



風險承受能力問卷及附加風險披露聲明書

Risk Profile Questionnaire and Additional Risk Disclosure Statement

戶口持有人姓名

賬戶號碼

Name of Account Holder : _____

Account Number : _____

This questionnaire is to capture your general personal circumstances and to assess your overall GENERAL attitude towards investment Risks as an investor. Only you can decide what risk/return trade-off you are comfortable with. This guide may help you to assess your tolerance for risk. (The result of the questionnaire is based on the information of the Account Holder.

本「風險承受能力問卷」旨在了解閣下的一般個人狀況，及評估閣下作為投資者整體上對投資風險的一般態度。只有閣下能夠決定那種程度的風險回報能令您安心，透過本問卷可助您評估自己面對風險的承受能力。本問卷以帳戶持有人之資料作出評估。

Investment Objectives 投資目標

Investment objectives are overall objectives for the entire Account and may be inconsistent with a particular holding and the Account's performance at any time.

投資目標是賬戶的整體目標，可能會與持倉及賬戶的表現有所不符。

Income 收入 Growth 增長 Balanced 均衡 Hedging 對沖 Speculation 投機 Others 其他: _____

Please choose the appropriate answer below 請選擇下列最適當答案

Q1. What is your age ?
您的年齡介乎於？

(A) 18 – 34 (B) 35 – 49 (C) 50 – 64 (D) 65 -74 (E) >75

Q2. What is your education level ?
您的教育程度是？

(A) Primary or below
小學或以下 (B) Secondary
中學 (C) Tertiary
大專 (D) Bachelor
大學 (E) Master or above
碩士或以上

Q3. What is your annual regular income (HKD)? (excluding pension and annuity income)
您的每年固定收入(港元)? (不包括退休金及年金收入)

(A) No regular income
沒有固定收入 (B) <200K
少於20萬 (C) 200K-500K
20-50萬 (D) 500K-1M
50-100萬 (E) >1M
100萬以上

Q4. What is your total net worth (HKD)? (excluding self-employed business and your liabilities)
您的總資產淨值(港元)? (不包括您自營生意及您的所有借貸總額)

(A) <1M
少於100萬 (B) 1M-3M
100-300萬 (C) 3M-5M
300-500萬 (D) 5M-8M
500-800萬 (E) >8M
800萬以上



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Q5. How many years of experience do you have with investment products the value of which can fluctuate (including "buy and hold" and active trading)? Investment products the value of which can fluctuate could include, for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans.

您有多少年投資於價值波動之投資產品的經驗(包括購入後長期持有及經常性買賣投資產品)? 價值波動之投資產品的例子包括股票、單位信託基金、外幣、商品、結構性投資產品、認股權證、期權、期貨、投資相連保單等。

- (A) No experience or Less than 1 year
沒有經驗或少過1年
- (B) Between 1 and 3 years
1至3年
- (C) Between 4 and 6 years
4至6年
- (D) Between 7 and 10 years
7至10年
- (E) Over 10 years
超過10年

Q6. Do you have any investment experience or knowledge of the below products? (You may select more than one option) 您是否有以下任何產品的投資經驗或知識? (您可選擇多於一個選擇)

- Cash, deposit, certificates of deposit, money market fund, capital protected products
現金、存款、存款證、貨幣市場基金、保本產品
- Bond, bond Fund
債券、債券基金。
- Leveraged foreign exchange, gold, currency-linked investment products
槓桿式外匯、黃金、非保本之貨幣掛鉤結構結構投資產品。
- Stocks, mutual fund (exclude bond fund or money market fund), equity-linked products, investment-linked insurance plans
股票、開放式基金(不包括債券基金或貨幣市場基金)、非保本之股票掛鉤結構結構投資產品、投資相連保單。
- Options, futures, warrants, CBBC
期權、期貨、認股權證、牛熊證

Q7. Generally speaking, what degree of potential loss can you accept?

一般來講, 您可以接受投資本金出現什麼程度的潛在虧損?

- (A) Low amount of capital loss between 0-10%
可接受最高0-10%的輕微虧損
- (B) Low amount of capital loss between 11-20%
可接受最高11-20%的輕度虧損
- (C) Moderate amount of capital loss between 21-30%
可接受最高21-30%的中度虧損
- (D) High amount of capital loss between 31-50%
可接受最高31-50%的大幅虧損
- (E) High amount of capital higher than 51%
可接受超過51%的大幅虧損



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Q8. Over a period of time the value of investments can rise and fall, this is called fluctuation. Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. What level of fluctuation would you generally be comfortable with?

在一段時間之內，投資價值可升可跌，我們稱之為波動。一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反，風險愈低的投資，其潛在波動愈小，但潛在回報亦相對較低。在一般情況下，您會願意投資於波動程度多大的投資產品？

- (A) Portfolio between -5% and +5% fluctuation
於 -5% 至 +5% 之間的波動
- (B) Portfolio between -10% and +10% fluctuation
於 -10% 至 +10% 之間的波動
- (C) Portfolio between -20% and +20% fluctuation
於 -20% 至 +20% 之間的波動
- (D) Portfolio between -30% and +30% fluctuation
於 -30% 至 +30% 之間的波動
- (E) Portfolio lower than -30% or over +30% fluctuation
超過 -30% 或 +30% 的波動

Q9. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment products? Please refer to Question 3 for examples of such products.

在一般情況下，投資的年期越長，可承受的風險越高，而投資產品的價值亦會波動。當投資於產品時，您會願意接受下列哪項投資年期？有關投資產品的例子，請參閱問題 3。

- (A) Less than 1 year
少過 1 年
- (B) Between 1 and 2 years
1 至 2 年
- (C) Between 3 and 5 years
3 至 5 年
- (D) Between 5 and 10 years *
5 至 10 年
- (E) Over 10 years *
多過 10 年

* Option (D) & (E) are not available for client aged equal or over 65 * 選項 (D) 及 (E) 不適用於 65 歲或以上的客戶

Q10. How much of your investments would you require to liquidate to meet liquidity need for an unforeseen event?
您有多需要將投資項目變現，來滿足對突發事件的流動資金需要？

- (A) I would not have to sell any of my investments.
我不一定會出售任何投資。
- (B) I would sell no more than 10% of my investments.
我會出售不多於 10% 的投資。
- (C) I would sell no more than 30% of my investments.
我會出售不多於 30% 的投資。
- (D) I would sell more than 30% but less than 50% of my investments.
我會出售多於 30% 但少於 50% 的投資。
- (E) I would sell more than 50% of my investments.
我會出售 50% 以上的投資。



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Percentage of Virtual Asset Investment 虛擬資產投資佔比

Q1. How much liquid assets (HKD) (not including properties, self-employed business and excluding your liabilities) can be used for investment?

您有多少流動資產(港元) (不包括您擁有的房地產物業及自營生意及您的所有借貸總額) 可分配進行投資?

HK\$ _____

Q2. Do you have other virtual assets holdings on external exchanges other than at our company?

除了本公司之外，您在外部交易所還持有其他虛擬資產嗎？

No 沒有

Yes, the percentage of other virtual assets against your liquid assets: _____ %

有，其他虛擬資產佔您擁有的流動資產比例: _____ %

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Total Score 總分數

/50

Risk Tolerance Analysis 風險承受能力分析

Total Score 總分數	< = 18	19 - 38	> 38
Risk Tolerance Level 風險承受程度	<input type="checkbox"/> Low Risk 低度風險	<input type="checkbox"/> Medium Risk 中度風險	<input type="checkbox"/> High Risk 高度風險
Investor General Characteristics 投資者的一般特徵	<p>Conservative 保守型</p> <p>You are willing to accept low risk. In return, you understand that You will receive low return.</p> <p>閣下願意承受低度的風險，亦明白會接受比較保守的回報。</p>	<p>Steady Growth/Balance 穩健型/平衡型</p> <p>You are willing to accept medium risks in exchange for some potential returns over the medium to long term.</p> <p>閣下願意承受中度的風險，於中長線換取潛在回報。</p>	<p>Growth/Aggressive 增長型/進取型</p> <p>You are willing to accept very high risks to maximize your potential return over the long term. You understand that you may lose a significant part or all of your capital.</p> <p>閣下願意承受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部份或全部本金。</p>



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買賣虛擬資產及虛擬資產相關產品的風險

Risk of Trading Virtual Assets and Virtual Assets-Related Products

- (a) 虛擬資產的風險極高，投資者應對有關產品保持審慎；

Virtual assets are highly risky and investors should exercise caution in relation to these products;

- (b) 虛擬資產根據法律可能會或可能不會被視為“財產”，而這項在法律上的不確定性或會影響客戶在該虛擬資產之權益的性質及可執行性；

A virtual asset may or may not be considered as “property” under the law, and such legal uncertainty may affect the nature and enforceability of a client’s interest in such virtual asset;

- (c) 發行人所發出的要約文件或產品資料尚未受到任何監管機構審查；

The offering documents or product information issued by the issuer have not been subject to scrutiny by any regulatory body;

- (d) 投資者賠償基金提供的保障不適用於涉及虛擬資產的交易（不論代幣的性質為何）；

The protection offered by the Investor Compensation Fund does not apply to transactions involving virtual assets (irrespective of the nature of the tokens);

- (e) 虛擬資產並非法定貨幣，即沒有獲得政府及有關當局的擔保；

A virtual asset is not legal tender, i.e., it is not backed by the government and authorities;

- (f) 虛擬資產交易可能不可逆轉，故此因欺詐性或意外交易而造成的損失可能無法追回；

Transactions in virtual assets may be irreversible, and, accordingly, losses due to fraudulent or accidental transactions may not be recoverable;

- (g) 虛擬資產的價值可能源自市場參與者持續地願意將法定貨幣轉換成為虛擬資產，這意味著如果某特定虛擬資產的市場消失的話，該虛擬資產可能會完全及永久地失去價值。無法保證目前接受虛擬資產作為付款方法的人士將來亦會繼續如常接受如此付款方法；

The value of a virtual asset may be derived from the continued willingness of market participants to exchange fiat currencies for a virtual asset, which means that the value of a particular virtual asset may be completely and permanently lost should the market for that virtual asset disappear. There is no assurance that a person who accepts a virtual asset as payment today will continue to accept such payment as usual in the future;

- (h) 由於虛擬資產相對於法定貨幣的價格存在波動性及不可預測性，故可能會在短時間內造成重大損失；

The volatility and unpredictability of the price of a virtual asset relative to fiat currencies may result in significant losses over a short period of time;

- (i) 法例及監管方面的改變可能會對虛擬資產的使用、儲存、轉移、兌換及價值構成不利影響；

Legislative and regulatory changes may adversely affect the use, storage, transfer, exchange and value of virtual assets;

- (j) 某些虛擬資產交易只有在獲得證監會持牌平台記錄及確認時（不一定是在客戶發出交易指示時）才可能會被視為已予執行；

Some virtual asset transactions may be deemed to be executed only when they are recorded and confirmed by an SFC-licensed platform, which may not necessarily be the time at which the client initiates the transaction;

- (k) 虛擬資產的性質令其承受著更高的欺詐或網絡攻擊風險；及

The nature of virtual assets exposes them to an increased risk of fraud or cyber-attack; and

- (l) 虛擬資產的性質意味著持有證監會牌照之交易平台所遭遇的技術困難可能會妨礙客戶就他們的虛擬資產進行交易。

The nature of virtual assets means that technological difficulties experienced by an SFC-licensed trading platform may prevent clients from dealing in their virtual assets.



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Disclaimer 免責聲明

1. The results of this questionnaire are derived from the information that you have provided to Solomon JFZ (Asia) Holdings Limited ("Solomon") and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only. "Solomon" accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.

本問卷的結果是從您向本公司提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途。本公司對本問卷所載資料及 / 或所得結果的準確性或完整性並不負責或承擔任何法律責任。

2. This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.

本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。

3. Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire, we strongly recommend that you should complete this questionnaire again.

請注意，倘若您未能全面披露所有或任何有關您的個人狀況(如財務狀況)，不正確、不完整或過時的資料可能影響本公司評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

Customer Declaration 客戶聲明

I (the Client), the undersign, hereby acknowledge that I have fully read and understood the risks involved in trading Virtual Assets and Virtual Assets-Related Products stated above.

本人(客戶)，下簽署人，特此確認本人已完全細閱及明白上述的買賣虛擬資產及虛擬資產相關產品的風險。

I (the Client) hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

本人(客戶)謹此聲明：本人(等)為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

戶口持有人簽署 Signature of Account Holder

日期 Date

戶口持有人姓名

賬戶號碼

Name of Account Holder : _____

Account Number : _____

<文義如有歧異，應以英文本為準>

<In the event of any inconsistencies or discrepancies between the English and Chinese versions, the English version shall prevail>