融服務或產品有關的行政、背景審查、資料處理、財務、電腦、電訊、支付或結算、金融、專業或其他服務的承包商、顧問、代理人或第三方服務提供者；
(iv) 信貸資料服務機構，及〈在違約欠債時〉追收債款代理；
(v) 高鋐代表客戶或客戶帳戶或其代表與之訂立或擬訂立交易的任何人；
(vi) 透過或與高鋐一起向客戶提供金融服務或發行、分銷或提供金融產品的任何人；
(vii) 客戶進行證券、期貨及他金融產品買賣而在其場所下單或交易的任何外國或本地的證券、期貨及/或其他金融產品的交易所：或其相關聯結算所或營運者：
(viii) 任何更替高鋐與客戶協議約務的承讓人、受讓方、參與者、次參賭、獲轉授人、繼承人或人士；及
(ix) 任何外國或本地的政府、監管、監督、稅務、執法或其他機關、組織或機構。

(4) 客戶明白及同意，其不時提供之個人資料可以作下述用途使用：
(i) 執行或實行客戶有關於交易或其他事情之下單或指令，以及執行客戶的其他指示；
(ii) 向客戶提供金融服務或產品或提供與賬戶有關的金融服務或產品，不論相關服務或產品是否由或透過任何在香港境內或境外高鋐集團成員或其他人士提供；
(iii) 提供個人化財務分析及策劃或設計供客戶使用的金額服務或產品；
(iv) 向客戶推銷客戶可能感興趣的服務或產品；

(v) 對客戶進行信貸或背景查詢及確定客戶財務狀況和投資目標；

(vi) 追收債款、行使以高鉦或其他高鉦集團成員為受益人的抵押品、押記或其他權力及權利；

(vii) 為遵守或為促使高鉦集團內之關聯公司或其相關公司遵守任何本地或外國之法律、規例〈包括外國帳戶稅收合規法案、自動交換財務帳戶資料、共同申報準則及相類似規例〉、任何在香港境內或境外現存或未來設立的法律、監管、政府、稅務、執法或其他機關、交易所、或自我監管或行業團體或組織或金融服務提供者所自行或按協議提供或發出的通知、指示或指引；

(viii) 為遵守高鉦集團為了遵守制裁、防止或偵查洗錢、恐怖份子融資或其他非法活動而制定的，適用於任何高鉦集團成員的，關於個人資料在高鉦集團內分享及/或用於其他用途的責任、要求、政策、程序、措施及安排；及

(ix) 與上述任何一條或多條有關或附帶的其他目的。

(5) 高鉦可以不時按上述第(4)段所述用途，轉移客戶的個人資料予香港以外之上述第(3)段所述人士。

(6) 個人資料在直接促銷中的使用

高鉦會不時使用客戶的個人資料，用作直接促銷不同的金融產品和服務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資融券、股權衍生產品、保險、及其他金融產品及服務。使用於直接促銷的客戶的個人資料將限於：

(i) 姓名；

(ii) 性別；

(iii) 出生日期；

(iv) 身份證或護照號碼的一部分；

(v) 聯絡資料〈包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址〉；

(vi) 客戶已購買或申請的產品及/或服務的資料。

除非高鉦已經就擬議使用獲得客戶的同意，否則不得如上所述使用資料。

(7) 提供個人資料作直接促銷

高鉦會不時〈不論是否收取金錢或其他財物為報酬〉向其他高鉦集團成員提供客戶的個人資料，使其可以使用客戶的個人資料用作直接促銷不同的金融產品和服務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資融券、股權衍生產品、保險、及其他金融產品及服務。提供予其他高鉦集團成員使用於直接促銷的客戶的個人資料將限於：

(i) 姓名；

(ii) 性別；

(iii) 出生日期；

(iv) 身份證或護照號碼的一部分；

(v) 聯絡資料〈包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址〉；

(vi) 客戶已購買或申請的產品及/或服務的資料

除非高鉦已經就擬議使用獲得客戶的同意，否則不得如上所述使用資料。

(8) 客戶可以要求高鉦提供其個人資料的副本，及可以在需要時要求對其個人資料進行更正。任何此類要求可致予高鉦資料保護主任，地址為：香港中環干諾道中 61 號福興大廈 17 樓 B 室。客戶明白高鉦將就任何此等要求收取费用。

Section J Client's Declaration 客戶聲明

I/We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my/our knowledge. I/We acknowledge that any advice or recommendation given to me/us by the representative(s) of AFG relies upon the basis of information given by me/us. I/We shall inform AFG immediately if there is any material change in any of the information given. 本人/我們謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本 人/我們所知而作答。本人/我們確認，任何高鈺的代表向本人/我們提供之建議或推薦皆基於本人/我們所提供的資料。如果本人/我們所提供資料有任何關鍵性改變，本人/我們會立刻通知高鈺。

☐ I/We agree and accept the above assessment result of my/our investment appetite / risk profile. 本人/我們同意並接受上述評估結果及本人確認同意本問卷評估本人/我們所屬的投資取向/風險概況。

☐ I/We disagree with the above assessment result and my/our investment appetite / risk profile should be: 本人/我們不同意並上述評估結果，且認為本人/我們的投資取向/風險概況為：

☐ Conservative 保守型	☐ Stable 穩健型	☐ Balanced 平衡型	☐ Growth 增長型	☐ Aggressive 進取型

Please specify the reason 請說明原因

_____

_____

_____

Client's Signature (with chop for Corporate Client)
客戶簽署(如公司客戶請蓋章)

S.V.

_____

Name 姓名：

Date 日期：

For Internal Use Only 只供內部使用		
Signature of Licensed Person of AFG Securities Limited 高鈺証券有限公司持牌人簽署	Approved by Department Head or Responsible Officer 部門主管或負責人員批核	
Declaration: I hereby declare and confirm that this questionnaire is duly completed by the client. 聲明：本人謹此聲明及確認此問卷由客戶親自填寫。 Name 姓名： Date 日期： CE No.中央編號：	 Name 姓名： Date 日期： CE No.中央編號：	
For Account Opening Team		
Verification of assigned risk scores and calculation	Maker	Checker
Obtained proof of Derivative Knowledge (if any)	Maker	Checker