

- To assist you to determine your investment needs, the Risk Assessment Questionnaire (the "RAQ") will help access your risk tolerance level. **For joint holders account(s), the RAQ should be completed by the 1st account holder.** Please read the important notes and Personal Information Collection Statement set out in this form carefully before you complete this RAQ.
- Please return this form to FIL Investment Management (Hong Kong) Limited, Level 21, Two Pacific Place, 88 Queensway, Admiralty, Hong Kong or fax to (852) 2629 6088.
- 為助您定立個人投資需要，此風險評估問卷（「本問卷」）將分析您的風險承受程度。若屬聯名帳戶，本問卷須由第一持有人填寫。在回答前，請小心細閱列載於本表格之注意事項及收集個人資料聲明。
- 請將本表格寄回富達基金（香港）有限公司，香港金鐘道88號太古廣場二座21樓或傳真至(852) 2629 6088。

Please fill in **all** 10 questions and tick (✓) one answer only for each question. 請回答以下**全部**10條問題並在每題其中一項填上(✓)號。

1 AGE : What is your current age?
年齡： 請說明您的年齡？

- a. Above 70 70歲以上
- b. 66 to 70 66至70歲
- c. 56 to 65 56至65歲
- d. 41 to 55 41至55歲
- e. 18 to 40 18至40歲

2 FINANCIAL KNOWLEDGE: What is your knowledge of financial markets and investments?
金融知識： 您對金融市場和投資的認識有多少？

- a. None, I have no knowledge of financial markets at all and have no interest in understanding them.
並無認識：我對金融市場一無所知，亦無興趣深入瞭解。
- b. I have only some basic knowledge of financial markets such as differences between stocks and bonds.
低水平：我對金融市場只有一些基本知識，例如股票和債券的分別。
- c. Medium, I have above basic knowledge and understand the importance of diversification and practice it (i.e., I have my money in different types of investments to spread the risks).
中等水平：達基本知識以上的水平，明白分散投資的重要性，並作出分散投資（即把資金配置於不同類別的投資，以分散風險）。
- d. High, I know how to read a company's financial reports (i.e., profit and loss statements and balance sheet) and understand the factors affecting the prices of stocks and bonds.
高水平：我懂得閱讀一家公司的財務報告（即損益表及資產負債表），並明白影響股票和債券價格的因素。
- e. Advanced, I am familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand the various factors that may affect the risk and performance of these financial products.
精通：我熟識大部份金融產品（包括債券、股票、認股權證、期權及期貨），並明白影響這些金融產品的風險和表現的各項因素。

3 ACCEPTABLE LOSS: What level of potential loss on your original investment is generally acceptable to you?
可接受的虧損： 一般來說，您可接受投資本金出現甚麼程度的潛在虧損？

- a. No capital losses are acceptable, even if the returns cannot keep pace with inflation.
並不接受任何資本虧損，即使回報未能追上通脹。
- b. A small loss up to 5% is acceptable.
可接受最高 5% 的輕微虧損。
- c. A medium loss up to 15% is acceptable.
可接受最高 15% 的中度虧損。
- d. A large loss up to 30% is acceptable.
可接受最高 30% 的大幅虧損。
- e. A large loss of more than 30% is acceptable.
可接受超過 30% 的大幅虧損。

4 INVESTMENT EXPERIENCE : How many years have you been investing in investment products?

[Definition of investment products: An investment product means that its value can fluctuate over time and can fall below its original invested capital. These include warrants, options, futures, stocks, bonds, funds, equity-linked instruments, foreign exchange trades, commodities, structured products, etc.]

投資經驗： 您有多少年購買投資產品的經驗？

[投資產品的定義：投資產品是指其價值可隨時波動，並可跌至低於其投資本金。投資產品包括認股權證、期權、期貨、股票、債券、基金、股票掛鉤工具、外匯交易、商品、結構性產品等。]

- a. No experience at all 並無經驗
- b. Some experience, but less than 3 years 略有經驗，但少於 3 年
- c. 3 years or more but less than 6 years 3年或以上，但少於6年
- d. 6 to 10 years 6至10年
- e. Over 10 years 10年以上

Important Notes 注意事項	Individual account 個人帳戶	Joint Holders account 聯名帳戶	
		with a Joint Holders Special Authorisation 已建立「聯名持有人特別授權」	without a Joint Holders Special Authorisation 未有建立「聯名持有人特別授權」
Form Completion by 填寫本問卷	Individual holder 帳戶持有人	1st holder 第一持有人	1st holder 第一持有人
Signature(s) 簽署	Individual holder 帳戶持有人	1st holder on behalf of all joint account holders (all joint account holders agree to be bound by the information provided and the resulting score in the RAQ on a collective basis.) 第一持有人代表所有帳戶持有人（所有帳戶持有人同意以集體形式受曾向本問卷內提供之資料及評分結果所約束。）	First time RAQ submission 首次遞交本問卷 All joint account holders 所有帳戶持有人 Subsequent RAQ updates 隨後更新本問卷 1st holder on behalf of all joint account holders (all joint account holders agree to be bound by the information provided and the resulting score in the RAQ on a collective basis.) 第一持有人代表所有帳戶持有人（所有帳戶持有人同意以集體形式受曾向本問卷內提供之資料及評分結果所約束。）
Risk tolerance level of joint holders account 聯名帳戶的風險承受程度	N/A 不適用	(a) all the transactions through your joint account(s) will be assessed based on the risk tolerance level of the 1st holder; 所有經由您的帳戶持有人作出的投資交易將會以第一帳戶持有人的風險承受程度作評估； (b) Fidelity will take into account the information provided in the RAQ (and any updates thereto) in providing services to your joint account(s); and 富達提供服務予您的聯名帳戶時會考慮以本問卷所提供的資料及任何往後的更新資料；及 (c) any transactions entered by <u>any</u> joint account holder, based on the information provided in the RAQ, will be binding on all joint account holders. (collectively refer as " Joint Account Implications " hereafter) 所有由任何一位帳戶持有人作出的交易，根據向本問卷提供的資料，將會對所有帳戶持有人均有約束力。（以下統稱為「 聯名帳戶的含意 」）	
Application of the risk tolerance level of the 1st holder 第一持有人的風險承受程度的應用	By completing the RAQ, all the account holder(s) agree to apply the risk tolerance level of the 1st holder to the following accounts at Fidelity (where applicable): 本問卷所分析出的第一持有人的風險承受程度，帳戶持有人同意將應用於富達以下的帳戶（如適用）： (a) the 1st holder's individual account(s); 屬於該第一持有人的個人帳戶； (b) joint holders account(s) which the 1st holder is the same person and all joint account holders have either signed a Joint Holders Special Authorisation or given written consent to use the 1st holder's risk tolerance level. 第一持有人均屬同一人的聯名帳戶，並聯名帳戶的所有持有人已建立「聯名持有人特別授權」或以書面同意應用該第一持有人的風險承受程度。		
Processing Time (by post/fax) 處理時間 (經郵寄/傳真)	Within 5 business days normally upon receipt of completed RAQ. 填妥的問卷一般在收妥後5個營業日內處理。		

Account Information 帳戶資料

Account Holder's Name(s) 帳戶持有人姓名 (Mr 先生/ Mrs 太太/ Ms 小姐/ Dr 博士/醫生) (must be identical to your ID Card/Passport 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 () Country Code 國家編號		
I/We understand and agree the notes and the Joint Account Implications (where applicable) as set out in the form. 本人/吾等明白並同意列載於本表格的附註及聯名帳戶的含意（如適用）內容。			
Date 日期 (D日/M月/Y年)	/	/	
Signature 簽署：			
X	X	X	X
(1st Holder 第一持有人)	(2nd Holder 第二持有人)	(3rd Holder 第三持有人)	(4th Holder 第四持有人)

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Pursuant to the Personal Data (Privacy) Ordinance (the "Ordinance"), the following information is provided to you in connection with your dealings with and provision of data or information to Fidelity or any Fidelity Group Company ("FIL"). Please be aware that this Statement replaces any notice or statement of similar nature that may have been provided to you previously.

FIL is committed to maintaining your personal data in accordance with the requirements of the Ordinance and will take all reasonable steps to ensure that your personal data is kept secure against unauthorised access, loss, disclosure and destruction.

- (a) From time to time, it is necessary for clients and various other individuals ("data subjects") to supply FIL with data in connection with various matters such as account opening or continuations, or provision of services to clients and other individuals. The kinds of data that may be collected includes, but is not limited to, name, contact details (including residential address, correspondence address, permanent address (if applicable), contact/mobile phone number, email address), occupation, country of birth, nationality, identity card, passport numbers, social security or national insurance numbers, country of tax residency, tax identification numbers and details of financial status.
- (b) Although it is not generally obligatory for a data subject to provide personal data, failure to supply such data may result in FIL being unable to open an account or continue services to clients and various other individuals or comply with any Applicable Laws.
- (c) Data relating to the data subjects are collected or received by FIL from time to time in the ordinary course of the continuation of FIL's relationship with them, for example, when data subjects open account, write cheques, transfer funds, effect transactions, attend seminar/events or generally communicate verbally or in writing by data subjects with FIL.
- (d) The purposes for which data relating to a data subject may be used will vary depending on the nature of the data subject's relationship with FIL. They may comprise any or all of the following purposes:
- (i) the processing of applications for an account with and/or other financial services (including nominee services) provided by FIL;
 - (ii) enabling and/or ensuring the daily operation of the services provided to the data subjects;
 - (iii) researching, designing and launching financial, investment, wealth management, securities, retirement, insurance and nominee services or related products and services for data subjects' use;
 - (iv) promoting and marketing services and products subject to your exercise of the opt-out right (please see further details in paragraph (e) below);
 - (v) providing alerts, newsletter, leaflets, investor communications and investment education materials requested/signed up by the data subjects;
 - (vi) designing and organising financial, investment seminars/events/forums;
 - (vii) designing and conducting surveys/questionnaires for client profiling /segmentation, statistical analysis, improving and furthering the provision of services by FIL;
 - (viii) meeting the disclosure, reporting, compliance and any other legal and regulatory requirements (including but not limited to tax reporting) under any Applicable Laws (including local and foreign taxation authorities) applicable to FIL or any Data Transferee (as defined below) in Hong Kong or elsewhere from time to time;
 - (ix) complying with any Applicable Laws binding or applying to FIL or the Data Transferee within or outside of Hong Kong existing currently and in the future, as well as any present or future contractual or other obligations or requirements with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities that is assumed by or imposed on FIL or the Data Transferee by reason of its financial, commercial or business activities in or related to the jurisdiction of the relevant local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, including but not limited to:
 - (1) compliance with obligations binding on FIL or the Data Transferee in Hong Kong or elsewhere pursuant to the arrangements in relation to Chapter 4 of Subtitle A of the United States Inland Revenue Code of 1986 as amended or supplemented from time to time ("FATCA"); or
 - (2) establishing whether you are a citizen of the United States, resident of the United States for its federal income tax purposes or otherwise subject to tax in the United States and/or to substantiate whether your account has US status for the purposes of FATCA.
 - (x) any purpose related to the administration of the products offered by FIL, third party product issuers or the data subject's participation therein;
 - (xi) enabling a potential purchaser of all or any part of the business or shares of FIL to evaluate the transaction intended to be the subject of the purchase; and
 - (xii) purposes directly related or incidental to the above, including seeking professional advices.

(e) USE OF DATA IN DIRECT MARKETING

FIL intends to use the data subject's data in direct marketing and FIL requires the data subject's consent (which includes an indication of no objection) for that purpose. In this connection, please note that:

- (i) the name, contact details (including residential address, correspondence address, permanent address (if applicable), contact/mobile phone number, email address), products and services portfolio information, transaction pattern and behaviour, financial background, online behaviour and demographic data of the data subject held by FIL from time to time may be used by FIL in direct marketing;

- (ii) the following classes of services, products and subjects may be marketed in direct marketing:
 - (1) financial, investment, wealth management, securities, retirement, insurance, nominee and related services and products;
 - (2) reward, loyalty or privileges programmes, promotional offers and related services; and
 - (3) invitations to financial and investment seminars/events/forums.
 - (f) Data collected may be maintained for such period as may be required under Applicable Laws or as otherwise needed to fulfill any of the purposes set out in paragraph (d) above.
 - (g) Data held by FIL relating to a data subject will be kept confidential but FIL may provide such information to the following parties whether inside or outside Hong Kong for the purposes set out in paragraph (d) ("Data Transferee"):
 - (i) the ultimate holding company of FIL, its subsidiaries, representative offices and/or affiliates of FIL;
 - (ii) the service providers of FIL or the Funds including the issuer, the trustee, the registrar, transfer agent, the custodian, administrative service agent, nominee, share distributors, securities and investment service providers, the auditor of each products and legal advisors;
 - (iii) any agent, contractor, cloud provider or third party service provider who provides administrative, research, design, launch, data storage, telecommunications, software development and application, printing, letter-shopping, mailing, computer, payment, securities clearing and settlement or other services to FIL in connection with the operation of its business;
 - (iv) the intermediaries of FIL (including third party financial institutions such as banks, Independent Financial Advisors, insurers), third party product issuers, distributors, correspondent banks and/or their respective service providers which may handle or process payment to/from data subjects;
 - (v) the employees, officers, directors and agents of FIL;
 - (vi) any applicable regulatory authorities/bodies, governmental authorities/bodies, industry recognised bodies such as future exchanges, fiscal and monetary authorities, securities associations, credit reference agencies, securities exchanges and tax authority of any jurisdictions (whether within or outside of Hong Kong), including but not limited to the United States Internal Revenue Service for the purpose of, for example, compliance with FATCA;
 - (vii) without limiting the generality of (vi) above, any party to whom FIL is under an obligation to make disclosure by Applicable Laws or voluntary arrangements binding on FIL;
 - (viii) external service providers (including but not limited to printing houses, mailing houses, telecommunication companies, public relation companies, advertising agency, telemarketing companies, data processing and data storage companies, storage companies, call centres, market research firms, and information technology companies), that FIL engages for the purposes set out in paragraph (e).
- Please note that personal data stored or processed in any jurisdiction outside of Hong Kong may also be accessible to law enforcement, national security and other government authorities of that jurisdiction and may not enjoy the same protection as in Hong Kong.
- (h) Under the Ordinance, any individual has the right:
- (i) to check whether FIL holds data about him or her, and of access to such data;
 - (ii) to require FIL to correct any data relating to him or her which is inaccurate;
 - (iii) to ascertain FIL's policies and practices in relation to data and to be informed of the kind of personal data held by FIL;
 - (iv) to object to the use of his/her personal data for marketing purposes and FIL shall not use his/her personal data for marketing purposes after he/she communicates his/her objection to FIL.
- (i) In accordance with the terms of the Ordinance, FIL has the right to charge a reasonable fee for the processing of any data access request.
- (j) You may exercise your opt-out right by notifying FIL if you wish to object to the use of your personal data for direct marketing purposes. The person to whom such objections, requests for access to data, correction of data or for information regarding policies and practices and kinds of data held are to be addressed as follows:
- The Data Protection Officer,
FIL Investment Management (Hong Kong) Limited
Level 21, Two Pacific Place,
88 Queensway, Admiralty, Hong Kong
- (k) Nothing in this Statement shall limit the rights of the data subject under the Personal Data (Privacy) Ordinance. In the event of inconsistency between the Personal Information Collection Statement in this form and the Fund Offering Documents, the Personal Information Collection Statement in this form shall prevail.

根據個人資料(私隱)條例(「私隱條例」)，本公司就您與富達或任何富達集團公司(「FIL」)不時進行交易及向FIL提供數據或資料，向您提供以下資訊。請注意，本聲明取代可能曾向您提供的任何同類性質的通知或聲明。FIL將按照私隱條例的規定，竭力保存您的個人資料，並將採取一切合理步驟，確保您的個人資料妥善保存，不被非法使用、遺失、披露及損毀。

- (a) 客戶及其他人士(「資料當事人」)在設立或延續帳戶時，或在FIL向客戶及其他人士提供服務時，必須不時向FIL提供有關資料。所收集的資料類別可能包括但不限於姓名、聯絡資料(包括住址、通訊地址、長期居住地址(如適用)、聯絡/流動電話號碼、電郵地址)、職業、出生國家及城市/市鎮、國籍、身份證、護照號碼、社會保障或國家保險編號、稅籍國、稅務編號及財政狀況詳情。
- (b) 儘管資料當事人一般並無責任提供個人資料，但若未能向FIL提供該等資料，可能會導致FIL無法開設帳戶，或繼續向客戶及其他人士提供服務，或未能遵守任何適用法律。
- (c) 在資料當事人與FIL的持續正常業務往來中(例如當資料當事人開設帳戶、簽發支票、轉調資金、進行交易、出席講座/活動，或與FIL的一般口頭或書面通訊)，FIL將不時收集或收取與資料當事人有關的資料。
- (d) 資料當事人之資料的用途將會視乎其與FIL的關係性質有所不同，其中包括下列任何或所有的用途：
- (i) 處理在FIL開設帳戶及/或由FIL提供的其他金融服務(包括代名人服務)的申請程序；
 - (ii) 促使及/或確保為資料當事人提供的服務維持日常運作；
 - (iii) 研究、設計和推出金融、投資、財富管理、證券、退休、保險及代名人服務或相關產品及服務，以供資料當事人使用；
 - (iv) 宣傳和推廣不同的服務及產品(您可拒收推廣資料)(詳情請參閱下文(e)段)；
 - (v) 按資料當事人的要求/報名登記，提供提示服務、通訊、單張、投資者通訊及投資教育資料；
 - (vi) 規劃及籌備金融、投資講座/活動/論壇；
 - (vii) 設計及進行問卷調查/統計分析，以作客戶檔案分析/分類之用；改善及擴大FIL提供的服務；
 - (viii) 根據不時適用於FIL或任何資料承轉人(定義見下文)在香港或海外的任何適用法律(包括當地及海外稅務機關)，履行資料披露、報告、合規及任何其他法律及監管規定(包括但不限於稅務匯報)；
 - (ix) 遵守香港境內或境外任何對FIL或資料承轉人具約束力或適用的現存及未來適用法律，以及基於FIL或資料承轉人位於或跟相關當地或海外法律、監管、政府、稅務、執法或其他機關所屬司法管轄區有關的金融、商業或業務活動，而向該等當地或海外法律、監管、政府、稅務、執法或其他機關承擔或委予的任何現有或未來的合約或其他義務或規定，包括但不限於：
 - (1) 遵守根據不時經修訂或補充的《1986年美國稅務守則》副標題A第4章的相關安排(「FATCA」)而對FIL或資料承轉人在香港或海外具約束力的義務；或
 - (2) 確立您是否一名美國公民、美國聯邦所得稅法所指的美國居民，或須繳納美國稅務的其他人士；及/或就FATCA目的而言，證明您的帳戶是否美國帳戶。
 - (x) 與行政管理FIL、第三者產品發行機構所提供的產品或資料當事人參與行政管理有關的任何用途；
 - (xi) 使有意購買FIL全部或任何部份業務或股份的買家可評估有關購買交易；及
 - (xii) 與上述各項直接相關或附帶的用途，包括諮詢專業意見。

(e) 在直接促銷中使用資料

FIL擬把資料當事人的資料用於直接促銷，而FIL須為該用途取得資料當事人的同意(包括表示不反對)。就此而言，請注意：

- (i) FIL可能把不時持有的資料當事人姓名、聯絡詳情(包括住址、通訊地址、永久地址(如適用)、聯絡電話/流動電話號碼、電郵地址)、產品及服務組合資料、交易模式和行為、財務背景、網上行為及人口統計數據等資料，用於直接促銷；
- (ii) 在直接促銷中可能會推廣下列類別的服務、產品及項目：
 - (1) 金融、投資、財富管理、證券、退休、保險、代名人及相關服務和產品；
 - (2) 獎勵、長期客戶或尊享優惠計劃、推廣優惠和相關服務；及
 - (3) 邀請出席金融及投資講座/活動/論壇。
- (f) FIL將按適用法律規定或其他為達成上述(d)段列出的任何用途所需的時期，儲存收集所得資料。

(g) FIL將對其所持有資料當事人的資料保密，但FIL可能會把該等資料提供予下述的香港或海外各方作上述(d)段列出的用途(「資料承轉人」)：

- (i) FIL的最終控股公司、其附屬公司、代表辦事處及/或FIL的聯營公司；
- (ii) FIL或基金的服務供應商，包括各項產品的發行機構、受託人、註冊處、過戶代理、保管人、行政服務代理、代名人、股份分銷商、證券與投資服務供應商、核數師，以及法律顧問；
- (iii) 就FIL的業務營運為FIL提供行政、研究、設計、推出、數據儲存、電訊、軟件開發及應用程式、印刷、郵件處理、郵遞、電腦、付款、證券結算和交收或其他服務的任何代理、承包商、雲端服務供應商或第三者服務供應商；
- (iv) FIL的中介商(包括第三者金融機構，例如銀行、獨立財務顧問、保險公司)、第三者產品發行機構、分銷商、可能處理或辦理提供予/來自資料當事人的付款的往來銀行及/或其各自的服務供應商；
- (v) FIL的僱員、高級行政人員、董事及代理；
- (vi) 任何合適的監管機構/組織、政府機構/組織、市場公認的行業組織，例如期貨交易所、財政與貨幣機關、證券協會、信貸資料庫、證券交易所及任何司法管轄區(不論在香港境內或境外)的稅務機關，包括但不限於美國國家稅務局，以符合(舉例說)FATCA的規定；
- (vii) 在不限制上述(vi)段的一般性的原則下，根據對FIL具約束力的適用法律或自願性安排，FIL有義務向其披露資料的各方；
- (viii) FIL為第(e)段所述的目的是而委聘的外部服務供應商(包括但不限於印刷公司、郵務公司、電訊公司、公關公司、廣告代理機構、電話推銷公司、數據處理及數據儲存公司、儲存公司、客戶熱線中心、市場研究公司及資訊科技公司)。

請注意，在香港以外的任何司法管轄區儲存或處理個人資料可能亦須提供予該司法管轄區的執法機構、國家安全及其他政府部門，而且或許未能享獲與香港同等的保障。

(h) 根據上述條例，任何人士均有權：

- (i) 查核FIL是否持有其資料及查閱該等資料；
- (ii) 要求FIL更正任何有關該名人士的不準確資料；
- (iii) 確定FIL有關資料的政策和慣例，以及獲告知FIL所持個人資料的類別；
- (iv) 拒絕其個人資料被用作市場推廣用途，而FIL在接獲該名人士的拒絕通知後，不得使用其個人資料作市場推廣用途。

(i) 根據上述條例的條款，FIL有權就處理任何查閱資料的要求徵收合理費用。

(j) 若您反對個人資料被用作直接促銷，可通知FIL行使選擇權拒收推廣資料。任何關於拒收、查閱或更正資料，或索取關於政策與慣例的資料或所持資料類別的要求，應向下列人士提出：

香港金鐘道88號
太古廣場二座21樓
富達基金(香港)有限公司
資料保護主任

(k) 本聲明一概不會限制資料當事人在個人資料(私隱)條例下所享有的權利。若本表格的收集個人資料聲明與基金銷售文件出現任何歧異，應以本表格的收集個人資料聲明為準。