

Trade Limit	
Commission Rate	
A.E Rebate	

**昌利證券有限公司**  
**Cheong Lee Securities Limited**  
為香港聯合交易所有限公司之參與者  
Exchange Participant of the Stock Exchange of Hong Kong 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 Future Commission  
CE No:AMI414

**證券開戶文件**  
(個人 / 聯名)  
**SECURITIES ACCOUNT OPENING DOCUMENTS**  
(INDIVIDUAL / JOINT)

**Client No.:** \_\_\_\_\_

**Client Name:** \_\_\_\_\_

香港灣仔告士打道 56 號東亞銀行港灣中心 16 樓 16B 室  
Room 16B, 16/F, Bank of East Asia Harbour View Centre, 56 Gloucester Road, Wanchai, Hong Kong  
Tel : 3426 2664 Fax : 3426 2674

昌利證券有限公司  
CHEONG LEE SECURITIES LTD

客戶號碼 ACCOUNT NO.: \_\_\_\_\_

開戶日期 DATE OPENED: \_\_\_\_\_

開戶申請表格 - 個人 / 聯名 戶口

ACCOUNT OPENING APPLICATION FORM - INDIVIDUAL / JOIN ACCOUNT

現金戶口 Cash 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): \_\_\_\_\_

\*香港身份證號碼 / 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: \_\_\_\_\_ %

準備投資證券之金額 Cash Available For Securities 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.

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.

<b>只供內部使用 For Internal Use Only:</b>	
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**

只限上面簽名式樣 As signed above  
 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.  
 其他，請註明:  
 Others, please specify:

**本人要求開立保證金交易戶口，並申請保證金融資。**  
**I request to open a margin Trading Account and apply for margin financing.**

日期:  
Date: \_\_\_\_\_

簽署::  
Signed by: \_\_\_\_\_



**客戶聲明**  
**DECLARATION BY CLIENT**

\*本人/吾等僅此聲明此開戶申請表示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 (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本協議書,包括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/吾等已在下數日起再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 (1) \*I / We have read the English / Chinese version of the accompanied terms and conditions of agreement and relevant risk disclosure statement and (2) The terms and conditions of 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 of Agreement, 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 the 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: \_\_\_\_\_

只供內部使用

For Internal Use Only :

Account Introduced by : \_\_\_\_\_ Name of Account Executive : \_\_\_\_\_

Account Opened by : \_\_\_\_\_ Account Verified by : \_\_\_\_\_

How Long Known to Account Executive : \_\_\_\_\_ Bank and Credit references Obtained : Yes / No

Commission Rate : \_\_\_\_\_ Rebate : \_\_\_\_\_ Min. : \_\_\_\_\_

Ordering / Credit Limit / Margin Limit : \_\_\_\_\_

Account Approved by : \_\_\_\_\_ Date : \_\_\_\_\_

Remarks : \_\_\_\_\_

## Document Check List

**A/C Name :** \_\_\_\_\_

**A/C No.** \_\_\_\_\_

Date : \_\_\_\_\_

1.  開戶文件  
Account Opening Documents
2.  個人之身份證或護照副本  
Copy of ID card/passport
3.  郵寄地址證明 (最近三個月內)  
Mailing address proof (within the past 3 months)
4.  已取得僱主書面同意 (如適用)  
Employer consent letter obtained (if applicable)
5.  衍生工具投資的認識: \_\_\_\_\_  
Derivatives investment knowledge: \_\_\_\_\_
6.  非面對面開戶程序 (如適用)  
由客戶本人發出的不少於港幣一萬元銀行支票(抬頭支付"昌利證券有限公司", 本公司不接受第三者發出的支票)  
Non face to face account opening procedure (if applicable)  
The cheque in the amount of HK\$10,000 which is payable to "Cheong Lee Securities Limited" issued by the applicant. Cheque issued by third party (ies) will not be accepted.
7.  其他  
Other \_\_\_\_\_

**Submitted by :**

**Checked by :**

**Approved by :**

**Input by :**

\_\_\_\_\_  
**A.E  
Date**

\_\_\_\_\_  
**Settlement Dept  
Date**

\_\_\_\_\_  
**Responsible Officer  
Date**

\_\_\_\_\_  
**Settlement Dept  
Date**