

HKM-6

Investment Profile 投資取閱

(For Individuals 只適用於個人客戶)

Standard Chartered 渣打銀行

To: Standard Chartered Bank (Hong Kong) Limited (渣打銀行(香港)有限公司)

(Please tick the appropriate boxes. 請在適當方格內打勾)

Date: 19-2-08 (日期) (d/m/y) (日/月/年)

Customer Information 客戶資料 (Please make in BLOCK letters 請用正格填寫)

Customer Name (English) 客戶姓名(英文)

Pauline Kit Au

Account Service 戶口/服務

- For application for Securities Services 申請股票投資服務
For application for Currency Switching 申請貨幣匯單存款
For application for Guaranteed Index Plan (IP?) 申請指數保證計劃
For application for Premium Deposit 申請高息貨幣出約投資
For application for PPL Wealth (W?) / PPLink Optimizer (OP?) 申請保額儲蓄/申請「匯豐」嚴謹投資計劃
For application for Foreign Exchange Margin Trading Services 申請外匯孖展買賣服務
For application for Foreign Exchange Leveraged Trading Services 申請外匯槓桿買賣服務

- For application for Chinese Yuan Non-Deliverable Forward Trading Services 申請人民幣不交收遠期外匯交易服務
For UT order taking 債券客戶指示
For DS / Structured Notes order taking 債券客戶指示/原標客戶指示
For Structured Investment Series (Rate/Equity/Currency) order taking 結構性投資(利率/股票/外匯)客戶指示
For Equity Linked Account order taking 股票掛鈎戶口客戶指示
Capital Profiling 嚴投資取閱
Others 其他

(signed)

Open Bond Acc

Customer ID Type 客戶身份證明文件種類

- HKD 普通身份證
Passport 護照
Others 其他

Customer ID Number 客戶身份證明號碼

Age 年齡

67

Investment Profiling Questions 投資取閱問題

1. Are you a US person or residing in U.S.? 閣下是否美國人或在美國居住?

- No 否
Yes 是

If "Yes", the Bank does not provide investment services to US persons 倘若“是”，銀行不會提供投資服務給美國人

2. Age 年齡

- Below 18 years old 18歲以下
18 to under 65 years old 18歲至65歲以下
65 years old or above 65歲或以上

3. Cash needs 資金需要

- I have adequate regular income to meet my needs. I do not rely on my investments to generate regular income. 我的定期收入足以應付所需，我無須倚賴我的投資來賺取定期收入。
I depend on my investments to meet my current income needs. I will be drawing part of my investments periodically to supplement my income. 我的投資將用來應付目前的收入需要。我會定期提取部份投資來補充收入。

4. What is your total net worth - cash & securities? 您的淨資產總額(現金和證券)有多少?

- Less than HKD 8 million 800萬港元以下
HKD 8 million or above 800萬港元或以上

Cash includes all general banking deposit accounts. Securities covers equity and debt securities (e.g. shares, debentures/bonds, funds, notes, etc) and collective investment schemes (i.e. unit trust), excluding MPF, insurance products (i.e. investment linked insurance product) and property. 現金包括所有一般銀行存款賬戶。證券包括股票及債券(例如：股份、債券、基金、票據等等)與集體投資計劃(即單位信託基金)，不包括強積金、保險產品(即投資有關的人壽保險產品)及物業。

6. The type of investment experience(s) that I have 我具備以下的投資經驗:

- foreign exchange margin trading, foreign exchange leveraged trading, 外匯孖展買賣、外匯槓桿買賣、不交收遠期合約、或衍生投資工具
non-deliverable forward contract, or derivatives
alternative (e.g. properties-linked, commodities-linked, hedge funds) investments 另類(例如物業相關、商品掛鈎、對沖基金)投資
foreign exchange (e.g. currency switching, premium deposits) 外匯(例如貨幣匯單存款、高息貨幣出約存款、外幣存款)
investment funds or equities 投資基金或股票
debt securities (e.g. bonds, notes, etc) 債務證券(例如債券、票據等等)
time deposits and savings 定期存款或儲蓄

8. My risk tolerance level is 我的風險承受程度是

- I can tolerate a loss of about 15% or worse in an investment year 我可以在一年內承受約15%或以上的虧損
I can tolerate a loss of about 13% in an investment year 我可以在一年內承受約13%的虧損
I can tolerate a loss of about 10% in an investment year 我可以在一年內承受約10%的虧損
I can tolerate a loss of about 8% in an investment year 我可以在一年內承受約8%的虧損
I can tolerate a loss of about 6% in an investment year 我可以在一年內承受約6%的虧損
I can tolerate a loss of about 2% in an investment year 我可以在一年內承受約2%的虧損
I will only consider an investment which has capital or principal protection at maturity 我只會考慮可在到期時享資本或本金保障的投資

7. Do you have a view of the underlying market of your investment and want to exercise your view? 您是否對您所投資的相關市場有任何見解，並希望按照自己的見解來投資?

- Yes. I wish to exercise my current view to invest in a particular market or a product. 是，我希望按照自己目前的見解，投資於某一市場或產品。
No. I do not have a market view on my investment. 沒有，我對我自己投資的市場沒有特定見解。

8. I plan to invest in a wealth management asset class which represents % of my total net worth (excluding property). 我計劃將我的淨資產總額(不包括物業)的%用作投資於其類別資產管理資產類別。

- up to 5% 5%或以下
above 5%, up to 10% 5%以上，不超過10%
above 10%, up to 25% 10%以上，不超過25%
more than 25% 超過25%

9. I plan to hold investment for 我計劃持有我的投資為期:

- above 6 years 五年以上
above 3 years, up to 6 years 三年以上至五年
above 1 year, up to 3 years 一年以上至三年
up to 12 months 十二個月以內

CERTIFIED TRUE COPY For STANDARD CHARTERED BANK (HONG KONG) LIMITED 渣打銀行(香港)有限公司 ABERDEEN BRANCH

Po Yu Wal 6765

See "MOST IMPORTANT INFORMATION" section for details 詳情請參閱“重要提示”之細則

(signed)

Please select the item(s) as appropriate
或選擇適用之項目

I have gone through the above investment Profile and confirmed that I fully understand and accept the associated risk and return of the product(s) described by me and agree to apply for the said product(s) and declare that I have made the decision based on my own judgment.
本人已閱讀上述投資說明書，並確認本人完全明白且接受本人所選產品(產品)之相關風險及回報。本人同意申請上述產品(產品)並聲明本人已根據本人之判斷作出此決定。

I have gone through the above investment Profile and was advised that the product(s) described by me is/are subject to the associated risk and return of the said product(s) and agree to apply for the same and declare that I have made the decision based on my own judgment.
本人已閱讀上述投資說明書且獲告知本人所選產品(產品)之相關風險及回報。本人同意申請上述產品(產品)並聲明本人已根據本人之判斷作出此決定。

I do not wish to go through any investment Profile, although I am strongly recommended to do so, but I agree to apply for the product(s) described by me and confirm that I fully understand and accept the associated risk and return of the said product(s).
本人不願閱讀任何投資說明書儘管本人獲強烈建議應閱讀投資說明書，但本人同意申請本人所選產品(產品)，並確認本人完全明白且接受該產品(產品)之相關風險及回報。本人聲明本人乃根據本人之判斷作出此決定。

I have also read and confirmed that I fully understand the clauses stated in the 'MOST IMPORTANT INFORMATION' section.
In particular, I fully understand the implication of the concentration risk factor and am willing to assume the risk in light of my own objectives and circumstances.
本人已閱讀並確認本人完全明白在“重要提示”中所列明的細則。尤其是，我已充分瞭解集中程度之風險並因應本身之目標及狀況而願意承擔有關之風險。

我馮潔妹全部資產，均來定期收
息。從來未想過投資。

(signed)

(signed)

Customer Signature
客戶簽署

CERTIFIED TRUE COPY
For STANDARD CHARTERED BANK (HONG KONG) LIMITED
渣打銀行(香港)有限公司
ABERDEEN BRANCH

[Handwritten Signature]

Po Yu Wai
6765

(signed)

Section 2 第二部份

Primary Account 主賬戶

Joint Account 聯名主賬戶

Home Address 居住地址
(If different from correspondence address 如與通訊地址不同)
(In English 請以英文填寫)

HK 香港 05001 Kowloon 九龍 06001 NT 新界 07001 HK 香港 05001 Kowloon 九龍 06001 NT 新界 07001

Marital Status 婚姻狀況 Single 未婚 0 Married 已婚 1 Others 其他 6 Single 未婚 0 Married 已婚 1 Others 其他 6

Education 教育程度 Primary 小學 Secondary 中學 Primary 小學 Secondary 中學 University 大學 Professional 專業人士 University 大學 Professional 專業人士

Industry 行業 Professional 專業人士 Self-Employed/Proprietor 自僱/東主 Professional 專業人士 Self-Employed/Proprietor 自僱/東主
Administrative / Manager 行政/管理 Technician / Supervisor 技術人員/督工 Administrative / Manager 行政/管理 Technician / Supervisor 技術人員/督工
Sales / Marketing 推銷/市場策劃 Housewife 家庭主婦 Sales / Marketing 推銷/市場策劃 Housewife 家庭主婦
Retired 退休人士 Student 學生 Others 其他 Retired 退休人士 Student 學生 Others 其他

Is your employer an Intermediary under the Securities & Futures Ordinance? 僱主是否《證券及期貨條例》下之中介人?
Yes 是 No 否
Written consent from your employer to your opening of the above selected account(s)/service(s) should be provided (applicable for Securities Services, Investment Fund Services and Debt Securities Services)
須提供僱主同意閣下開設上述所選的戶口/服務的同應書 (適用於股票投資服務、基金投資服務及債券投資服務)

Business and / or Name of Employer 業務及 / 或僱主姓名
Office Address 辦公室地址 (if different from correspondence address 如與通訊地址不同) (In English 請以英文填寫)

Colour Kid
Unwilling to disclose

HK 香港 05001 Kowloon 九龍 06001 NT 新界 07001 HK 香港 05001 Kowloon 九龍 06001 NT 新界 07001

Position 職位

Monthly Personal Income 每月個人入息

Monthly Household Income 每月之家庭入息
\$0 \$1 - \$99,999 \$0 \$1 - \$99,999
\$40,000 - \$70,000 > \$70,000 \$40,000 - \$70,000 > \$70,000

No. of Dependents 供養人數
0 1-2 3-4 > 4 0 1-2 3-4 > 4

Approximate Net Worth (exclusive of my / our residence, automobiles and life insurance) 大約財產淨值 (不包括本人 / 吾等的居所, 汽車及人壽保險)
\$0 \$1 - \$499,999 \$0 \$1 - \$499,999
\$500,000 - \$1,000,000 > \$1,000,000 \$500,000 - \$1,000,000 > \$1,000,000

Optional Information 附加資料

If you wish to provide us with your feedback on our services, please refer to our Customer Feedback leaflet which sets out how you can reach us and what follow-up procedures we will take. The leaflet is available at all Standard Chartered branches upon request.
倘若您想對我們的服務提出意見, 請參閱我們的「客戶意見」單張, 單張內列出聯絡我們的方法及意見處理的程序。有關單張可在各渣打分行索取。

Section 3 第三部份: Suitability Confirmation 投資目的適用性確認

Please select 請選擇一項:

Where I/we have completed an Investment Profile before, I/we confirm that the answers stated in my/our Investment Profile reflect my/our current status. I/we confirm that I/we fully understand and accept the associated risk and return of Account(s)/Service(s) chosen by me/us in Section 1 above. I/we agree to apply for the said Account(s)/Service(s) and declare that I/we have made this decision based on my/our own judgement.
倘若本人 / 吾等曾於早前已填寫投資意向, 本人 / 吾等確認本人 / 吾等於最近的投資意向所提供的答案反映本人 / 吾等之現況。本人 / 吾等確認本人 / 吾等完全明白及接受本人 / 吾等於上文第一部份所選戶口 / 服務的有關風險及回報。本人 / 吾等同意申請上述戶口 / 服務, 並聲明本人 / 吾等乃依據本身的判斷作出此決定。

Where I/we have completed an investment Profile before, I/we confirm that the answers stated in my/our Investment Profile reflect my/our current status. I/we are/are advised that Account(s)/Service(s) chosen by me/us in Section 1 above is/are not suitable for me/us. Notwithstanding that, I/we confirm that I/we fully understand and accept the associated risk and return of the said Account(s)/Service(s) and I/we agree to apply for the said Account(s)/Service(s). I/we declare that I/we have made this decision based on my/our own judgement.
倘若本人 / 吾等曾於早前已填寫投資意向, 本人 / 吾等確認本人 / 吾等於最近的投資意向所提供的答案反映本人 / 吾等之現況。本人 / 吾等獲告知本人 / 吾等在上文第一部份所選戶口 / 服務對本人 / 吾等並不合適。儘管如此, 本人 / 吾等確認本人 / 吾等完全明白及接受上述戶口 / 服務的有關風險及回報, 並同意申請上述戶口 / 服務。本人 / 吾等聲明本人 / 吾等乃依據本身的判斷作出此決定。

I/we do not wish to go through any Investment Profile but I/we agree to apply for the Account(s)/Service(s) chosen by me/us in Section 1 above and confirm that I/we fully understand and accept the associated risk and return of the said Account(s)/Service(s). I/we declare that I/we have made this decision based on my/our own judgement.
本人 / 吾等不願意進行任何投資意向, 但本人 / 吾等同意申請本人 / 吾等在上文第一部份所選的戶口 / 服務, 並確認本人 / 吾等完全明白及接受上述戶口 / 服務的有關風險及回報。本人 / 吾等聲明本人 / 吾等乃依據本身的判斷作出此決定。

(signed)

T.H.L.

0003