建银国际
CCB International

Professional Investor Questionnaire (Corporate)

Name：________________________ Contact Number：________________________

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

☐ 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

☐ 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

☐ 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

☐ 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

☐ 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

* 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)

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

Authorized signature (with company chop):	AMO signature:
	Date:
	Responsible Officer 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 its equivalent in foreign currency? (proof may include transaction statements or monthly statements)	◻ 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 product type(s):

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Client's past credit records: