

委託帳戶授權書 委派被授權人士

日期: _____

致: 勝利證券有限公司
香港

有關: _____ (戶名)名下之證券戶口號碼 _____

本人/吾等要求及授權貴公司將下列人士(“被授權人士”)代表本人/吾等,執行以下有關本人/吾等在貴公司上述戶口(“戶口”)之事項:-

授權原因: _____

1. 發出指令以保證金或其他方式買賣任何及所有之證券,包括但不限於由任何機構及地區發行之股份、股票、公司債券、債股、單位信託基金、互惠基金、認股証、期權、債券、票據(一律稱為”證券”),風險概由本人/吾等承擔;
2. 指示貴公司從戶口支取款項,並以本人/吾等為抬頭人之支票之方式收取及支付款項,或直接將款項存入本人/吾等名下之銀行帳戶;

貴公司因而獲授權遵照本人/吾等之被授權人士有關上述戶口各方面之指示,本人/吾等謹此批准及確認被授權人士於戶口內進行之所有交易、買賣或所處理之事宜,並同意向貴公司作出賠償保證,使貴公司可免受基於有關交易,或貴公司根據被授權人士所發出之指示,於戶口中所作之任何其他事宜或事項之緣故而產生之一切虧損、負債或損失所蒙受之影響及損害。

本授權書自即日起生效,直至本年 12 月 31 日為止,但可憑由本人/吾等妥為簽署送達貴公司之 14 天事先書面通知,予以撤銷,惟撤銷授權不能免除本人/吾等中任何人就本授權書失效前,貴公司根據授權書之權力而採取之行動所應負之責任。

被授權人士資料

被授權人士姓名	* 香港身分證 / 護照號碼 (附副本)	在證監會註冊持牌 僱員的中央編號	與戶口 持有人關係	簽署印鑑
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申請人 :-

見證人 :-

內部專用

客戶簽署

客戶主任簽署

印鑑核對

經勝利證券評估,載於授權戶口備忘錄之投資組合模式,是符合帳戶持有人的投資目標和投資風險的承受能力。

勝利證券有限公司 批准

評估人姓名及職銜

DISCRETIONARY ACCOUNT - STANDING AUTHORITY

APPOINTMENT OF AUTHORIZED PERSON

Date : _____

TO: VICTORY SECURITIES CO. LTD., Hong Kong.

Re: Securities A/C No. _____ in name of _____

I/We hereby request and authorize you to include the following person(s) ("Authorized Person(s)") to act for me/us and on my/our behalf in relation to the following matters in connection with my/our above account ("the Account") with you:-

Reason for giving such authorization : _____

1. To place order(s) to effect purchases and sales of, and to trade in any and all kinds of securities, including but not limited to, shares, stocks, debentures, loan stocks, unit trusts, mutual funds, warrants, options, bonds and notes whatsoever and wheresoever issued (all of which are referred to as "Securities"), on margin or otherwise, at my/our risk;
2. To instruct you to make payment of monies from the Account, and to receive and direct payments therefrom by way of cheque (s) **payable to me/us** or direct deposit into such **bank account(s) in my/our name.**

You are accordingly authorized and empowered to follow the instruction of my/our Authorized Person(s) in every aspect concerning the Account with you, and I/we hereby ratify and confirm any and all transactions, trades or dealings effected in or for the Account by the Authorized Person(s), and agree to indemnify you and hold you free and harmless on demand of any loss, liability or damage by reason of such transaction, or by reason of any other matter or things done by you in and for the Account pursuant to instructions received from the Authorized Person(s).

This Authority is effective from the date hereof until 31ST December, this current year but is revocable by 14 days prior notice in writing duly signed by me/all of us served by me/us on you provided that such revocation will not release me/any of us from any liability under the terms of this Authority in respect of any act performed by you pursuant to this authority before the expiry of such time.

DETAIL OF AUTHORIZED PERSON(S)

<u>Name of Authorized Person</u>	<u>*HKID / Passport No. (Copy herewith attached)</u>	<u>Employee's CE No. Licensed by SFC</u>	<u>Relationship with A/C holder</u>	<u>Specimen Signature</u>
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Yours faithfully,

In the presence of:-

FOR OFFICE USE ONLY

Client's Signature

Sales Officer's signature

Signature verified by

As a result of the assessment conducted by Victory Securities, the mode of asset allocation stated on mutual understanding for discretionary accounts, is in line with the account holder's own investment objective and risk tolerance.

Approved by
Victory Securities Company Limited

Name and Title of Assessor

* Please delete where not applicable

Amended on April 2018

授權戶口備忘錄

Mutual Understandings for Discretionary Accounts

日期 Date : _____

客戶姓名 Client Name : _____

帳戶號碼 Account No. : _____

被授權人士姓名 Name of Authorized Person : _____

授權原因 Reason for giving such authorization:

預期每年回報約 Investment objective: _____% (投資目標是帳戶的整體目標，可能會與持倉及帳戶的表現有所不符 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)

收入 Income 增長 Growth 均衡 Balanced 對沖 Hedging 投機 Speculation

風險偏好 Risk Appetite: 高 High 中 Medium 低 Low

預設投資組合

類別	約佔百分比 (%)
恆指及大型指數成份股	
市值高於 20 億股份	
市值少於 20 億股份	
其他產品 (如:債券、外地股票)	

**參照週年覆檢 subject to annual review*

根據以上的資料，雙方明白 此授權的目的，投資預期回報 及其風險偏好。 被授權人應該以 客戶的最終利益和投資取向為依歸 來作出每一個投資決定。授權人也明白 此授權的風險，例如 被授權人的投資確定不一定符合 貴客戶的投資風險偏好 而招致不必要的損失等。如有需要，請致電 2525 2437 聯絡本公司的監察主任。

As indicated above, both parties understand the purpose of this authorization, investment objective and risk appetite of the client. The authorized person should make every investment decision in accordance with these aspects. The client should be well aware the risks associated with this authorization. For instance, the authorized person may not follow the investment objective and risk appetite when he/she makes the investment decision which can lead to unnecessary loss suffered by the client. Please contact our Compliance Officer at 2525 2437 when necessary.

_____ 簽署
帳戶持有人

_____ 簽署
被授權人

_____ 簽署
見證人

_____ 簽署
見證人

Risk Profile Questionnaire

風險承受能力問卷

Name of Individual/Account Holder:

Client's A/C No:

個人/帳戶持有人姓名: _____ 客戶帳戶號碼: _____

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.

投資目標是帳戶的整體目標，可能會與持倉及帳戶的表現有所不符。

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

Q 1. What is your age ?

您的年齡介乎於?

(a) 18 – 35 (b) 36 – 50 (c) 51 – 65 (d) > 65

Q2 .What is your education level ?

您的教育程度是?

(a) Primary level or below
小學程度或以下 (b) Secondary level
中學程度 (c) Tertiary/University level
預科或大學程度

Q3. 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) Over 3 years
多過 3 年

Q4. Do you have any investment experience or knowledge of the below products ? (You may select more than 1 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)

- (a) Cash, Deposit. Certificates of Deposit, capital protected products, HKSAR Government Bond
現金、存款、存款證、保本產品、香港政府債券。
- (b) Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but not excluding money market funds), investment-linked insurance plans
股票、債券、股票或債券基金 (包括強積金, 但不包括貨幣市場基金)、投資相連保單。
- (c) Options, futures, warrants, hedge funds and other structured products such as equity linked note/investment.
期權、期貨、認股權證、對沖基金。

Q5. 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) Fluctuates under -30% and over +30% 波動多於 -30% 至 +30%
- (b) Fluctuates between -30% and +30% 波動於 -30% 至 +30%
- (c) Fluctuates between -15% and +15% 波動於 -15% 至 +15%

Q6. 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 30% of my investments.
我會出售不多於 30% 的投資。
- (c) 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。
- (d) I would sell more than 50% of my investments.
我會出售 50% 以上的投資。

Q7. 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) over 3 years 多過 3 年
- (b) Between 1 and 3 years 1 至 3 年
- (c) Less than 1 year 少過 1 年

Q8. Your investment with Victory Securities is planned to account for how much your own total assets?
您投放在這投資組合的資金約佔總資產的比率為

- (a) below 20% 低於 20%
- (b) between 20% and 30% 介乎於 20% 至 30%
- (c) between 30% and 50% 介乎於 30% 至 50%
- (d) over 50% 高於 50%

Total Score 總分數			
Risk Tolerance Analysis 風險承受能力分析			
Total Score 總分數	< 40	41 - 70	> 70
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 <u>保守型</u></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 <u>穩健型/平衡型</u></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 <u>增長型/進取型</u></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>
Disclaimer 免責聲明			
<p>1. The results of this questionnaire are derived from the information that you have provided to Victory Securities Company Limited (“Victory” and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only. “Victory” accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.</p> <p>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。</p>			
<p>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.</p> <p>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。</p>			
<p>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.</p> <p>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。</p>			
Customer Declaration 客戶聲明			
<p>I 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.</p> <p>本人(等) 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。</p>			
Customer's Signature 客戶簽署：			
_____		_____	
Customer's Name 客戶姓名		Date 日期:	

Internal Use 內部專用 – Assessment Matrix 評估組合

Part 1 第一部份

Question 問題	Q 1 問題 1	Q 2 問題 2	Q 3 問題 3	Q 4 問題 4	Q 1-Q4 Sub-total 問題 1 至問題 4 小計
Answer 答案					
(a)	0	-20	-10	-10 [只選擇(a)]	Max. accumulated Score For Q1-Q4, 0 Pt. 問題 1 至問題 4 最高累積分數 為 0 分 =====
(b)	0	0	0	0	
(c)	0	0	+10	+10	
(d)	-10				

Part 2 第二部份

Question 問題	Q 5 問題 5	Q 6 問題 6	Q 7 問題 7	Q 8 問題 8	Part A + Part B Total Score 第一部份 + 第二部份 總計分數
Answer 答案					
(a)	+65	0	+10	+20	=====
(b)	+45	0	0	+10	
(c)	+20	-10	-10	0	
(d)		-20		-10	

Please circle and add them up, please note that the max. accumulated score for Q1-Q4 is **Zero**. If the Total Score is a negative value, that is final score (score for Q5-Q8 is not applicable)
請圈上分數共相加，請留意問題 1-問題 4 的最高分數是 **0 分**。如果分數是負數，那會是最終分數 (問題 5-問題 8 的分數將不適用)

AE/Staff Name : _____ AE/Staff Signature : _____

As a result of the assessment conducted by Victory Securities, that is in line with the account holder's own investment objective and risk tolerance. 經勝利證券評估結果，是符合帳戶持有人的投資目標和投資風險的承受能力。

If the assessed risk tolerance level is not in line with the client's investment objective, then the more conservative one would be taken.
如果評估結果與客戶的投資目標和願意承受投資風險級別出現偏差之時，則選擇比較保守的類別為依歸。

Accessor Name : _____ Accessor Signature : _____