

【SITE Name】

Assessment Form of Customer Risk Aptitude (for Post Office only)

Date : Y M D Post Office Number : □□□□□□—□

※In compliance with relevant laws and regulations, the customer shall fill out and check each item on this form in order to understand customer's risk aptitude (risk tolerance) so that the appropriate securities investment trust fund (herein referred to as the Fund) could be provided.

※Please provide your seal impression if any places have been altered.

Customer Information					
Beneficiary	ID No.				
1.Marital Status	<input type="checkbox"/> Unmarried <input type="checkbox"/> Married, No. of children : <input type="checkbox"/> None <input type="checkbox"/> Yes, ___ children <input type="checkbox"/> Not provided (it will be considered Not provided if none of the other boxes have been checked)				
2.Education	<input type="checkbox"/> Ph. D. <input type="checkbox"/> Master <input type="checkbox"/> Bachelor <input type="checkbox"/> Junior college <input type="checkbox"/> High school <input type="checkbox"/> Junior high school and below				
3.Occupation	<input type="checkbox"/> Finance/Insurance <input type="checkbox"/> Industry/Manufacturing <input type="checkbox"/> Information Industry <input type="checkbox"/> Medicine <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Commerce/Services <input type="checkbox"/> Military/Police/Civil Servant/Teacher <input type="checkbox"/> Self-employed <input type="checkbox"/> Housekeeper <input type="checkbox"/> None <input type="checkbox"/> Other_____				
4.Name of Company	_____Company <input type="checkbox"/> Other_____(Please specify)				
5.Position	<input type="checkbox"/> Staff <input type="checkbox"/> Technician <input type="checkbox"/> Sales <input type="checkbox"/> Professional <input type="checkbox"/> Intermediate Manager <input type="checkbox"/> Senior Manager <input type="checkbox"/> Chief Executive <input type="checkbox"/> Not provided <input type="checkbox"/> Other_____				
6.Financial Status (in NTD)	Personal/Household Annual Income <input type="checkbox"/> Less than 1 million <input type="checkbox"/> 1.01-3 million <input type="checkbox"/> 3.01-5 million <input type="checkbox"/> Over 5 million				
7.Expected Investment Amount (in NTD)	<input type="checkbox"/> Less than 500,000 <input type="checkbox"/> 510,000-1 million <input type="checkbox"/> 1.01-2 million <input type="checkbox"/> 2.01-5 million <input type="checkbox"/> 5.01-10 million <input type="checkbox"/> Over 10.01 million				
8.Source of Investment Funds (Multiple choice)	<input type="checkbox"/> Salary <input type="checkbox"/> Pension <input type="checkbox"/> Idle Funds <input type="checkbox"/> Transfer from another SITE <input type="checkbox"/> Other_____				
9.Investment Instruments (Multiple choice)	<input type="checkbox"/> NTD Deposit <input type="checkbox"/> Stocks <input type="checkbox"/> Bonds <input type="checkbox"/> Mutual Aid Society <input type="checkbox"/> Insurance <input type="checkbox"/> Real Estate <input type="checkbox"/> Foreign Currency Deposit <input type="checkbox"/> Mutual Funds <input type="checkbox"/> Futures and Options <input type="checkbox"/> Other_____				
10.the Ways of Obtaining Investment Information (Multiple choice)	<input type="checkbox"/> Books/Magazines/Newspapers <input type="checkbox"/> Radio/TV <input type="checkbox"/> Internet <input type="checkbox"/> Banks <input type="checkbox"/> Customer Service Center <input type="checkbox"/> Financial Manager <input type="checkbox"/> Other_____				
11.Do you have a major illness and injury certificate issued by National Health Insurance Administration	<input type="checkbox"/> Yes <input type="checkbox"/> No (if neither box is checked, the SITE will assume that you do not have this status)				
Risk Aptitude Assessment	1 point	2 points	3 points	4 points	5 points
◆ Part I: Multiple-choice question (one answer for each question)					
1.Age	<input type="checkbox"/> Over 70/Under 20	<input type="checkbox"/> 60-69	<input type="checkbox"/> 50-59	<input type="checkbox"/> 40-49	<input type="checkbox"/> 20-39
2.Investment Experience (including investment in stocks, mutual funds, foreign currency, gold, and futures, etc.)	<input type="checkbox"/> No investment experience	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> 1-3 years	<input type="checkbox"/> 3-5 years	<input type="checkbox"/> More than 5 years
3.What percentage of your personal/household monthly income can you use for investment or savings?	<input type="checkbox"/> Less than 5%	<input type="checkbox"/> 5%-10%	<input type="checkbox"/> 10%~20%	<input type="checkbox"/> 20%~30%	<input type="checkbox"/> Over 30%
4.What is your customary investment approach in mutual funds?	<input type="checkbox"/> Never investment	<input type="checkbox"/> Money Market Funds only	<input type="checkbox"/> Systematic Investment Plan (SIP)	<input type="checkbox"/> Both SIP and Lump Sum Investment	<input type="checkbox"/> Lump Sum Investment
5. Degree of investment risk tolerance: the market value of assets may increase or decrease; what is your desired average annual rate of return on investment? (Taking investment of NT\$1 million as an example)	<input type="checkbox"/> 1%-2% (desired annual profit of NT\$10,000-20,000)	<input type="checkbox"/> 3%-5% (desired annual profit of NT\$30,000-50,000)	<input type="checkbox"/> 6%-8% (desired annual profit of NT\$60,000-80,000)	<input type="checkbox"/> 9%-12% (desired annual profit of NT\$90,000-120,000)	<input type="checkbox"/> Over 12% (desired annual profit of over NT\$120,000)

6. Degree of investment risk tolerance: the market value of assets may increase or decrease; what are the greatest investment losses you can withstand in one year? (Taking investment of NT\$1 million as an example)	<input type="checkbox"/> 1%-2% (withstanding annual losses of NT\$10,000-20,000)	<input type="checkbox"/> 3%-5% (withstanding annual losses of NT\$30,000-50,000)	<input type="checkbox"/> 6%-8% (withstanding annual losses of NT\$60,000-80,000)	<input type="checkbox"/> 9%-12% (withstanding annual losses of NT\$90,000-120,000)	<input type="checkbox"/> Over 12% (withstanding annual losses of over NT\$120,000)
Score for this part 【please add up your own score】	$1\text{point} \times __\text{questions} + 2\text{points} \times __\text{questions} + 3\text{points} \times __\text{questions} + 4\text{points} \times __\text{questions} + 5\text{points} \times __\text{questions} = _____\text{points}$				
◆ Part II: Multiple-choice question (more than one answer)					
7. What are your investment goals? (scored the highest-point answer)	<input type="checkbox"/> investing in Conservative products	<input type="checkbox"/> Short-term investment plan	<input type="checkbox"/> Saving for retirement	<input type="checkbox"/> Children's education fund	<input type="checkbox"/> Asset appreciation
Total Score 【please add up your own score】	Part I: $__\text{points}$ + Part II: $__\text{points}$ = Total: $__\text{points}$				

Customer Risk Aptitude Assessment

◆ According to the total score, please confirm and check your risk aptitude category.

Check (V)	Score	Risk Aptitude Category	Explanation of Risk Aptitude	Suitable Level of Risk Return
	7-11 points	Conservative	Your risk tolerance is extremely low and you hope to avoid loss of investment principal.	RR1
	12-21 points	Moderate	You are willing to accept some risk to seek a reasonable return on investment.	RR1-RR3
	Over 22 points	Aggressive	You are willing to accept a relatively high risk to seek a high return on investment.	RR1-RR5

※ The results of this risk aptitude assessment questionnaire are inferred from the personal information you provided when you filled in the questionnaire, and your results will be used as a reference when you invest in the Fund in the future. The results of this risk aptitude assessment questionnaire will have a valid period of 1 year, and you should complete the questionnaire again after that time; if you do not complete the questionnaire again, you may only subscribe to the Fund with the lowest risk grade. The content of this questionnaire and its results are not an offer or a solicitation for an offer to engage the Fund transaction and should not be considered as investment recommendations. The SITE should not bear any responsibility for the accuracy or completeness of the information containing in this questionnaire. In order to protect the privacy of your personal information, except required by law or the competent authority, the SITE shall not provide your personal information included in this questionnaire to any third party without your prior consent. If there are any discrepancies in the notification information sent by the SITE, the beneficiary agrees to that the information in the SITE's account is accurate. The Fund to which the beneficiary may subscribe shall be based on the results of risk aptitude assessment and the Fund's risk grade. Please consult the SITE's website for the Fund's risk grade.

※ According to related laws and regulations, when conducting the Fund distribution business, the SITE or post offices sales personnel should not actively recommend high-risk products to those investors who are known clearly as underprivileged persons including being over 70 years of age, having only a junior high school education level or below, or having a major illness and injury certificate issued by National Health Insurance Administration.

The Fund Risk Disclosure Statement

This risk disclosure statement is provided to you in accordance with Article 17 of the Securities Investment Trust and Consulting Association's (SITCA) "Rules Governing the Public Offering, Issuance, and Sale of Securities Investment Trust Funds and Their Subscription or Redemption" and "Guidelines for Advertisements and Business Activities Performed by Members and Their Sales Agents".

The Fund transactions have different characteristics than deposits, stocks, and other investment instruments. Before opening the Fund account and making transactions, you should carefully assess whether your financial situation and risk tolerance are suitable to the Fund transaction and should fully understand the following matters:

1. The decisions of the Fund subscription and redemption are made on the basis of your personal judgment, and you should understand and accept the risk entailed by transactions including principal loss.
2. The Fund has been approved or agreed to be effective by the FSC. However, there is no guarantee that it is risk-free. The SITE's past performance of the Fund manager does not guarantee a minimum investment return. Apart from exercising the duty of care of a prudent administrator, the Fund manager will not be responsible for the profit or loss of the Fund, not guarantee a minimum return. Investors should read the Fund's simplified prospectus or prospectus carefully before subscription.
3. The following risk factors should be considered when you make the Fund transactions:
 - (1) Risks associated with investment targets and investment regions: market risk (including the factors of politics, economy, society, exchange rate, interest rate, stock price, index, or price fluctuations of other target assets), liquidity risk, credit risk, changes in the economic cycle of industry, transaction risk, legal risk, and currency risk.
 - (2) The payment of redemption price may be delayed due to the foregoing risks, massive redemption from beneficiaries, or temporarily suspending calculation of redemption price.
 - (3) Investment involves risks and these risks may cause loss of principal even losing all the total investment principal. Paying NTD to subscribe to the Fund which is denominated in foreign currency or invests in foreign assets, the beneficiary should bear exchange rate risk when the amount of redemption/transaction is transferred to NTD.
 - (4) A high yield bond fund invests primarily in high risk bonds which have a credit rating below investment level or no credit rating and are extremely sensitive to fluctuations in interest rates. When interest rates rise or market transactions decrease, the liquidity of such bond fund may drop and lead to that the fund cannot be sold for a reasonable price in the short term. The fund also may suffer losses if the bond issuer defaults on principal or interest payments or goes into bankruptcy. As a consequence, the fund which specializes in high yield bonds should not make up a large percentage of investors' portfolios and should be not suitable for investors who cannot assume the associated risks. In addition, a high yield bond fund may invest in US Rule 144A bonds (the total amount of investment in Rule 144A bonds may not be exceeded 30 percent of the net asset value of domestic bond funds; no limitation in offshore bond funds) and the price of the fund may fluctuate drastically because Rule 144A bonds are privately offered and often have insufficient liquidity, poor financial information disclosure, or opaque price.
 - (5) The Fund's dividend may be paid from the Fund income or principal, and applicable fees may not be deducted prior to the dividend distributions. Any payments made from principal may cause reductions in the original investment amount. The items of dividend distributions can be viewed on the SITE's website.
4. The Fund is for long-term investment and it should not be expected to obtain high returns in the short term. The value of investments may rise as well as fall and investors may not get back the amount invested.
5. The Fund is not protected by deposit insurance, insurance stabilization fund, or other protection mechanisms.
6. In the case of any disputes arising from the Fund transactions, you may file a complaint with the SITCA or Financial Ombudsman Institution.

This Risk Disclosure Statement is brief and concise without providing a comprehensive list of all investment risks and factors that may affect market performance. Before making an investment, you should carefully review this Risk Disclosure Statement, read the Fund simplified prospectus/prospectus thoroughly, deliberate on other factors that may impact on market, and make financial planning and risk assessment well to avoid insufferable losses from rash investments. If you have any questions concerning the foregoing information or wish to obtain the Fund's simplified prospectus/prospectus from the SITE, we urge you to call the SITE's customer service number.

Notification concerning the collection, processing, and use of personal information

You (beneficiary, legal guardian) agree that the SITE may, in accordance with the Personal Information Protection Act, other relevant domestic and foreign laws and regulations, operation goals, risk control, audits, customer services, management, provision of information, your benefit, or at the request of competent authorities or courts, provide your account opening, transaction information, etc. to the SITE, other companies which are commissioned to perform fund matters, any company in the group to which the SITE belongs, the domestic or foreign financial supervisory institution of the foregoing companies, the competent authorities, or courts. You also agree that the SITE may, for the foregoing purposes, collect, process, use, and transmit internationally your personal information including identification information (name, contact method, ID number, passport number, resident certificate number, residential information, US taxpayer number, or account name and number), characteristic information (date of birth, nationality), household information (marital status), education information, financial information (income, assets), and social situation information (occupation). Periods, locations, subjects, and methods in personal information use: During the period of collecting personal information for a specific purpose, the retention period of information specified in statute or contract, or the necessary retention period for the SITE to implement services, the SITE and the other subjects listed in point 1 may use the personal information in domestic or foreign territories via automated equipment or other non-automated way. In accordance with Article 3 of the *Personal Information Protection Act*, in terms of your personal information held by the SITE, you may contact personnel of the SITE customer service by telephone, go to a post office counter, or call Chunghwa Post customer service line to help you exercise the following rights using appropriate methods specified in the SITE regulations:

(1) Inquiry or request to review, or make duplications of the personal information (in accordance with law, the SITE may charge a fee for necessary expenses). (2) Request to supplement or correct the personal information; however, in accordance with law, you shall provide an appropriate explanation. (3) Request the cessation of the collection, processing, or use of personal information and request the deletion of information. However, in accordance with law, the SITE may choose not to honor your request when the information is necessary for its implementation of services. If you refuse to provide relevant personal information or the information is incomplete, the SITE may not be able to perform necessary review and processing tasks and then may not be able to provide services to you. **Except for your written consent, you do not agree that the SITE provide your personal information to the affiliated company for common marketing.**

By affixing the beneficiary's seal impression on the right-hand side, I (the beneficiary) certify the following: I have carefully read and agree to all terms and regulations of this " Assessment Form of Customer Risk Aptitude " and the content of "The Fund Risk Disclosure Statement". I have provided the accurate information and check the correct risk aptitude category. I also agree to read the Fund's latest simplified prospectus/prospectus and to understand the investment risks before subscribing to the Fund.

Beneficiary's Seal Impression

※If beneficiary is a minor, please affix the seal impression of statutory agent (parent or guardian).
 ※Please affix the assistant's seal impression in the case of a person under assistance.

※Personnel of risk aptitude assessment :

(Post Office staff only)

The SITE staff only						Post Office	Clerk : Supervisor :
Supervisor	Clerk	Checking the seal	Receipt	Date of receipt	Account No.		