建银国际 CCB International

Investor Questionnaire (Corporate)

Name: ______________________ Contact Number: ______________________

Q.1: What types of financial instruments have you purchased in the past?

☐ 1. Fixed income (e.g. bonds, CODs, REPOs etc)

(1) Level of experience in the relevant product type?	☐ < 2 years	☐ ≥ 2 years
(2) Understanding of risks in the relevant product type?	☐ Yes	☐ No
(3) Knowledge and expertise in the relevant product type?*	☐ Yes	☐ No

☐ 2. Stocks

(1) Level of experience in the relevant product type?	☐ < 2 years	☐ ≥ 2 years
(2) Understanding of risks in the relevant product type?	☐ Yes	☐ No
(3) Knowledge and expertise in the relevant product type? *	☐ Yes	☐ No

☐ 3. Unit trusts/ Mutual funds

(1) Level of experience in the relevant product type?	☐ < 2 years	☐ ≥ 2 years
(2) Understanding of risks in the relevant product type?	☐ Yes	☐ No
(3) Knowledge and expertise in the relevant product type? *	☐ Yes	☐ No

☐ 4. Futures/ Options

(1) Level of experience in the relevant product type?	☐ < 2 years	☐ ≥ 2 years
(2) Understanding of risks in the relevant product type?	☐ Yes	☐ No
(3) Knowledge and expertise in the relevant product type? *	☐ Yes	☐ No

☐ 5. Structured products (e.g. equity linked notes or products with embedded derivatives)

(1) Level of experience in the relevant product type?	☐ < 2 years	☐ ≥ 2 years
(2) Understanding of risks in the relevant product type?	☐ Yes	☐ No
(3) Knowledge and expertise in the relevant product type? *	☐ Yes	☐ No

Q.2: How many transactions do you generally enter into each year (including but not limited to fixed income, stocks, unit trusts/ mutual funds, futures/ options, or structured products)?	☐ < 40 times ☐ ≥ 40 times
Q.3: What is the usual transaction amount of a typical investment for you?	☐ < HKD 1 mn ☐ HKD 1 - 5 mn ☐ HKD 5 - 10 mn ☐ > HKD 10 mn
Q.4: What is your usual portfolio size?	☐ < HKD 8 mn ☐ HKD 8 - 20 mn ☐ > HKD 20 mn
Q.5: How much total assets do you have?	☐ < HKD 10 mn ☐ HKD 10 - 20 mn ☐ > HKD 20 mn

Q.6: Supplements on investment experience and knowledge:

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* For example:

(1) Current or previous work experience of at least one year involving the relevant product type; or

(2) Having undergone training or studied courses relating to the relevant product type; or

(3) Relevant trading experience (whether client has traded the relevant product type for at least 5 times in the past 3 years)

I understand the content of the questionnaire above, and confirm that the information I have provided are accurate and complete.

Client Name:	AMO Name:
Account Number:	
Authorized signature (with company chop):	AMO signature:
	Date:
	RO Name:
	RO signature:
Name /Title:	
Company Name:	
Date:	Date:

Internal assessment

Has the client provided proof that he maintains a portfolio of not less than HKD 8 million or total assets of not less than HKD40 million (or its equivalent in foreign currency)? (proof may include transaction statements; monthly statements; or a certificate issued by an auditor or a certified public accountant)	☐ Yes ☐ No

According to the client information provided above, the AMO concludes that:

☐ the client does not qualify as a professional investor.

☐ the client qualifies as a professional investor for the following:

Market(s): ☐ All Markets ☐ Others:______________________________

Product Type(s): ☐ Fixed income ☐ Stocks ☐ Unit trusts/Mutual funds
☐ Futures/Options ☐ Structured products

Client's past credit records::