

Trade Limit	
Commission	
A.E Rebate	

昌利證券有限公司
Cheong Lee Securities Limited
為香港期貨交易所有限公司之參與者
Exchange Participant of Hong Kong Futures Exchange Limited

及
And

已獲證券及期貨事務監察委員會發出持牌法團的牌照
Licensed Corporation licensed by the Securities and Futures Commission
CE No:AMI414

期貨開戶文件
(個人 / 聯名)
FUTURES ACCOUNT OPENING DOCUMENTS
(INDIVIDUAL / JOINT)

Client No.: _____

Client Name: _____

昌利證券有限公司
CHEONG LEE SECURITIES LTD

客戶號碼 ACCOUNT NO.: _____

開戶日期 DATE OPENED: _____

期貨開戶申請表格 - 個人 / 聯名 戶口

FUTURES ACCOUNT OPENING APPLICATION FORM - INDIVIDUAL / JOIN ACCOUNT

保證金戶口 Margin Account

電子交易 eTrade

個人資料 Personal Information

Mr. 先生 / Miss 女士 / Mrs. 太太

客戶姓名:

Client Name (English): _____

(中文): _____

*香港身份証號碼 / 護照號碼:

國籍: _____

*HK ID Card No. / Passport No.: _____

Nationality: _____

出生日期:

Date of Birth : _____ yy _____ mm _____ dd

性別: _____

住宅地址: _____

Home Address: _____

物業 Property: 自置 Owned / Mortgaged 親屬物業 Relative Owned 公司宿舍 Company Quarters

租賃 Rented *每月租金 / 按揭還款 Monthly Rent/ Mortgage Payment: _____

家居電話 Home Phone No.: _____ 手提電話 Mobile: _____

圖文傳真 Fax No.: _____ 電郵 E-Mail Address: _____

教育程度 Education: 小學 Primary 中學 Secondary 大專 College 大學 Graduate

工作資料 Employment Information

僱主名稱 Name of Employer: _____

職業 Occupation: _____ 職位 Position Held: _____ 任職年期 Year(s) of Service: _____

工作處地址 Business Address: _____

工作電話 Business Phone No.: _____ 圖文傳真 Fax No.: _____

銀行參考資料 Bank Reference

銀行名稱 Bank Name: _____ 帳戶號碼 Account No.: _____

CORRESPONDENCE 通訊方式

郵寄 By Mail 電郵 By Email

* 郵寄地址 Send Mail To: 家居地址 Home Address 工作處地址 Business Address

* eTrade Account Clients can receive via email only

* 電子交易客戶只可透過電郵接收

財政資料 Finance Information

估計淨資產值 Estimated Net Worth:

- HK\$500,000 以下 Below HK\$3,000,000 — HK\$7,000,000
 HK\$500,000 — HK\$3,000,000 HK7,000,000 以上 Over

每年收入 Annual Income:

- HK\$250,000 以下 Below HK\$500,000 — HK\$ 1,000,000
 HK\$250,000 — HK\$500,000 HK \$1,000,000 以上 Over

投資目標 Investment Objective For This Account

投資策略 Investment Strategy:

- 短線投資 Short Term Investment (少於 3 個月 Less than 3 months)
 中線投資 Medium Term Investment (3 個月至一年 3 months to 1 year)
 長線投資 Long Term Investment (超過 1 年 Over 1 year)

平均投資回報目標 Average Target Profit: _____ %

準備投資期貨之金額 Cash Available For Futures Trading _____

投資經驗 Investment Experience

投資知識 Investment Knowledge:

- 沒有 None 有限 Limited 有認識 Knowledgeable
 良好 Good 有經驗 Experienced

*投資年資證券 / 認股證 / 債卷 / 購股權 / 期貨 / 外幣 / 黃金 / 其他:

Number of years in investment Securities/Warrants/ Bonds/Options/Future/Forex/Bullion/Other(s): _____ 年 Year(s)

昌利證券有限公司並不提供投資意見或作投資推介,亦不會核對客戶之買賣是否合乎其個人投資目標。

Cheong Lee Securities Limited does not offer advice or make specific investment recommendations, or verify if investment made corresponding to your stated objectives

其他資料 Other Information

閣下是否本港上市公司之董事或高級行政人員?

Are you a senior officer or director of a company whose shares are listed on The Stock Exchange of Hong Kong Limited ?

是 Yes / 否 No

如是, 公司名稱:

If yes, Name of company: _____

職位:

Position Held: _____

閣下是否與昌利證券有限公司或其附屬公司的僱員有任何關連?

Do you have any relationship with any of the employees of Cheong Lee Securities Limited or any of the group companies?

是 Yes / 否 No

如是, 僱員名稱:

If yes, Name of Employee: _____

與僱員之關係:

Relationship with Employee: _____

閣下或與閣下有相關之人士是否在昌利證券有限公司擁有戶口?

Do you or other persons connected to you have any other accounts with Cheong Lee Securities Limited?

是 Yes / 否 No

如是 戶主姓名:

戶口號碼:

If yes, Name of Account: _____

Account No.: _____

閣下是否其他證券公司之僱員及/或僱主或任何根據證券及期貨條例所註冊之人士?

Are you an employee and / or owner of a brokerage firm or registered /licenced person under the Securities and Future Ordinance?

是 Yes / 否 No

如是, 是否已取得僱主授權

If yes, has an authorization letter been obtained from your employer?

是 Yes / 否 No

最終受益人身份:

Identity of the ultimate beneficiary (ies):

最終獲得帳戶買賣所得商業或經濟利益及/承受有關風險的人士或實體, 請填寫:-

Name of Person(s) or entity who stand(s) to gain the commercial or economic benefit and/or to bear the Commercial or economic risk of transactions in the Account:-

姓名/名稱 Name	*身份證/護照/公司註冊證書/ 商業登記證號碼 *I.D. Card No./ Passport No./Certificate of Incorporation No./ Business Registration No.	職業 Occupation	地址 Address	電話號碼 Tel. No.

SUPPLEMENTAL AGREEMENT FOR INTERNET TRADING

網上期貨交易補充協議書

To: **CHEONG LEE SECURITIES LIMITED**

致: **昌利證券有限公司**

香港灣仔告士打道56號東亞銀行港灣中心16樓16B室

Rm 16B, 16/F, Bank of East Asia Harbour View Centre, 56 Gloucester Road, Wanchai, Hong Kong

Dear Sirs,

敬啟者：

I/We hereby authorize and request you to open and maintain an internet futures contract trading account (“the Account”) in the name of me/us for the purchases, sales, holdings of and any other dealings in securities. The Account shall be maintained and all such purchases, sales, holdings of and any other dealings in futures contract shall be effected subject to and in accordance with the provisions of the Supplemental Agreement for Internet Trading (“Supplemental Agreement”) and the Terms and Conditions of Futures Trading Agreement (“the Agreement(s)"). I/We confirm and acknowledge that the Supplemental Agreement forms an integral part of the Agreement(s).

本人(等)授權要求 貴公司為本人(等)以本人(等)名義開立並操作一個互聯網期貨交易帳戶(下稱“帳戶”)，以執行本人(等)不時購入、賣出、保管或處理各類期貨。有關帳戶之運作須受本互聯網期貨交易補充協議書(“補充協議書”)及期貨交易之條款及守則(“條款及守則”)規限，本人(等)確認補充協議書為條款及守則組成之一部份。

I/We hereby agree to effect Transactions as hereinafter defined subject to the following terms and conditions of this Supplemental Agreement:-

本人(等)茲同意根據下列條件進行互聯網期貨交易:-

1. The Account

帳戶

I/We warrant that the information set out in the Account Opening Information is true and correct and that you are entitled to rely fully on such information to act on my/our behalf unless and until you receive notice of any change from me/us in accordance with the provisions of the Agreement(s). I/We undertake to advise you promptly of any material change to such information.

本人(等)保證客戶開戶資料內所載資料均屬真實及正確，貴公司在未收到本人(等)據現金及/或保證金客戶協議書規定發出的資料變更通知前，貴公司有權依據該等資料行事，若該等資料有變更，本人(等)即儘快通知 貴公司。

2. Internet Futures contract Trading Service

互聯網期貨交易

2.1 I/We shall use the internet futures contract trading service only in accordance with Supplemental Agreement and the Agreement(s). 客戶只限於根據補充協議書及客戶協議書之有關條款使用互聯網期貨交易服務。

2.2 I/We shall be the only authorized user of the internet futures contract trading service under the Account.

本人(等)是賬戶唯一有權使用互聯網期貨交易服務的人。

2.3 I/We acknowledge that the internet futures contract trading service is proprietary to you. I /We warrant and undertake that I/we shall not, and shall not attempt to, tamper with, modify, decompile, reverse engineer or otherwise alter in any way, and shall not attempt to gain unauthorized access to, any part of the internet futures contract trading service. I/We undertake to notify you immediately if I/We become aware that any of the actions described above in this paragraph is being perpetrated by any other person.

本人(等)承認此互聯網期貨交易服務為 貴公司所專有。本人(等)保證及承諾本人(等)不會和不試圖損壞、修改、逆彙編、或以其他方式改變互期貨券交易服務的任何組成部份，也不試圖非法進入互聯網期貨交易服務的任何組成部份。本人(等)保證在本人(等)知道有人作出上述行動時馬上通知 貴公司。

- 2.4 I/We shall be responsible for the confidentiality and use of my/our customer ID and Password.
本人(等)有責任將本人(等)之登入號碼密及賬戶號碼保密，並對所作用等負責。
- 2.5 I/We agree immediately to notify you if I/we become aware of:-
本人(等)同意在獲悉以下事件後，隨即知會 貴公司:-
- any loss or theft of my /our customer ID and Password ; or
本人(等)之帳戶號碼及密碼遭遺失或盜用；或
 - any unauthorized use of any of my/our customer ID and Password, or of the internet futures contract trading service or any information; or
本人(等)之任何登入帳戶號碼及密碼，或互聯網期貨交易服務或任何資料被非法使用；或
 - any failure by me/us to receive a message that an order initiated by me/us through the internet futures contract trading service has been received and or executed through the internet futures contract trading service.
本人(等)未能獲取訊息，顯示經已接獲及/或執行本人(等)透過互聯網期貨交易服務發出指令之訊息。
- 2.6 I/We shall be solely responsible for all instruction entered through the internet using my/our customer ID and Password.
本人(等)須自行負責使用本人(等)之帳戶號碼及密碼的保密及使用。
- 2.7 I/We understand that you will not be liable to me/us if I/we am/are unable to access my /our account information or request a transaction through the internet service.
本人(等)明白 貴公司不會對本人(等)不能存取本人(等)之賬戶資料及透過互聯網期貨交易服務要求負責。
- 2.8 I/We shall not use or permit the use of any confidential Information or any part thereof for any illegal purpose.
客戶不得使用或容許使用資訊或其任何部分作任何非法用途。
- 2.9 I/We shall not disseminate any confidential information to third parties, and shall be solely use such information or any part thereof for my/our own use or in the ordinary course of my/our own business.
本人(等)不得向第三方散播資訊，同時只容許本人(等)作本身的用途或在本身業務的正常過程中使用。
- 2.10 Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. My/our ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary, I/we should ask the firm with which I/we deal for details in this respect.
電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而你就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及/或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，本人(等)應向為本人(等)進行交易的商號查詢這方面的詳情。

3. Laws and rules 法例及規則

If I/we place any orders to you outside Hong Kong, I/we agree to ensure and represent that such orders will have been given in compliance with any and all applicable law of the relevant jurisdiction from which my/our orders are given. I /We further agree that I/we shall, when in doubt, consult legal advisers and other professional advisers of the relevant jurisdiction. I/We accept that there may be taxes or charges payable to relevant authorities in respect of any instructions and that you shall not be liable for any of such cost.

倘本人(等)向 貴公司發出任何指令的地點為香港以外的地方，本人(等)同意確保及表明該等指令之發出將遵從於本人(等)發出指令的有關司法管轄區的任何及一切適用法律，而本人(等)更同意本人(等)遇有疑問時，應於有關司法管轄區諮詢或取得法律及專業意見。本人(等)同意支付就有關任何指示可能須繳付之稅項或收費， 貴公司並不須就該等費用負上任何責任。

- 本人不要求開立互聯網證券交易帳戶。I **do not request** to open an internet securities trading account.
- 本人要求開立互聯網證券交易帳戶。I **request** to open an internet securities trading account.

只供內部使用 For Internal Use Only:	
Account Name:	Account No:
授權簽名式樣 SPECIMEN AUTHORISED SIGNATURES	
姓名: NAME: 香港身份證號碼 / 護照號碼: H.K. ID.CARD NO. / PASSPORT NO.:	簽名式樣 SPECIMEN SIGNATURE:
姓名: NAME: 香港身份證號碼 / 護照號碼: H.K. ID.CARD NO. / PASSPORT NO.:	簽名式樣 SPECIMEN SIGNATURE:
姓名: NAME: 香港身份證號碼 / 護照號碼: H.K. ID.CARD NO. / PASSPORT NO.:	簽名式樣 SPECIMEN SIGNATURE:
姓名: NAME: 香港身份證號碼 / 護照號碼: H.K. ID.CARD NO. / PASSPORT NO.:	簽名式樣 SPECIMEN SIGNATURE:
姓名: NAME: 香港身份證號碼 / 護照號碼: H.K. ID.CARD NO. / PASSPORT NO.:	簽名式樣 SPECIMEN SIGNATURE:
簽名式樣安排 SIGNING ARRANGEMENT	
<input type="checkbox"/> 只限上面簽名式樣 As signed above <input type="checkbox"/> 根據以上其中兩式 / 任何一式簽名式樣指示下運作 The account can be operated on the instruction of any two signatures signed jointly / any one signing singly. <input type="checkbox"/> 其他，請註明: Others, please specify:	

日期:
Date: _____

簽署::
Signed by: _____

個人/聯名客戶 INDIVIDUAL / JOIN ACCOUNT

客戶簽署:)
SIGNED by the client:)
 (SEALED AND DELIVERED))
)
)
 _____)
 (客戶姓名) (身份証/護照號碼))
 (Name of Client) (I.D.Card/passport No))
)
)
 _____)
 (客戶姓名) (身份証/護照號碼))
 (Name of Client) (I.D.Card/passport No))
)
 見證於:-)
 in the presence of:-)

 見證人 Witness Signature

見證人姓名:
 Witness Name: _____

見證人職業:
 Witness Occupation: _____

見證人地址:
 Witness Address: _____

昌利證券有限公司接受及確認
ACCEPTED AND CONFIRMED BY CHEONG LEE SECURITIES LIMITED

簽署由)
SIGNED by)
 獲授權董事)
 its authorized director(s))
 代表昌利證券有限公司)
 For and on behalf of)
Cheong Lee Securities Limited)
 見證於:-)
 In the presence of:-)

 見證人 Witness Signature

客戶聲明
DECLARATION BY CLIENT

*本人/吾等僅此聲明此開戶申請表上填報的資料均屬真實，完全及正確的。本人/吾等亦重申昌利證券有限公司或其代理人，已獲本人/吾等授權，可隨時聯絡本人/吾等之銀行、經紀及任何信貸諮詢機構，以作評核本人/吾等信貸之用。

*本人/吾等聲明及承認本人/吾等已經閱讀及完全明白交易所有關期貨期權交易之免責聲明。

*本人/吾等聲明及承認 (1) 本人/吾等已閱讀本協議書之英文/中文版本及有關之風險披露聲明；(2) 有關方面已按照本人/吾等選擇的語言(英文或中文) 向本人/吾等提供本協議書之條款，條件及相關之風險聲明；(3) 本人/吾等承認已收到一份風險披露聲明之副本及已獲邀閱讀該風險披露聲明，提出問題，徵求獨立意見(如本人/吾等有此意願)；(4) 本人/吾等完全明白所有此等條款及條件，並同意受其約束；及 (5) 本人/吾等已在下數日起在此協議書上簽署及蓋上印章。

*I / We hereby confirm and represent that the information set out in this client information form is true, complete and correct. *I / We further confirm that Cheong Lee Securities Limited or any of its agents is hereby authorized at any time to contact anyone, including * My / Our bankers or brokers or any credit agency, to obtain credit information in assessing * My / Our credit worthiness.

*I / We declare and acknowledge that I / We have read and understood thoroughly the Disclaimers delivered by the Exchange regarding trading of Futures and Options.

*I / We declare and acknowledge that (1) *I / We have read the English / Chinese version of this agreement and relevant risk disclosure statement and (2) The terms and conditions of this agreement and those relevant risk disclosure statement was provided to Me / Us in a language of * My / Our choice (English or Chinese) and (3) *I / We acknowledged that receipt of a copy of the terms and conditions, including risk disclosure statement and circular relating to personal data (privacy) ordinance and was / were invited to read the risk disclosure statement, to ask questions and take independent advice if *I / We wish and (4) *I / We fully understand all of such terms and conditions and agree to bound by term and (5) *I / We have signed and sealed this agreement on the date shown below.

客戶姓名(請用正楷字體填寫)

Name of client (in block letters):

簽署:

Signed by:

日期 Date: _____

持牌代表聲明
DECLARATION BY LICENSED REPRESENTATIVE

本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言(英文或中文) 提供風險披露聲明、亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

I a licensed or registered person, declare that I have provided the above client with a Copy of the Risk Disclosure Statement in a language of the client's choice (English or Chinese) and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the clients wishes.

註冊人姓名(請用正楷字體填寫)

Name of licensed or registered person
(in block letters):

簽署:

Signed by:

日期 Date: _____

CE Number: _____