

## Risk Profiling Questionnaire

The Hongkong and Shanghai Banking Corporation Limited

Customer Information		
Customer Name		
Customer Number		
	elp you consider your Risk Tole olaying your personal investme	erance. It asks questions that provide some indication of the Risk ent characteristics. It may not match your actual attitude toward
About You -Your Risk Tolerance  1. What portion of your net worth very capital when investing in investment of the products could include on investment products.  2. Generally, investing involves a transection of the products of the produ	vould you like to set aside for innent products*.  een >0% and 50%    ee or more of the following: sto  ade-off between risk and return bondingly high fluctuations and	over 50%  cks, unit trusts, foreign currencies, commodities, structured  It has been historically shown that investors who achieve high losses. In order to achieve your expected returns, which
I am willing to accept model I am willing to accept high I am willing to accept high I am which of the following Capital preservation A regular stream of stables.	nimal amount of capital loss. oderate capital loss. yh capital loss. wing best describes your invest  E e income	
over a short time horizon (i.e. 1 y  Portfolio (a) – I am willing Portfolio (b) – I am willing Portfolio (c) – I am willing Portfolio (d) – I am willing	e descriptions of 5 sample portfear). Which of the sample portion to accept a potential loss of 30 to accept a potential loss of 10 to accept a potential loss of 15 to accept a potential loss of 20	
5. What will you do with your involved in the small.  I will sell the investments will sell some of the involved in the investment in the small in the investment in the inves	volatility  vestments if the value drops over to any investments at a loss and if the drop in value is large. The estments if the drop in value is ents, regardless of the drop in value is ents.	er a period of time due to market fluctuations? d will sell the investments immediately even if the drop in value is large, and wait for the remaining investments to recover in value. value, as I would like to wait for the investment to recover in value. value, and will buy more to capitalize on the cheaper price.

<b>6.</b> Generally, higher returns are coupled with higher risks and fluctuation fluctuations in the value of 5 different investment portfolios over a lomost comfortable investing in?	
Portfolio (a) – The value may have limited fluctuation of 5% in both directions, with the potential for small gains and losses.	INDEX PRICE
Portfolio (b) – The value may have more fluctuation of 10% in both directions, with the potential for more gains and losses.	NUMBER OF YEARS  NOT THE STATE OF YEARS  NUMBER OF YEARS
Portfolio (c) – The value may have moderate fluctuation of 15% in both directions, with the potential for moderate gains and losses.	NOEX PRICE  NUMBER OF YEARS  10
Portfolio (d) – The value may have considerable fluctuation of 20% in both directions, with the potential for greater gains and losses.	NUMBER OF YEARS 10
Portfolio (e) – The value may have extensive fluctuation of over 20% in both directions, with the potential for substantial gains and losses.  Risk Tolerance Points Score	NUMBER OF YEARS 10
Question 1 2 3 4	5 6 Total
Question 1 2 3 4	o iotai

Question	1	2	3	4	5	6	Total
Score							

## Your Risk Tolerance

Score	Risk Tolerance	Definition				
Knock-out	SECURE	<ul> <li>You generally do not want to take any investment risk, since you can accept no investment loss.</li> </ul>				
		<ul> <li>Financial products with an investment element are not suitable for you.</li> </ul>				
		<ul> <li>Products that are potentially suitable for you are likely to produce returns that are based on prevailing interest rates which may or may not keep pace with inflation.</li> </ul>				
0-6	VERY CAUTIOUS	<ul> <li>You are generally comfortable with achieving a minimum level of return potential on your investment coupled with minimal risks.</li> </ul>				
		<ul> <li>Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be minimal (although this is not guaranteed), and you are comfortable with this level of fluctuation.</li> <li>Investment products with risk rating 1 are likely to be suitable for you.</li> </ul>				
7-13	CAUTIOUS	<ul> <li>You are generally comfortable with achieving a low level of return potential on your investment coupled with a low level of risk.</li> </ul>				
		<ul> <li>Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be low (although this is not guaranteed), and you are comfortable with this level of fluctuation.</li> </ul>				
14-23	BALANCED	<ul> <li>Investment products with risk rating 2 or below are likely to be suitable for you.</li> <li>You are generally comfortable with achieving a moderate level of return potential on your investment coupled with a moderate level of risk.</li> </ul>				
		<ul> <li>Capital values can fluctuate and may fall below your original investment. Fluctuation is expected to be higher than products that are suitable for investors in lower risk tolerance categories, but not as much as for higher risk tolerance categories.</li> <li>Investment products with risk rating 3 or below are likely to be suitable for you.</li> </ul>				
24-32	ADVENTUROUS	<ul> <li>You are generally comfortable with achieving a high level of return potential on your investment coupled with high level of risk.</li> <li>Capital values can fluctuate significantly and may fall quite substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of</li> </ul>				
>=33	SPECULATIVE	<ul> <li>fluctuation.</li> <li>Investment products with risk rating 4 or below are likely to be suitable for you.</li> <li>You are generally comfortable with maximizing your return potential on investment coupled with maximized risk.</li> <li>Capital values can fluctuate widely and may fall substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation.</li> <li>Investment products with risk rating 5 or below are likely to be suitable for you.</li> </ul>				
Based on th	ne answers you have	e provided, your score is				
Using the a	bove definition, you	r Risk Tolerance is likely to be				
	one). This can only b	ion, please indicate your Risk Tolerance that you believe is more accurate (please tick the be lower than the Risk Tolerance calculated above, and will be the Risk Tolerance captured in the				
SECUF	E VER	Y CAUTIOUS				
FINAL RI	SK TOLERANCE					
Customer C	Confirmation:					
I/We confirm	that my/our Risk To	olerance is correctly stated above and that the information I/we have supplied is correct. I/We conf				
that I/We we	re reminded and are	e aware that I/we should have adequate liquid funds to meet unforeseen events.				

## C

Customer Name and Signature	HSBC

To be completed by the other Joint Accountholders: I/We confirm that I/we conform to the above-named co-joint accountholder's general risk attitude to represent my/our risk profile, and that the details provided are correct.

Customer Name and Signature	HSBC	Customer Name and Signature	HSBC
Customer Name and Signature	HSBC	Customer Name and Signature	HSBC

Date signed \_\_\_\_\_ dd-mm-yyyy

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