

For Internal Use Only: Account No. _____

- To allow us to understand more of your financial status as well as assist you to understand and assess your own risk tolerance ability in funds investment in order to make investment choices suitable for you, you must fill out financial status & risk assessment questionnaire **every year**. Please be sure to answer all questions. **We will not accept any fund subscription application from you before we have received your completed or updated questionnaire.**

為讓我們了解更多您的財務狀況及協助您了解及評估自己於投資基金投資的風險承受能力，以作出適合您的投資選擇，您必須**每年填寫一次**財務狀況及風險評估問卷。請您務必回答所有問題。**在我們接獲您已完成或更新的問卷前，我們將不會接納您的任何基金認購申請。**

- Before answering the questions in this questionnaire, please read carefully all the notes and declarations set out in this form. 回答本問卷前，請小心細閱列載於本表格之所有附註及聲明。
- Please return completed form to **Bridgeway Prime Shop Fund Management Ltd.** ("Bridgeway"): Rm 1502-3, 15/F, New World Tower 1, 16-18 Queen's Road Central, Hong Kong or fax to +852 31051510 or email to cs@bwfund.com 請將填妥的表格寄回盛滙商舖基金管理有限公司（“盛滙”）：香港中環皇后大道中 16-18 號新世界大廈 1 座 15 樓 1502-1503 室或傳真至 +852 3105 1510 或電郵至 cs@bwfund.com

ACCOUNT INFORMATION 帳戶資料

Account Holder's Name: 帳戶持有人名稱	
Name of Authorised Signor of Account Holder (Mr / Mrs / Ms / Dr) must be identical to your ID Card/Passport): 授權簽署人姓名(先生/太太/小姐/博士/醫生) (必須與身份證/護照相同):	
ID Card/Passport No. 身份證/護照號碼:	Contact Tel. No. 聯絡電話:

QUESTIONNAIRE 問卷:

Section 1 : Financial Status 第 1 部份：財務狀況	
Note: Account Holder refers to either the corporate, partnership or trust with which account will be maintained at Bridgeway. 帳戶持有人指帳戶保持於盛滙的企業、合夥或信託	
1. What is the account holder's monthly income? 帳戶持有人每月的收入為?	2. What is the account holder's Liquid Net Worth? 帳戶持有人的流動資產淨值約為多少?
<input type="checkbox"/> A. HKD15,000 or below 15,000 港元或以下 <input type="checkbox"/> B. HKD15,001-30,000 15,001-30,000 港元 <input type="checkbox"/> C. HKD30,001-60,000 30,001-60,000 港元 <input type="checkbox"/> D. HKD60,000-100,000 60,000-100,000 港元 <input type="checkbox"/> E. Over HKD100,000 100,000 港元以上	<p>[Liquid assets are assets that are easily convertible into cash, such as cash, bank deposits, actively traded equities, bonds and mutual funds. Real estate is not considered as liquid assets. Liquid net worth should be calculated by liquid assets less outstanding liabilities.] [流動資產為易於套現的資產，例如現金、銀行存款、交投活躍的股票、債券及互惠基金，而房地產則不被視為流動資產。流動資產淨值應以流動資產減去未償還貸款計算。]</p> <input type="checkbox"/> A. HKD500,000 or below 500,000 港元以下 <input type="checkbox"/> B. HKD500,000-1,000,000 500,000-1,000,000 港元 <input type="checkbox"/> C. HKD1,000,000-3,000,000 1,000,000-3,000,000 港元 <input type="checkbox"/> D. HKD3,000,000-8,000,000 3,000,000-8,000,000 港元 <input type="checkbox"/> E. Over HKD8,000,000 8,000,000 港元以上

Section 2 : Risk Capacity 第 2 部份：風險承受能力	
Note: Authorised Signor refers to the individual(s) who is authorized to operate the account. 授權簽署人指獲授權操作帳戶的個人	
3. Authorised signor: What is your current age? 授權簽署人:您現時的年齡是?	5. The amount you reserve for contingencies approximately equals to how many months of your household expenses? 您儲備以作不時之需的金額，大約相等於您所負擔的家庭開支的多少個月?
<input type="checkbox"/> A. Above 70 70 歲以上 <input type="checkbox"/> B. 66 to 70 66-70 歲 <input type="checkbox"/> C. 51 to 65 51-65 歲 <input type="checkbox"/> D. 41 to 50 41-50 歲 <input type="checkbox"/> E. 18 to 40 18-40 歲	<input type="checkbox"/> A. None 完全沒有儲備 <input type="checkbox"/> B. Less than 3 months 少於 3 個月 <input type="checkbox"/> C. 3-6 months 3 至 6 個月 <input type="checkbox"/> D. 6 months to 1 year 6 個月至 1 年 <input type="checkbox"/> E. More than 1 year 1 年以上
4. In general, approximately what percentage of the liquid net worth of the account holder would be used for investments? 一般而言，帳戶持有人會動用淨流動資產的總值中約多少百分比的資金進行投資?	6. In general, what is the time horizon for the investments for this account relationship? 一般而言，您計劃的投資年期是?
<input type="checkbox"/> A. Below 20% 20%以下 <input type="checkbox"/> B. 20% to 40% 20%以上至 40% <input type="checkbox"/> C. 40% to 60% 40%以上至 60% <input type="checkbox"/> D. 60% to 80% 60%以上至 80% <input type="checkbox"/> E. Over 80% 80%以上	<input type="checkbox"/> A. Less than 6 months 6 個月以下 <input type="checkbox"/> B. 6 months to 1 year 6 個月至 1 年 <input type="checkbox"/> C. 1 to 3 years 1 至 3 年 <input type="checkbox"/> D. 3 to 5 years 3 至 5 年 <input type="checkbox"/> E. More than 5 years 5 年以上

Section 3 : Risk Attitude 第3部份：風險取態

7. How much price fluctuation on average per year can this account generally accept? 一般而言，此帳戶持可接受所投資的產品價格平均每年出現多大的波動？
- A. -5% to +5% -5%至+5%之間
 B. -10% to +10% -10%至+10%之間
 C. -20% to +20% -20%至+20%之間
 D. -30% to +30% -30%至+30%之間
 E. Can exceed +/-30% 可超過 +/-30%
8. Which of the following best describes the investment objective of this account?
以下哪一描述最貼近此帳戶的投資目標？
- A. My primary objective is the protection of my capital and I expect income in line with short-term money market rates.
最重要目標是保本及期望利息收入符合貨幣市場利率。
- B. I do not mind to accept a little price fluctuation in order to obtain return rate higher than that of bank deposits.
我不介意接受少許價格波動，以求獲得高於銀行存款的回報率。
- C. I seek a balance of regular income returns and capital appreciation.
我尋求固定收入回報與資本增值間的平衡。
- D. I am willing to bear higher risk in order to strive for higher return on investment.
我願意承受較高風險，藉以爭取較高的投資回報。
- E. I seek to invest in specialist investments that may be subject to substantial fluctuations in capital value, uncertain pricing, limited liquidity and / or lack of redemption rights. I am willing to bear extremely high risk or even risk causing significant losses to strive for possible multiplied returns.
我尋求資本價值會大幅波動、不確定價格、有限流動性及/或缺乏贖回權的專門投資。我願意藉著承受極高甚至會導致重大虧損的風險以爭取可能以倍數計的回報。

Section 4 : Knowledge and Experience 第4部份：知識及經驗

9. Authorised signor: how much do you know about financial markets and investments?
授權簽署人：您對金融市場和投資的認識有多少？
- A. **None** - I have no knowledge of that at all.
沒有-我對它們完全沒有認識。
- B. **Limited** - I have little or no knowledge of that outside of traditional bank savings accounts or time deposits.
有限-除了傳統銀行儲蓄戶口或定期存款之外，我對金融市場和投資謹具備有限的知識。
- C. **Intermediate** - I have general knowledge apart from traditional bank savings accounts or time deposits
中等-除了傳統銀行儲蓄戶口或定期存款之外，我對金融市場和投資擁有一般的知識。
- D. **Advanced** - I have above average knowledge and technical know-how of financial markets and investments, e.g. how to read profit & loss statements and balance sheets, understand factors affecting the prices of stocks and bonds.
優越-我具備較高水平的金融市場和投資知識，並擁有相關的專有技術，例如如何解讀損益表及資產負債表、了解影響股票及債券價格的因素等。
- E. **Extensive** - I possess extensive knowledge and understanding of financial markets and investments, and am experienced enough to make investment decisions confidently.
廣泛-我對金融市場和投資具備相當豐富的知識及了解，並擁有足夠投資經驗，能夠有信心地自行作出投資決定。
10. (a) Authorised signor: how many years of investment experience do you have?
授權簽署人：您具備多少年的投資經驗？
- [Investment experience counted in this question includes investment in products that its value can fluctuate any time and may fall below their investment principal. Investment products include equities, bonds, warrants, options, futures, funds, equity-linked products, foreign exchange, commodities, structured products, etc.]
[本題目所計算的投資經驗包括投資於價值可隨時波動並可跌至低於其投資本金的投資產品的經驗。投資產品包括股票、債券、認股權證、期權、期貨、基金、股票掛鉤工具、外匯交易、商品、結構性產品等。]
- A. None 無
 B. Less than 3 years 略有經驗但少於3年
 C. 3 to 5 years 3年至5年
 D. 5 to 10 years 5年至10年
 E. Over 10 years 10年以上
10. (b) Authorised signor: how many years of real estate investment experience do you have?
授權簽署人：您具備多少年的房地產投資經驗？
- [Investment experience counted in this question includes investments in non-liquid assets like residential and non-residential properties such as shops, industrial buildings, offices, parking spaces etc. Self-occupied properties with investment objective are also included.]
[本題目所計算的投資經驗包括投資於住宅及非住宅物業如商舖、工廠、寫字樓、車位等非流動資產的經驗。自用物業但具備投資成份者亦包括在內。]
- A. None 無
 B. Less than 3 years 略有經驗但少於3年
 C. 3 to 5 years 3年至5年
 D. 5 to 10 years 5年至10年
 E. Over 10 years 10年以上

Section 5 : Others 第5部份：其他

11. Authorised signor: what is your highest level of education? 授權簽署人：您的最高教育程度是？
- A. Primary or below 小學或以下
 B. Secondary 中學
 C. College 大專
 D. University graduation 大學畢業
 E. Master or above 碩士或以上
13. Authorised signor: which of the following types of financial products have you invested in? (Multiple selections)
授權簽署人：您曾經投資的金融產品類別包括以下哪些？(可選多項)。
- A. Never invest in any financial products 未曾投資任何金融產品
 B. Equities 股票
 C. Bonds 債券
 D. Investment funds 投資基金
 E. Foreign exchange 外幣
 F. Derivatives (e.g. futures, options, warrants, Callable Bull/Bear Contracts) or other structured products
衍生工具(例如：期貨、期權、認股證、牛熊證)或其他結構性產品

12. What is/are the source(s) of your investment capital? (Multiple selections)

您的投資的資金來源是？(可選多項)

- A. Salaries 薪金
- B. Income from investment (e.g. rental income, dividend)
投資收益(例如：租金收入、股息)
- C. Profit from investment (e.g. income obtained through transaction of investment products or assets)
投資獲利(例如：通過交易投資產品或資產所獲得收入)
- D. Pension 退休金
- E. Provided by family. 由家人提供
- F. Given by others as gifts 他人饋贈
- G. Inheritance 遺產繼承
- H. Others, please specify _____ 其他，請註明_____

14. Authorised signor: which of the following types of real estates have you bought or invested in? (Multiple selections)

授權簽署人：您曾經買入或投資的房地產類別包括以下哪些？(可選多項)

- A. Never bought or invested in any real estates 未曾買入或投資任何房地產
- B. Self-occupied properties 自住物業
- C. Residential units other than self-occupied properties
自住物業以外的住宅單位
- D. Parking spaces 車位
- E. Office units 寫字樓單位
- F. Units in industrial buildings 工業大廈單位
- G. Shops 商舖
- H. Smaller commercial properties, commonly known as "subdivided Shops" 面積較細少，俗稱「劏舖」的商用物業
- I. Properties in Mainland China (Please specify city: _____)
中國內地物業 (請註明城市：_____)
- J. Overseas properties (Please specify city: _____)
海外物業 (請註明國家或地域：_____)

IMPORTANT NOTE TO CLIENTS WHO ARE (I) TAIWAN RESIDENTS, OR (II) PASSPORT HOLDERS OF THE PEOPLE'S REPUBLIC OF CHINA ("PRC") RESIDING IN THE PRC

適用於 (I) 台灣居民或 (II) 居住於中華人民共和國 ("中國") 的中國護照持有人客戶的重要事項

Completion and Signing of Account Opening Documents

填寫及簽署開立戶口文件

For Taiwan residents:

居於台灣的帳戶持有人:

By checking the "Yes" box below, I/We represent, acknowledge and declare that this form and other ancillary documents related to the opening of my/our account with Bridgeway were completed and executed while I was/we were physically outside Taiwan.

若選擇“是”，則表示閣下(本人/我們)陳述、確認、及聲明填寫及執行此表格及其他於盛滙開立閣下的戶口的相關補充文件時，閣下並非位處台灣。

Yes 是 No 否

For PRC passport holders residing in the PRC:

持有中國護照居於中國的帳戶持有人:

By checking the "Yes" box below, I/We represent, acknowledge and declare that this form and other ancillary documents related to the opening of my/our Account with Bridgeway were completed and executed while I was/we were physically outside the PRC.

若選擇“是”，則表示閣下(本人/我們)陳述、確認、及聲明填寫及執行此表格及其他於盛滙開立閣下的戶口的相關補充文件時，閣下並非位處中國。

Yes 是 No 否

Agreed to this form, acknowledged and signed as follows by:

本人/我們同意此表格，確認及簽名如下:

Name 姓名:

Date 日期:

FOR INTERNAL USE

Signature witnessed by:

Name of Staff:

Date:

I declare and confirm that I have

- Provided the Risk Disclosure Statements in a language of the client's choice (English or Chinese); and
- Invited the client to read the Risk Disclosure Statements, ask questions and take independent advice.

Name of Staff:

(in block letters)

Date:

Important Notes:

Investment involves risks, including the possible loss of principal amount invested. Past performance is not indicative of future results, prices can go up or down. Investors investing in products denominated in non-local currency should be aware of the risks associated with exchange rate fluctuations. For more details, please read relevant fund prospectus (including risk factors).

Investor's risk tolerance level and scores generated are calculated based on the information you provided us with in this Questionnaire. This Questionnaire and the results generated are for your reference purposes only, and they aim to assist you in understanding your own risk tolerance level to determine your investment needs. The resulting scores of this Questionnaire will provide you with some indication of the overall risk tolerance ability for the typical investor with similar scores. It does not necessarily reflect your current perception of your actual risk tolerance ability. In particular, market conditions and experience from your recent investment gains or losses may affect the assessment of your current risk tolerance ability. Therefore, you should make your investment decisions based on your individual circumstances and take the above-mentioned factors into consideration.

Investor's risk tolerance level and the corresponding types of funds provided only act as a broad guideline to show the range of funds that might fit typical investors with similar scores. This information did not take into account any subjective factors affecting your actual risk tolerance level (such as those described above), nor any other specific investments you may have. As such, investing in any fund in the corresponding types of funds provided may not necessarily meet all your investment objectives. You should carefully remember to take into account your actual circumstances, and make investment decisions according to all relevant factors that are influential to you. Also, the above results should not be considered a substitute for your independent research. When necessary, you should seek independent professional advice.

重要事項：

投資涉及風險，並有可能導致本金損失。過往的成績並不代表未來的表現，而價格亦可能會上升或下跌。投資於非本土貨幣結算的產品的投資者應注意，投資將受匯率波動影響。詳情請細閱有關基金說明書（包括風險因素）。

投資者風險承受程度及所得評分是根據您在問卷所提供予我們的資料計算。本問卷及所得結果僅供您作參考用途，旨在助您瞭解本身的風險承受程度，以便釐定您的投資需要。問卷的評分結果將會顯示得分相若的典型投資者的整體風險承擔能力，並不一定能反映您現時認為的實際風險承擔能力。特別是市場狀況及您近日的投資收益或虧損經驗，可能會影響您現時風險承擔能力的評估。因此，當您作出投資決定時，應基建於您的個別情況，並考慮上述因素。

投資者風險承受程度及相應提供的基金類別僅作為概括指引，以顯示可能適用於得分相若的典型投資者的基金系列。有關資料並未考慮任何可影響您的實際風險承受程度的主觀因素（例如上述因素），亦未考慮您可能持有的任何其他特定的投資。因此，投資於上述相應提供的基金類別中的任何基金，不一定可符合您的所有投資目標。您應謹記考慮個人的實際狀況，並根據所有對您具影響力的相關因素作出投資決定。上述結果亦不應視作可取代您的獨立研究。有需要時，應尋求獨立專業人士的意見。

Investment products are not bank deposits or obligations of, or guaranteed by, Bridgeway or by any local government or insurance agency, unless specifically stated. Investments are not available to U.S. persons. All applications for Investment and Treasury Products are subject to specific Terms and Conditions of the individual products.

Bridgeway reserves the right to only offer the investments to investors that meet the relevant eligibility requirements and that the Company will reject ineligible applications. All Terms and Conditions on the Account Opening Form shall apply equally to this Questionnaire.

Personal Data Privacy

Given your consent, the personal data you provided may be used by Bridgeway for direct marketing and other purposes as set forth in the Policy Statement relating to Personal Data (Privacy) Ordinance, including (1) financial planning and investment, (2) educational workshops and seminars related to finance and investment, or (3) other financial or investment services and products offered by us. If you do not wish to receive marketing materials from us, please check the below box:

I/We do not wish the personal data I/we provided to be used for direct marketing purposes.

If, at any time, you do not wish to receive marketing materials from us, please write to us at Bridgeway Prime Shop Fund Management Ltd. ("Bridgeway"): Rm 1502-3, 15/F, New World Tower 1, 16-18 Queen's Road Central, Hong Kong, and we will cease sending you marketing materials without charge. Please visit www.bwfund.com/ for the latest data privacy policy of Bridgeway.

除非另有指明，投資產品並非銀行存款，及並非盛匯的任何責任或保證，亦不獲得任何當地政府或承保人負責。有關投資並不適用於美國人士。有關買賣投資及財資產品的所有申請均須遵守個別產品的條款及細則。

盛匯保留只為符合相關資格要求的投資者提供投資的權利 / 以及本公司將拒絕不符合資格的申請人的權利。所有列在帳戶申請表格上的條款及細則同樣適用於此問卷。

個人資料私隱

在獲得您的同意下，盛匯有可能用您所提供的個人資料根據個人資料(私隱)條例所訂的政策指引用於直接行銷及其他用途，包括(1)財務策劃及投資；(2)有關金融及投資的教育工作坊及研討會；或(3)我們提供的其他金融或投資服務及產品。若您不欲收到我們的推廣資料，請選擇以下方格：

本人/我們不欲本人/我們所提供的個人資料用於直接行銷目的。

您如在任何時候不欲收到我們的推廣資料，請把要求寄往盛匯商舖基金管理有限公司：香港中環皇后大道中 16-18 號新世界大廈 1 座 15 樓 1502-1503 室，我們將會停止向您寄發推廣資料，並不會就此收取費用。有關盛匯的最新資料私隱條例，請瀏覽 www.bwfund.com/

Accuracy of this Financial Status & Risk Assessment Questionnaire 此財務狀況及風險評估問卷的準確性

I/We warrant that all the information provided in this Financial Status & Risk Assessment Questionnaire is true and accurate, and I/we confirm that I/we agree to your assessment of my/our risk tolerance level. In the event of a re-assessment of risk tolerance level of joint accounts, we confirm that any one of the joint account holders can go through the Financial Status & Risk Assessment Questionnaire with Bridgeway and all account holders will agree to such re-assessment of our risk tolerance level.

本人/我們保證在此財務狀況及風險評估問卷提供的全部資料無訛及準確，及本人/我們確認同意此風險評估中本人/我們所屬的投資者風險承受程度。若聯名戶口需作投資風險的重新評估，我們確認聯名戶口的任何一位持有人都可以完成盛匯的財務狀況及風險評估問卷，而所有戶口持有人均同意重新評估中我們的風險承受程度。

Receipt of copy 確認已收妥風險評估副本

I/we acknowledge the receipt of a copy of this Risk Assessment Questionnaire. 本人/我們確認已收妥此風險評估的問卷副本。

Signatures 簽署：

X

X (if applicable)

(1st Holder 第一持有人)

(2nd Holder 第二持有人)

Investor's Risk Tolerance Level and Description

投資者風險承受程度及有關說明

Risk Tolerance Level 風險承受程度	Description 有關說明
(1) Very Low 非常低	Investor has very little tolerance for capital loss. 投資者對資本虧損的承受能力非常低。
(2) Low 低	Investor seeks to protect his/her capital, and is only willing to accept risks of limited negative price movements. 投資者致力保障資本，只願意接受有限度的價格不利變動。
(3) Medium 中等	Investor is able to tolerate risk of moderate negative price movements. 投資者有能力承受適度的價格不利變動。
(4) High 高	Investor accepts high level of risk (or huge loss of capital) in exchange for the potential to earn high returns that can be substantially higher than inflation in the long term. 投資者接受高風險 (或重大虧損) 的投資來換取長遠來說有可能大大超越通脹的潛在回報。

(5) Very High 非常高

Investor is comfortable to buy investments or enter financial contracts that may have a high risk of losing their entire value or may even lose more than your initial investment.

投資者能承受極高風險，願意投資於有可能喪失全部價值或甚至損失超出投資本金的投資項目。