Beijing Securities Limited
Investment Profile Questionnaire

1. Investment Objectives/Knowledge/Experience and Level of Risk Taking 投資目的/認識/經驗及風險承受水平	
(1) Main Account Holder: (Name)________________________	(2) Joint Account Holder: (Name)_______________________
Investment Objectives 投資目的 □Capital Gain 投資增值□ Hedging 對沖□Speculation 投機 □ Others 其他：	**Investment Objectives 投資目的** □Capital Gain 投資增值□ Hedging 對沖□Speculation 投機 □ Others 其他：
Investment Horizon 投資期限 Indicate the period from now to when the Customer will need to access a significant portion of the money the Customer invests in this Account (check any one that applies) 請說明從現在開始到什麼時候客戶將需要動用大部分客戶在本賬戶中的投資資金（在適用的一欄內打勾） □Long Term 長期 – Greater than 10 years 超過 10 年 □Intermediate 中期– 3 to 10 years 3 至 10 年 □Short Term 短期 – 1 to 3 years 1 至 3 年	**Investment Horizon 投資期限** Indicate the period from now to when the Customer will need to access a significant portion of the money the Customer invests in this Account (check any one that applies) 請說明從現在開始到什麼時候客戶將需要動用大部分客戶在本賬戶中的投資資金（在適用的一欄內打勾） □Long Term 長期 – Greater than 10 years 超過 10 年 □Intermediate 中期– 3 to 10 years 3 至 10 年 □Short Term 短期 – 1 to 3 years 1 至 3 年
Derivative Knowledge 衍生產品認識 Does the Customer have knowledge of derivatives? If yes, please specify the Customer's knowledge in derivative products, including structured products, futures contracts, options or any leveraged transaction. 客戶是否擁有衍生產品方面的認識？如“是”，請注明客戶對哪些衍生產品比較瞭解，包括結構性產品、期貨合約、期權或任何槓桿式交易。 □Yes 是 The Customer has knowledge of □structured products, □futures contracts, □options, □leveraged transactions, and/or □other derivative products (please specify) 客戶對以下衍生產品比較瞭解：□結構性產品□期貨合約□期權□槓桿式交易和/或□其他衍生產品（請具體說明） The Customer has gained its knowledge as indicated above by □undergoing training or attending courses on such derivative products; □current or previous work experience related to such	**Derivative Knowledge 衍生產品認識** Does the Customer have knowledge of derivatives? If yes, please specify the Customer's knowledge in derivative products, including structured products, futures contracts, options or any leveraged transaction. 客戶是否擁有衍生產品方面的認識？如“是”，請注明客戶對哪些衍生產品比較瞭解，包括結構性產品、期貨合約、期權或任何槓桿式交易。 □Yes 是 The Customer has knowledge of □structured products, □futures contracts, □options, □leveraged transactions, and/or □other derivative products (please specify) 客戶對以下衍生產品比較瞭解：□結構性產品□期貨合約□期權□槓桿式交易和/或□其他衍生產品（請具體說明） The Customer has gained its knowledge as indicated above by □undergoing training or attending courses on such derivative products; □current or previous work experience related to such

derivative products; □having executed 5 or more transactions in such derivative products within the past 3 years; □others (please specify) 客戶是通過以下方式獲得如上所指之衍生產品方面的認識的：□曾接受有關衍生產品的培訓或修讀相關課程；☐現在或之前與有關衍生產品相關的工作經歷；□過去三年執行過 5 次或以上的有關衍生產品交易；□其他（請具體說明） □No 否	derivative products; □having executed 5 or more transactions in such derivative products within the past 3 years; □others (please specify) 客戶是通過以下方式獲得如上所指之衍生產品方面的認識的：□曾接受有關衍生產品的培訓或修讀相關課程；☐現在或之前與有關衍生產品相關的工作經歷；□過去三年執行過 5 次或以上的有關衍生產品交易；□其他（請具體說明） □No 否
Investment Knowledge and Experience 客戶投資認識和經驗 □Shares 股票 ● Years of Experience 經驗年數 □Less than 1 year 少於 1 年 □1-5 years 1 至 5 年 □6-10 years 6 至 10 年 □More than 10 years 10 年以上 ● Average size of trades in the last 3 years (HK$) 過去 3 年的平均交易額（港元）: ● Customer has gained its knowledge in this product by 客戶從以下方式獲得相關知識 □undergoing training or attending courses on this product; 就有關產品接受培訓或修讀相關課程； □current or previous work experience in the relevant financial sector for at least 1 year in a professional position that involves this product; 目前或曾經在相關的金融行業擔任專業職位至少一年，而該職位的工作涉及有關產品； □others (please specify) 其他（請具體說明） ● Frequency of Trades (Per Year)交易的頻密程度（每年） □Less than 40 transactions 每年少於 40 宗 □More than 40 transactions 每年多於 40 宗 □Futures/Options 期貨/期權 ● Years of Experience 經驗年數 □Less than 1 year 少於 1 年 □1-5 years 1 至 5 年	**Investment Knowledge and Experience 客戶投資認識和經驗** □Shares 股票 ● Years of Experience 經驗年數 □Less than 1 year 少於 1 年 □1-5 years 1 至 5 年 □6-10 years 6 至 10 年 □More than 10 years 10 年以上 ● Average size of trades in the last 3 years (HK$) 過去 3 年的平均交易額（港元）: ● Customer has gained its knowledge in this product by 客戶從以下方式獲得相關知識 □undergoing training or attending courses on this product; 就有關產品接受培訓或修讀相關課程； □current or previous work experience in the relevant financial sector for at least 1 year in a professional position that involves this product; 目前或曾經在相關的金融行業擔任專業職位至少一年，而該職位的工作涉及有關產品； □others (please specify) 其他（請具體說明） ● Frequency of Trades (Per Year)交易的頻密程度（每年） □Less than 40 transactions 每年少於 40 宗 □More than 40 transactions 每年多於 40 宗 □Futures/Options 期貨/期權 ● Years of Experience 經驗年數 □Less than 1 year 少於 1 年 □1-5 years 1 至 5 年

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- Average size of trades in the last 3 years (HK$)
  過去 3 年的平均交易額（港元）:
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  □others (please specify) 其他（請具體說明）

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  □More than 40 transactions 每年多於 40 宗

□Warrants 認股權證

- Years of Experience 經驗年數

  □Less than 1 year 少於 1 年

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  □others (please specify) 其他（請具體說明）

□6-10 years 6 至 10 年

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□Structured Products 結構性產品

- Years of Experience 經驗年數
  □Less than 1 year 少於 1 年
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□Bonds/Notes 債券/票據

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□Funds 基金

- Years of Experience 經驗年數

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□More than 10 years 10 年以上 ● Average size of trades in the last 3 years (HK$) 過去 3 年的平均交易額（港元）: ● Customer has gained its knowledge in this product by 客戶從以下方式獲得相關知識 □undergoing training or attending courses on this product; 就有關產品接受培訓或修讀相關課程； □current or previous work experience in the relevant financial sector for at least 1 year in a professional position that involves this product; 目前或曾經在相關的金融行業擔任專業職位至少一年，而該職位的工作涉及有關產品； □others (please specify) 其他（請具體說明） ● Frequency of Trades (Per Year)交易的頻密程度（每年） □Less than 40 transactions 每年少於 40 宗 □More than 40 transactions 每年多於 40 宗	□More than 10 years 10 年以上 ● Average size of trades in the last 3 years (HK$) 過去 3 年的平均交易額（港元）: ● Customer has gained its knowledge in this product by 客戶從以下方式獲得相關知識 □undergoing training or attending courses on this product; 就有關產品接受培訓或修讀相關課程； □current or previous work experience in the relevant financial sector for at least 1 year in a professional position that involves this product; 目前或曾經在相關的金融行業擔任專業職位至少一年，而該職位的工作涉及有關產品； □others (please specify) 其他（請具體說明） ● Frequency of Trades (Per Year)交易的頻密程度（每年） □Less than 40 transactions 每年少於 40 宗 □More than 40 transactions 每年多於 40 宗
Relevant Market(s) 相關市場 □Hong Kong /香港 ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無 ● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）(請具體說明): ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）(請具體說明): □Mainland China 中國大陸 ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無	**Relevant Market(s) 相關市場** □Hong Kong /香港 ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無 ● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）(請具體說明): ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）(請具體說明): □Mainland China 中國大陸 ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無

● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）（請具體說明）： ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）（請具體說明）： □United States/美國 ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無 ● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）（請具體說明）： ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）（請具體說明）： □Others/其他： ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無 ● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）（請具體說明）： ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）（請具體說明）：	● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）（請具體說明）： ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）（請具體說明）： □United States/美國 ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無 ● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）（請具體說明）： ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）（請具體說明）： □Others/其他： ● Years of Experience 經驗年數 □Less than 2 year/ 少於 2 年 □2-5 years / 2 至 5 年 □More than 5 years / 5 年以上 ● Knowledge 認識：□ Yes 有 □ No 無 ● Average Size of Trades in the Last 3 Years (HK$) (Please Specify) 過去 3 年的平均交易額（港元）（請具體說明）： ● Frequency of Trades (Per Year) (Please Specify) 交易頻率（每年）（請具體說明）：
Risk Tolerance 風險承受能力 This section documents the Customer's willingness and ability to assume risk, including the risk of loss of capital, of the types of investments the Customer wishes to hold in the Account. Please note that while the information on the Customer's risk tolerance is relevant and necessary to assist the Company in making suitability assessments in relation to the Customer, the providing of the information herein requested and /or any other information will not of itself have any effect on limiting	**Risk Tolerance 風險承受能力** This section documents the Customer's willingness and ability to assume risk, including the risk of loss of capital, of the types of investments the Customer wishes to hold in the Account. Please note that while the information on the Customer's risk tolerance is relevant and necessary to assist the Company in making suitability assessments in relation to the Customer, the providing of the information herein requested and /or any other information will not of itself have any effect on limiting

the Customer's potential losses. 本條旨在評估客戶是否願意且有能力對客戶希望在賬戶中持有的投資承擔風險，包括資本虧損的風險。請注意，雖然關於客戶風險承受能力的資料就協助本公司對客戶進行合適性評估而言是相關且必要的，但提供此處要求的資料和/或提供任何其他資料本身並不會在限制客戶的潛在虧損方面發揮任何作用。 □Low 較低– Low risk investments demonstrate low volatility and are for investors who are willing to accept lower returns for greater safety of capital 低風險投資表示波動性較小，適合願意接受較低回報但更高資本安全性的投資者 □Low to Moderate 較低至中等– Low to Moderate risk investments demonstrate low to medium volatility but a higher volatility than those described above 較低至中等風險投資表示波動性處於較小至中等水準，但高於上一欄所述的波動性 □Moderate 中等– Moderate risk investments demonstrate medium volatility and are for investors looking for moderate growth over longer period of time 中等風險投資表示波動性處于中等水準，適合希望投資能在較長時間後有可觀增值的投資者 □Moderate to High/中等至較高– Moderate to High risk investments demonstrate a medium to high volatility and are for investors that are looking for long term growth 中等至較高風險投資表示中等至較高水準的波動性，適合希望投資獲得長期增值的投資者 □High 較高– High risk investments demonstrate high volatility and are for investors that are growth oriented and are willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns 高風險投資表示較高的波動性，適合希望實現資本增值且願意接受投資組合價值有大幅度短期波動從而獲得潛在的較高長期回報的投資者	the Customer's potential losses. 本條旨在評估客戶是否願意且有能力對客戶希望在賬戶中持有的投資承擔風險，包括資本虧損的風險。請注意，雖然關於客戶風險承受能力的資料就協助本公司對客戶進行合適性評估而言是相關且必要的，但提供此處要求的資料和/或提供任何其他資料本身並不會在限制客戶的潛在虧損方面發揮任何作用。 □Low 較低– Low risk investments demonstrate low volatility and are for investors who are willing to accept lower returns for greater safety of capital 低風險投資表示波動性較小，適合願意接受較低回報但更高資本安全性的投資者 □Low to Moderate 較低至中等– Low to Moderate risk investments demonstrate low to medium volatility but a higher volatility than those described above 較低至中等風險投資表示波動性處於較小至中等水準，但高於上一欄所述的波動性 □Moderate 中等– Moderate risk investments demonstrate medium volatility and are for investors looking for moderate growth over longer period of time 中等風險投資表示波動性處于中等水準，適合希望投資能在較長時間後有可觀增值的投資者 □Moderate to High/中等至較高– Moderate to High risk investments demonstrate a medium to high volatility and are for investors that are looking for long term growth 中等至較高風險投資表示中等至較高水準的波動性，適合希望投資獲得長期增值的投資者 □High 較高– High risk investments demonstrate high volatility and a re for investors that are growth oriented and are willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns 高風險投資表示較高的波動性，適合希望實現資本增值且願意接受投資組合價值有大幅度短期波動從而獲得潛在的較高長期回報的投資者
Liquid Net Value of Assets (in HK$) 流動資產淨值（以港幣計算） ☐ < $500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,000 - $5,000,000 ☐ > $5,000,000	**Liquid Net Value of Assets (in HK$)** 流動資產淨值（以港幣計算） ☐ < $500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,000 - $5,000,000 ☐ > $5,000,000
Percentage of Investable/Liquid Assets 可投資/流動資產的比例	**Percentage of Investable/Liquid Assets** 可投資/流動資產的比例

Beijing Securities Limited
Investment Profile Questionnaire

What percentage of the Customer's investable/liquid asset will be invested using the Company's services as securities dealer (the percentage should represent only the Customer's risk capital, that is the funds and assets which if lost would not change the Customer's lifestyle or the Customer's family's lifestyle)? 在本公司擔任客戶的證券經紀爲客戶提供服務期間，客戶打算投入多少比例的可投資/流動資產用於投資（這一比例表示客戶有多少資本是可以承受風險的，也就是說，如果這些資金和資產虧損，不會改變客戶或客戶家庭的生活方式）？ ☐ Less than 25% 低於 25％ ☐ 25% to 49% 25％至 49％ ☐ 50% to 75% 50％至 75％ ☐ Greater than 75% 大於 75％	What percentage of the Customer's investable/liquid asset will be invested using the Company's services as securities dealer (the percentage should represent only the Customer's risk capital, that is the funds and assets which if lost would not change the Customer's lifestyle or the Customer's family's lifestyle)? 在本公司擔任客戶的證券經紀爲客戶提供服務期間，客戶打算投入多少比例的可投資/流動資產用於投資（這一比例表示客戶有多少資本是可以承受風險的，也就是說，如果這些資金和資產虧損，不會改變客戶或客戶家庭的生活方式）？ ☐ Less than 25% 低於 25％ ☐ 25% to 49% 25％至 49％ ☐ 50% to 75% 50％至 75％ ☐ Greater than 75% 大於 75％
Liquidity Requirement 對流動性的要求 Is the Customer dependent on the liquid asset/cash that the Customer will be using for investments or trading with or through the Company to meet any current or anticipated payment requirements? 對於客戶將要與本公司或通過本公司投資或交易的那些流動資產/現金，客戶是否要依靠它們來履行任何目前或預期的付款義務？ ☐ Yes 是 ☐ No 否	**Liquidity Requirement 對流動性的要求** Is the Customer dependent on the liquid asset/cash that the Customer will be using for investments or trading with or through the Company to meet any current or anticipated payment requirements? 對於客戶將要與本公司或通過本公司投資或交易的那些流動資產/現金，客戶是否要依靠它們來履行任何目前或預期的付款義務？ ☐ Yes 是 ☐ No 否
Capacity to Top-Up 補足差額的能力 Does the Customer have the capacity to make regular contributions and meet extra collateral requirements, where appropriate? 客戶是否有能力在必要時提供定期供款和額外抵押品(如適用的話)? ☐ Yes 是 ☐ No 否	**Capacity to Top-Up 補足差額的能力** Does the Customer have the capacity to make regular contributions and meet extra collateral requirements, where appropriate? 客戶是否有能力在必要時提供定期供款和額外抵押品(如適用的話)? ☐ Yes 是 ☐ No 否
Vulnerability 弱點 Is there any information and/or particular circumstance about the Customer or the Customer's Authorised Person(s) (if applicable) (such as the Customer and/or the Customer's Authorised Person(s) are over 60 years old, retired, physically or mentally impaired, illiterate,	**Vulnerability 弱點** Is there any information and/or particular circumstance about the Customer or the Customer's Authorised Person(s) (if applicable) (such as the Customer and/or the Customer's Authorised Person(s) are over 60 years old, retired, physically or mentally impaired, illiterate,

unsophisticated, unable to make independent investment decisions on complex investment products or otherwise vulnerable) that the Company should be aware of and take into account when the Company provides services to the Customer in connection with the Account of the Customer? 是否存在本公司就客戶的賬戶向客戶提供服務時應當知悉并加以考慮的有關客戶或客戶的授權人(如適用)的任何資料和/或特定情況（例如：客戶或客戶的授權人已超過 60 歲，已退休，有身體或精神疾病，文盲，缺乏投資經驗，無法就複雜的投資產品作出獨立的投資決定，或其他弱點）？ □ Yes 是 □ No 否 If the Customer's answer is “Yes”, please specify the information and/or circumstances: 如客戶的回答是“是”，請注明該等資料和/或情況： ______________________________	unsophisticated, unable to make independent investment decisions on complex investment products or otherwise vulnerable) that the Company should be aware of and take into account when the Company provides services to the Customer in connection with the Account of the Customer? 是否存在本公司就客戶的賬戶向客戶提供服務時應當知悉并加以考慮的有關客戶或客戶的授權人(如適用)的任何資料和/或特定情況（例如：客戶或客戶的授權人已超過 60 歲，已退休，有身體或精神疾病，文盲，缺乏投資經驗，無法就複雜的投資產品作出獨立的投資決定，或其他弱點）？ □ Yes 是 □ No 否 If the Customer's answer is “Yes”, please specify the information and/or circumstances: 如客戶的回答是“是”，請注明該等資料和/或情況： ______________________________
Other Relevant Information 其他相關資料 Is there any other information and/or particular circumstance about the Customer that is relevant to determine the suitability of any specific investment advice or recommendation to be provided to the Customer or for any promotion or solicitation of investment products to the Customer, or that the Company should be aware of and take into account when the Company provides services to the Customer in connection with the Customer's Account with the Company? 是否存在對確定擬提供給客戶的任何特定投資意見或建議或推銷或介紹給客戶的任何投資產品是否適合客戶有影響的關於客戶的任何其他資料和/或特定情況或本公司就客戶的賬戶向客戶提供服務時應當知悉並加以考慮的有關客戶的任何資料和/或特定情況？ □ Yes 是 □ No 否 If the Customer's answer is “Yes”, please specify the information and/or circumstances: 如客戶的回答是“是”，請注明該等資料和/或情況：________	**Other Relevant Information 其他相關資料** Is there any other information and/or particular circumstance about the Customer that is relevant to determine the suitability of any specific investment advice or recommendation to be provided to the Customer or for any promotion or solicitation of investment products to the Customer, or that the Company should be aware of and take into account when the Company provides services to the Customer in connection with the Customer's Account with the Company? 是否存在對確定擬提供給客戶的任何特定投資意見或建議或推銷或介紹給客戶的任何投資產品是否適合客戶有影響的關於客戶的任何其他資料和/或特定情況或本公司就客戶的賬戶向客戶提供服務時應當知悉並加以考慮的有關客戶的任何資料和/或特定情況？ □ Yes 是 □ No 否 If the Customer's answer is “Yes”, please specify the information and/or circumstances: 如客戶的回答是“是”，請注明該等資料和/或情況：________

Beijing Securities Limited
Investment Profile Questionnaire

Name of Customer(s) 客戶姓名

1.______________________________________ ____

(Main Account Holder 主要戶口持有人) Customer's Signature(s) 客戶簽署

2.______________________________________ ____

(Joint Account Holder 聯名戶口持有人) Customer's Signature(s) 客戶簽署

______________________________________ ____

Name of witness 見證人姓名 Witness Signature 見證人簽署