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Notification: This Questionnaire (including the clauses on the back of this Questionnaire) is written in Chinese and English. If there is any inconsistency or conflict between Chinese version and English version, the Chinese version shall prevail for all purposes.

基金账户名称 Fund Account Name _____

基金账号 Fund Account No. _____ 交易账号 Trading Account No. _____

摩根基金管理（中国）有限公司（下称“本公司”或“摩根基金”）参考Morningstar晨星基金投资者风险等级评估问卷及评分规则对基金投资者进行风险测评及分类。本问卷旨在了解贵司可承受的风险程度等情况，借此协助贵司选择合适的金融产品或金融服务类别，以符合贵司的风险承受能力。

风险承受能力评估是本公司向客户履行适当性职责的一个环节，其目的是使本公司所提供的金融产品或金融服务与贵司的风险承受能力等级相匹配。

本公司特别提醒贵司：本公司向客户履行风险承受能力评估等适当性职责，并不能取代贵司自己的投资判断，也不会降低金融产品或金融服务的固有风险。同时，与金融产品或金融服务相关的投资风险、违约责任以及费用等将由贵司自行承担。

本公司提示贵司：本公司根据贵司提供的信息对贵司进行风险承受能力评估，开展适当性工作。贵司应当如实提供相关信息及证明材料，并对所提供的信息和证明材料的真实性、准确性、完整性负责。

本公司建议：当贵司的各项状况发生重大变化时，需对贵司所投资的金融产品及时进行重新审视，以确保贵司的投资决定与贵司可承受的投资风险程度等实际情况一致。

本公司在此承诺，对于贵司在本问卷中所提供的一切信息，本公司将严格按照法律法规要求承担保密义务。除法律法规规定的有权机关依法定程序进行查询以外，本公司保证不会将涉及贵司的任何信息提供、泄露给任何第三方，或者将相关信息用于违法、不当用途。

JPMorgan Asset Management (China) Company Limited (“JPMAM China”) conducts Risk Tolerance Assessment by referring to Morningstar China Investor Risk Tolerance Assessment Methodology. The questionnaire is designed to help your company understand your tolerance for investment risk, based on which you are able to choose appropriate financial products or services that suit your risk appetite.

Risk tolerance assessment is part of our process to execute the ‘Suitability’ requirement, in order to provide you with financial products or services that will match your risk tolerance.

We would like to remind you that the actions we take to implement the Suitability sales including this questionnaire cannot replace your discretionary investment decisions and would not reduce the inherent risk associated with financial products or services. In the meantime, you shall bear full responsibility to take the investment risks, to perform the contract and to cover the expenses associated with the financial products or services.

We would like to remind you that we evaluate your risk tolerance based on the information you provide. You shall be responsible for the information and materials you provide to us and ensure that the information is authentic, accurate and complete.

We suggest you review your holding or financial products on a timely basis when there are significant changes to your company, so as to make sure that your investment decisions are consistent with the investment risks you can bear.

We hereby promise to keep confidential, as required by law, for all information you provide in the questionnaire. We promise not to provide or leak any information related to your company to any third party or use the information for illegal or illicit purposes, unless competent authorities request access to the information via legitimate procedures.

机构投资者风险等级评估问卷 Risk Tolerance Questionnaire for Institutional Investors

(注：仅第2题为多选，其他题皆为单选 Note: Only question 2 is multiple choice, the others are single-choice)

投资目标 Investment Targets

1. 贵司计划的投资期限有多长？ How long is the planned investment horizon of your company?
- ☐ A. 10年以上 Over 10 years
- ☐ B. 5至10年 5-10 years
- ☐ C. 3至5年 3-5 years
- ☐ D. 1至3年 1-3 years
- ☐ E. 1年以内 Within 1 year
- ☐ F. 不确定 Unpredictable
2. 贵司打算重点投资于哪些种类的投资品种？（本题为多选，将仅保留最高分值选项并依其计算评分。）
What investment products does your company plan to invest in highly? (Multiple-choice question. Only the highest-scoring option will be recorded and scored accordingly.)
- ☐ A. 复杂或高风险金融产品 Complex or high-risk financial products
- ☐ B. 期货、期权等金融衍生品 Futures, options and other financial derivatives
- ☐ C. 股票、混合型基金、股票型基金等权益类投资品种
Stocks, hybrid fund, stock fund and other equity investment varieties
- ☐ D. 债券、债券基金等固定收益类投资品种 Bond, bond fund and other investment varieties with fixed income
- ☐ E. 货币市场基金 Money market fund (MMF)
3. 在正常的市场情况下，贵司对这项投资的收益有何期望？
What kinds of returns does your company expect from this investment under normal market conditions?
- ☐ A. 获得超越股市表现的高收益，同时愿意承受比股市更大的波动
We prefer higher returns than the performance of the stock market, and we'll tolerate greater fluctuations than the stock market.
- ☐ B. 获得和股市相近的收益，同时愿意承受与股市相近的波动
We prefer roughly equal returns with the stock market, and we'll tolerate similar fluctuations to the stock market.
- ☐ C. 逊于股市表现，但能取得适度盈利，同时波动较小
We prefer moderate but lower returns than the performance of the stock market, with less fluctuation.
- ☐ D. 长期收益高于定期存款，同时波动较小
We prefer long-term higher returns than time deposit, with small fluctuation.
- ☐ E. 收益保持高度稳定，不愿承受任何投资损失
We prefer highly stable returns, and we're unwilling to bear any investment loss.
4. 有些投资者希望每年可以获得稳健的现金分红，也有一些投资者不希望获得现金分红，而是进行再投资。贵司对待分红的态度是？
Some investors hope to get steady cash dividends every year, but some prefer reinvesting than cash dividends.
What's your company's attitude towards dividends?
- ☐ A. 不希望获得分红，希望盈利全部被用来进行再投资
We hope to reinvest all of our returns, but not to get cash dividends.
- ☐ B. 对是否分红持无所谓的态度 It doesn't matter to us.
- ☐ C. 希望在获利的年份可以获得适度分红 We hope to get moderate cash dividends in the profit-making year.
- ☐ D. 希望每年可以获得适度分红 We hope to get moderate cash dividends every year.
- ☐ E. 希望每年可以获得不低于银行存款利息的分红
We hope to get cash dividends not lower than the interests from bank deposits every year.
- ☐ F. 主要投资货币市场基金，不适用 Not applicable. We mainly invest in MMFs.

财务状况 Financial Situation

5. 贵司的净资产规模为? How much net assets does your company have?

- ☐ A. 超过1亿元 More than RMB 100 million
- ☐ B. 5000万元到1亿元 RMB 50 -100 million
- ☐ C. 2000万元到5000万元 RMB 20 - 50 million
- ☐ D. 500万元到2000万元 RMB 5 - 20 million
- ☐ E. 500万元以下 Less than RMB 5 million

6. 贵司目前的投资规模占净资产比例范围在?

What's the current ratio of your company's investment scale among net assets?

- ☐ A. 大于40% Higher than 40%
- ☐ B. 30%-40%
- ☐ C. 20%-30%
- ☐ D. 10%-20%
- ☐ E. 10%以下 Below 10%

7. 根据贵司目前以及将来预期的现金需求, 您们可以将多少比例的投资收益用于再投资?

According to current and future expected demand of cash, what percentage of investment returns would your company like to use for reinvestment?

- ☐ A. 将所有投资收益用于再投资 All 100%
- ☐ B. 50%以上的收益用于再投资 More than 50%
- ☐ C. 20%至50%的收益用于再投资 20% - 50%
- ☐ D. 20%以下的收益用于再投资 Less than 20%
- ☐ E. 所有收益都不做再投资, 而用做他用 None. We'll use all returns for other purposes than reinvestment.
- ☐ F. 不适用 Not applicable.

8. 贵司是否有尚未清偿的数额较大的债务? 如有, 主要是:

Does your company have a large amount of outstanding debts? If yes, such debts are mainly:

- ☐ A. 没有数额较大的债务 There is no large amount of outstanding debt
- ☐ B. 民间借贷 Private lending
- ☐ C. 通过担保公司等中介机构募集的借款 Borrowings raised by guarantee companies and other intermediaries
- ☐ D. 公司债券或企业债券 Corporate or enterprise bonds
- ☐ E. 银行贷款 Bank loan

9. 贵司的主要投资资金来源是? What's main source of your company's funds for investment?

- ☐ A. 其它大型机构投资者 Other large institutional investors
- ☐ B. 其它小型机构投资者 Other small institutional investors
- ☐ C. 个人投资者 Individual investor
- ☐ D. 自有资金 Self-owned funds
- ☐ E. 负债 Loans

10. 公司面临的现金流压力是: The cash flow pressure faced by your company is:

- ☐ A. 现金流长期充裕, 几乎没有压力
We have abundant cash flow in a long term, and almost suffer no pressure.
- ☐ B. 现金流长期较充裕, 短期内不会有压力, 长期压力较小
We have relatively abundant cash flow in a long term, and suffer no pressure in the short term, and suffer small pressure in the long term.
- ☐ C. 现金流长期有一定压力, 需要一定的投资收益弥补现金流
We suffer from a certain pressure from cash flow in a long term and need certain returns from investment to make up for cash flow.

- ☐ D. 现金流短期有一定压力，需要流动性较高的投资
We suffer from a certain pressure from cash flow in a short term and need to invest in instruments with higher liquidity.
- ☐ E. 现金流短期压力很大，有可能需要随时将投资变现弥补现金流
We suffer from a lot of pressure from cash flow in a short term, and always need returns from investment to make up for the cash flow.

投资经验 Investment Experience

11. 股票、债券、基金、外汇、商品、专户理财、期货和融资融券，这八类投资工具贵司深入研究过几种？
Among stock, bond, fund, foreign exchange, commodity, separate accounts, futures and securities margin trading, how many of these financial instruments have you studied deeply?
- ☐ A. 7-8
- ☐ B. 5-6
- ☐ C. 3-4
- ☐ D. 1-2
- ☐ E. 都没有研究过 None of them.
12. 下列哪项描述最接近贵司目前的证券投资经验？
Which of the following descriptions best suits to your company's current experience in securities investment?
- ☐ A. 非常丰富，除股票、债券外，还参与过分级基金、期货、权证等高风险品种
We're very experienced. Apart from stocks and bonds, we've also engaged in investing in high-risk varieties such as graded funds, futures and warrants.
- ☐ B. 较丰富，参与过股票、债券、基金等品种的投资但未涉足衍生品
We're experienced. We've engaged in investing in stocks, bonds, funds and other varieties, except for derivatives.
- ☐ C. 一般，除银行活期账户和定期存款外，主要参与国债、债券型基金、银行理财产品等低风险品种
We're generally experienced. Apart from bank current account and time deposit, we've mainly engaged in investing in low-risk varieties such as government debt, bond funds and bank wealth management products.
- ☐ D. 有限，主要以银行活期账户和定期存款为主
We're barely experienced. We've mainly engaged in investing in bank current account and time deposit.
- ☐ E. 没有证券期货投资知识或金融投资经验
We've no knowledge about securities and futures investment, or experience in financial investment.
13. 贵司的投资研究团队人员的平均从业经验是多少年？
How many years of experience does your company's investment research team have?
- ☐ A. 10年以上 Over 10 years
- ☐ B. 5至10年 5-10 years
- ☐ C. 3至5年 3-5 years
- ☐ D. 1至3年 1-3 years
- ☐ E. 1年以下 Less than 1 year
- ☐ F. 未配备投资研究团队人员，不适用 Not applicable. We have no investment research team.

风险偏好 Risk Appetite

14. 下面哪一种描述最符合贵司对今后三个月投资表现的态度？
Which of the following descriptions best suits your company's attitude towards investment performance in the next three months?
- ☐ A. 无所谓，一个季度的收益表现没有任何意义
It doesn't matter. A quarter's earnings performance doesn't mean anything.
- ☐ B. 这个期间出现亏损不会让我们忧虑 The loss during this period won't make us worry about.
- ☐ C. 若亏损高于10%，我们会感到担心 If the loss is higher than 10%, we will be worried about.
- ☐ D. 若亏损高于5%，我们会感到担心 If the loss is higher than 5%, we will be worried about.

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- ☐ E. 我们只能容忍少量短期亏损 We can only tolerate a small amount of short-term loss.
- ☐ F. 不希望出现亏损 We do not expect any loss.
15. 如果贵司的一笔投资在6至9个月内市值下降了20%，而研究团队的研究表明该投资被低估，但不确定何时能回归应有价值，贵司会如何处理这笔投资？
If the market value of an investment made by the company drops by 20% within 6 to 9 months, and the research team thinks that the investment is undervalued, and the time for it to recover its due value is unclear, how will your company handle this investment?

☐ A. 购买更多的同类资产 We'll purchase more similar assets.

☐ B. 保留现有资产不动 We'll keep existing assets unchanged.

☐ C. 卖掉少量该类资产 We'll sell a small amount of these assets.

☐ D. 卖掉大部分该类资产 We'll sell most of these assets.

☐ E. 全部卖掉该类资产 We'll sell all these assets.

☐ F. 不考虑此类风险投资，此项不适用 Not applicable. We'll not invest in this kind of high-risk assets.

16. 考虑到资本市场的起伏，下列哪一种可能的投资组合回报是贵司最满意的？
Considering the fluctuation of capital market, which of these possible returns of portfolio is the most satisfactory to your company?

	第一年 First year	第二年 Second year	第三年 Third year	第四年 Fourth year	第五年 Fifth year	平均回报 Average returns
<input type="checkbox"/> A	14%	-21%	40%	-4%	31%	12%
<input type="checkbox"/> B	9%	-11%	26%	3%	18%	9%
<input type="checkbox"/> C	-6%	7%	21%	2%	8%	6%
<input type="checkbox"/> D	2%	5%	6%	0%	7%	4%
<input type="checkbox"/> E	3%	3%	3%	3%	3%	3%

诚信记录 Credit Record

17. 贵司是否存在不良诚信记录？ Is there any bad credit record of your company?
- ☐ A. 有 Yes
- ☐ B. 没有 No

本机构（投资者）已经了解并愿意遵守国家有关证券市场管理的法律、法规、规章及相关业务规则，本机构在此郑重承诺以上填写的内容真实、准确、完整。若本机构提供的信息发生任何重大变化，本机构将及时书面通知摩根基金。
We (Investors) have understood and would like to comply with laws, regulations and business rules in relation to China's securities market. We hereby guarantee the authenticity, accuracy, and completeness of the information provided above. We would get you notified in writing if there is any significant change to the information.

机构公章Company Stamp

填写日期Date: ____年Year ____月Month ____日Day

如需通过传真或电子邮件方式提交，请勾选以下内容表示确认 If you need to submit this assessment by fax or email, please tick the following item to confirm.:

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投资者风险承受能力评估分类说明 Evaluation of Investors’ Risk Tolerance

► C1-安益型 Very Conservative

对于安益型投资者，其投资组合配置在风险最小的领域，如货币市场基金或短债基金。此类投资者注重获得相对确定的投资回报，而不追求最大回报，且限制短期内的大幅波动。投资期限内，回报率的波动性较小。大多数情况下，相对风险较高的投资方法，这种方法的回报率最低，五年以上的投资尤其如此。

Very Conservative investors shall invest in those of lowest risk, such as money market funds or short-term bond funds. They stress on relatively definite return of investment, never strive for maximum return and refuses large fluctuation in short term. The rate of return thereof fluctuates slightly in investment horizon. In most cases, such investment method has relatively high risk, but the lowest rate of return, in particular to investment above five years.

► C2-保守型 Conservative

对于保守型投资者，其投资组合较大比例配置债券类资产或债券型基金，同时也有一部分比例配制于股票类资产或股票型基金以及配置型基金。此类投资者注重获得稳定的投资回报，而不追求最大回报，且限制短期内的大幅波动。投资期限内，虽然难以准确预测其回报率，但是也不会有大起大落的情况。大多数情况下，相对风险较高的投资方法，这种方法的回报率较低，五年以上的投资尤其如此。

Conservative investors shall invest in bond assets or bond funds in larger proportion and also stock assets or stock funds as well as allocation funds. They stress on stable return of investment, never strive for maximum return and refuses large fluctuation in short term. It is hard to accurately predict their rate of return in investment horizon, but there will be no big ups and downs. In most cases, such investment method has relatively high risk, but low rate of return, in particular to investment above five years

► C3-稳健型 Moderate.

对于稳健型投资者，其投资组合均衡配置股票类资产和债券类资产（或股票型基金和债券型基金）以及配置型基金。此类投资者注重获得稳健的投资回报。投资的市值在短期内可能会有些波动。投资期限内，其综合回报难以准确预测，但也不会过于出乎意外。大多数情况下，相对较为保守的投资方法，这种方法的回报率较高，五年以上的投资更是如此。

Moderate investors shall invest in stock assets or bond assets (or stock fund and bond fund) as well as allocation funds evenly. They stress on prudent return. Their investment market value may fluctuate in short term. Their comprehensive return on investment is hard for predict in investment horizon, but will not be unexpected. In most cases, it is relatively conservative with higher rate of return, in particular to investment above five years.

► C4-积极型 Moderately Aggressive

对于积极型投资者，其投资组合较大比例配置股票类资产或股票型基金，同时还有小部分比例配置于债券和现金。此类投资者注重获得丰厚的投资回报，但对大多数投机领域敬而远之。投资价值在短期内可能会有大幅波动。投资期限内，最终获得的投资回报较难预料。大多数情况下，较之其它相对保守的投资方法，这种投资方法的回报率较高，五年以上的投资尤其如此。

Moderately Aggressive investors shall invest in stock assets or stock funds in larger proportion and also bonds and cash in small proportion. They stress on amply return, but keep at a respectful distance from most speculative areas. Their investment value may fluctuate sharply in short term. Their final return on investment is hard for predict in investment horizon. In most cases, such investment method has higher rate on investment in comparing with other conservative methods, in particular to investment above five years.

► C5-激进型 Aggressive

对于激进型投资者，其投资组合将绝大部分比例投资于股票类资产或股票型基金，并且敢于涉足一些投机领域。为了追求最大回报，同时愿意承受资产价格的短期大幅波动风险，甚至相对长时间亏损的可能。因为其承受较大波动性，投资者最后获得的回报率较难预测。大多数情况下，其长期回报率高于其它较为保守的投资方法。

Aggressive investors shall invest in stock assets or stock funds in the vast majority and also in speculative producers. To achieve the maximum return, Aggressive investors are willing to take the risk of short-term large fluctuation for assets price and even relatively long losses. They undertake larger fluctuation, so their final rate of return is hard for predict. In most cases, the long-term rate of return is higher than that with other relatively conservative investment methods.

产品风险与投资者风险承受等级匹配表 Product Risk Matching Rules with Investor Risk Tolerance

	C5-激进型 Aggressive	C4-积极型 Moderately Aggressive	C3-稳健型 Moderate	C2-保守型 Conservative	C1-安益型 Very Conservative
高风险 High Risk (R5)	√	×	×	×	×
中高风险 Medium-high Risk (R4)	√	√	×	×	×
中风险 Medium risk (R3)	√	√	√	×	×
中低风险 Medium-low Risk (R2)	√	√	√	√	×
低风险 Low Risk (R1)	√	√	√	√	√

机构名称 Institution Name:	
证件类型 Certificate Type:	证件号码 Certificate Number:
Investor Type and Risk Matching Result 投资者类型及风险匹配告知书	<p>尊敬的投资者 Dear investor:</p> <p>根据贵司填写的相关信息，依据相关法律、法规的规定及本公司的投资者风险承受能力评估体系， Based on the information that your company provided, relevant laws and regulations as well as our evaluation system of investors' risk tolerance level,</p> <p>本公司将贵司认定为：普通投资者 Your company is considered as: Ordinary Investor 贵司的风险承受能力评估结果为 The result of your risk tolerance assessment is:</p> <p><input type="checkbox"/> C1 – 安益型 Very Conservative <input type="checkbox"/> C2 – 保守型 Conservative <input type="checkbox"/> C3 – 稳健型 Moderate <input type="checkbox"/> C4 – 积极型 Moderately Aggressive <input type="checkbox"/> C5 – 激进型 Aggressive</p> <p>依据本公司的投资者风险承受能力与产品、服务风险等级匹配规则，贵司的风险承受能力等级与本公司以下风险等级产品、服务相匹配。 Based on our product/service risk matching rules with investors risk tolerance level, your company is suitable to invest in our products and services with following risk rating:</p> <p><input type="checkbox"/> R1 – 低风险 Low risk <input type="checkbox"/> R2 – 中低风险 Medium-low risk <input type="checkbox"/> R3 – 中风险 Medium risk <input type="checkbox"/> R4 – 中高风险 Medium-high risk <input type="checkbox"/> R5 – 高风险 High risk</p> <p>本公司在此郑重提醒，本公司向贵司销售的产品或提供的服务将以贵司的风险承受能力等级和投资品种、期限为基础，若贵司提供的信息发生任何重大变化，贵司应当及时以书面方式通知本公司。本公司建议贵司审慎评判自身风险承受能力、结合自身投资行为，认真填写投资品种、期限，并做出审慎的投资判断。风险承受能力是根据问卷中所有问题得分及权重计算得出，不依赖于某一个问题的答案得出最终结果。 We hereby solemnly remind you that products or services we sell or provide to you are based on your risk tolerance level and the term & scope of your investment. If there is any significant change to your information provided to us, you should notify us in writing in a timely manner. We suggest investors examine the investment term & scope thoroughly, and make prudent investment decisions based on your risk appetite. Risk tolerance is calculated based on the scores and weights of all questions in the questionnaire rather than relying on the answer of a certain question to reach the final result.</p> <p>如同意本公司评估结果，请在投资者确认函中签字，以示同意。 Please sign the Confirmation Letter below if you agree with the above assessment result.</p> <p>摩根基金管理（中国）有限公司 JPMorgan Asset Management (China) Company Limited</p>
Confirmation Letter by Investors 投资者确认函	<p>摩根基金管理（中国）有限公司： JPMorgan Asset Management (China) Company Limited:</p> <p>本机构已仔细阅读摩根基金的《投资者类型及风险匹配告知书》，已充分知晓并理解摩根基金对本机构的风险承受能力评估及产品、服务风险等级匹配结果。本机构对该《投资者类型及风险匹配告知书》内容没有异议，愿意遵守法律、法规及摩根基金有关规定，通过摩根基金购买产品或者服务。 We have carefully read and acknowledge above information of our Investor Type and Risk Matching Rules, and we have been fully aware of and understood the result of your assessment on our risk tolerance level and the outcome of risk match with your products and services. We have no disagreement on the all above and are willing to comply with laws, regulations and relevant rules of JPMAM China when we purchase products or services through JPMAM China.</p> <p>本机构承诺，将及时以书面方式如实地向摩根基金告知本机构的重大信息变更。 We promise hereby that we will notify you in writing if there is any significant change to our information that has been provided to your company.</p> <p>本确认函系本机构独立、自主、真实的意思表示。 This Confirmation Letter is the independent and authentic expression made by our company.</p> <p>特此确认。 Hereby confirm.</p> <p>机构公章 Company Chop:</p> <p>日期Date _____年Year _____月Month _____日Day</p>
销售机构填写 Filled by Sales Agency:	
留痕方式：○录像 ○录音（对方电话 _____）双录日期 _____ 时间 _____	

摩根基金管理（中国）有限公司传真及电子邮件业务条款
（机构投资者风险等级评估）

- 第一条：**本条款适用的业务范围仅包括普通机构投资者在摩根基金管理（中国）有限公司（以下简称“本公司”）进行机构投资者风险等级评估，且本公司通过指定的传真号码或指定的电子邮件地址以传真或电子邮件的形式受理相关业务的情况。
- 第二条：**投资人需传真或电子邮件的业务文件包括：《投资者风险测评问卷（机构版）》及《普通投资者风险匹配告知书及投资者确认函》（填写完整准确，并不得涂改）（前述业务文件以下合称“《投资者风险等级评估文件》”）。
- 第三条：**投资人如通过传真方式办理业务时，须将《投资者风险等级评估文件》传真至本公司所指定的传真设备（021-68887990）；投资人如通过电子邮件方式办理业务时，须将《投资者风险等级评估文件》的扫描件发送至本公司所指定的邮箱。机构投资人应使用其公司后缀的邮箱地址或经其公司授权的其他邮箱地址发送相关邮件。本公司收到投资人符合本条款规定的传真或邮件则有权认为该传真或邮件是投资人真实意愿的表示，均视为投资人本人亲自办理该业务。
- 第四条：**投资人确认包含本条款规定内容的传真件或邮件附件与其原件有同等效力，本公司可以充分信赖该传真件或邮件附件而受理传真或电子邮件业务申请。如果该传真件或邮件附件上一个或多个签名（或盖章）是伪造或未经授权的，或任何表述是伪造的或未经授权的，只要本公司诚信行事并相信传真件或邮件附件的表述和签名（或盖章）是真实的或经授权的，则投资人应当承认该传真或电子邮件业务申请对自身的约束力，承受由此造成的损失且补偿本公司由此受到的损失。投资人应在10日内将传真及电子邮件业务申请的相关表单及资料原件寄送至我司指定地址。
- 第五条：**如传真件或邮件附件模糊、字迹不清的，投资人应按本公司要求重新传真或重新发送电子邮件，否则本公司有权不受理该次业务。
- 第六条：**投资人应在规定的业务办理时间内通过传真或电子邮件递交《投资者风险等级评估文件》，《投资者风险等级评估文件》的收到时间以传真或电子邮件到达指定的传真设备或指定的邮箱为准。
- 第七条：**投资人应在通过传真或电子邮件递交《投资者风险等级评估文件》后的二十分钟内与本公司进行确认。在上述时间里没有完成确认的，或确认的内容与传真或电子邮件所附的资料有任何不一致或不完整的，本公司有权不受理该次传真或电子邮件业务。
- 第八条：**投资人应向本公司书面指定其联系电话及经办人，本公司可能为确认传真或电子邮件的真实性与投资人或其指定的经办人电话联系。如无法通过电话确认传真或电子邮件的真实性，本公司有权不受理该次传真或电子邮件业务。但该电话确认并不构成本公司的义务，也不应削弱投资人根据本条款对传真件或邮件附件的效力的保证义务。
- 第九条：**本公司可能对电话确认内容进行录音，录音内容作为日后核查的依据，并且投资人特此同意本公司对电话语音的录制，认可该电话记录是双方交易真实有效的证据，在任何司法程序中不对该电话记录（除伪造、剪辑、拼接、模糊难于辨认等存有疑点的电话记录外）提出任何形式的质疑。
- 第十条：**出现下列情形之一的，本公司对投资人可能产生的损失不承担责任：（1）本公司因传真设备或电子邮件设备遇不可抗力发生故障或其他不可抗力导致无法受理传真或电子邮件业务申请的；（2）由于电信网、网络供应商等原因，传真或电子邮件业务申请出现中断、停顿、延迟、数据错误等情况的；（3）印鉴被伪造，电子验印或人工验印对传真件或邮件附件无法识别的；（4）投资人对传真或电子邮件业务申请程序产生误解的；（5）投资人的传真设备或电子邮件设备与传真或电子邮件系统不相匹配，无法下达申请或申请失败；（6）投资人因操作不当造成申请失败或申请失误；（7）法律、法规限制传真或电子邮件业务申请进行的；（8）其他妨碍基金管理人真实、完整地受理传真或电子邮件业务申请的情形。投资人意识到前述风险可能会导致投资人发生损失，并且表明对上述损失不向本公司追索。

**Terms and Conditions for Fax and Email Business of JPMorgan Asset Management (China) Company Limited
(Institutional Investors Risk Tolerance Assessment) (the "T&C"),**

Article 1 The applicable business scope of the T&C only includes ordinary institutional investors who are conducting the institutional investor (the "investor" or "investors") risk tolerance assessment at JPMorgan Asset Management (China) Company Limited ("JPMAM China", "we", "us" or "our"), and JPMAM China accepts relevant business through the designated fax number or email address in the form of fax or email.

Article 2 The business documents that investors need to fax or email include: *Risk Tolerance Assessment (Institutional Investors)* and *Ordinary Investor Risk Matching Result and Confirmation* (the form needs to be filled completely and accurately, and couldn't be altered) (the aforementioned business documents are collectively referred as the "*Investors Risk Tolerance Assessment Documents*").

Article 3 Investors need to fax the *Investors Risk Tolerance Assessment Documents* to the designated fax number of JPMAM China, if investors submit the business application through fax mode; Investors need to send the scanned copy of the *Investors Risk Tolerance Assessment Documents* to the designated email address of JPMAM China, if investors submit the business application through email mode; Institutional investors should use the email address with their company domain, or the email address which is authorized by their company to send relevant email. Receipt of the fax or email business application documents duly completed and meeting requirements provided under the T&C is considered as a genuine expression of the investor's intentions, and the application should be regarded being submitted by investor in person.

Article 4 Investors acknowledge that the faxed copies or attachments to emails which meet the requirements under the T&C have the same effect as the originals. We may fully rely on the faxed copy or scanned copy through email in accepting the fax or email business application. If one or more signatures (or seals) on the faxed copy or scanned copy through email are falsified or unauthorized, or any statement is falsified or unauthorized, and as long as our company has applied appropriate procedures to identify the authenticity of the signatures provided and as a result believes that the statements and signatures (or/and seals) are authentic and authorized, investors acknowledge that this fax or email business application is binding upon itself and are liable for all losses arising there from and agree to compensate our company for any losses insured there from. Investors should send the original forms and materials related to fax or email business applications to our designated address within 10 days.

Article 5 If the faxed copy or email attachment is blurry and the writings are not recognizable, investors shall fax the copy or send the email again according to JPMAM China's request, otherwise, JPMAM China has the right not to accept the business application.

Article 6 Investors shall fax the *Investors Risk Tolerance Assessment Documents* or send *Investors Risk Tolerance Assessment Documents* through email during the specified business hours. The receipt time of the application is based on the time that the fax or email reaching the designated fax machine or email box.

Article 7 Investors shall confirm with our company within 20 minutes after submitting the *Investors Risk Tolerance Assessment Documents* through fax or email. If the confirmation is not completed within the above timeframe or the confirmed detail is inconsistent or incomplete compared with the faxed or email information, our company has the right not to accept this application.

Article 8 Investors shall designate their contact phone number and representative in writing to our company, our company may have to contact the investors or its designated representative by phone to confirm the authenticity of the fax or email. If the authenticity of the fax or email cannot be verified by phone, our company has the right not to accept the fax or email business application. However, the telephone confirmation does not constitute an obligation by our company, nor will it weaken the obligation of the Investor to guarantee the effectiveness of the faxed copies or email attachments.

Article 9 Our company may record the conversation of the telephone confirmation. The recording will form the basis for future verification. The Investors hereby agree to our company's telephone voice recording, acknowledges the telephone recording is an authentic and effective proof of the trading between the two parties, and agrees not to raise any challenge in any form for the telephone recording (Excepting the telephone records that are difficult to identify due to forgery, editing, splicing, blurring, etc.) in any future legal proceedings.

Article 10 In the event of any of the following, our company is not responsible for any possible losses sustained by the Investor: (1) Our company is unable to accept fax or email business applications due to fax or email equipment failure or other force majeure factors. (2) Because of telecommunication network problems, the fax or email business application is interrupted, stopped, delayed or erroneous. (3) Electronic or manual seal/signature authentication of the faxed copies or email attachments cannot be done due to falsified seal/signature. (4) Investors have a misunderstanding about the fax or email business application procedure. (5) The fax or email equipment of the Investor is not compatible with the fax or email system causing non-delivery of application or application failure. (6) Failed or missed application due to improper operation of the Investor. (7) Fax or email business application is restricted under the laws or regulations of the country. (8) Other situations that jeopardize the fund manager's ability to truthfully and completely accept the fax or email business application.

The Investor understands that the above risks may cause losses to the Investor and hereby declares not to claim such losses from our company.