

|                 |  |
|-----------------|--|
| 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

### 開戶文件

(法團)

## ACCOUNT OPENING DOCUMENTS

(CORPORATE)

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

客戶號碼 ACCOUNT NO.: \_\_\_\_\_

CHEONG LEE SECURITIES LTD

開戶日期 DATE OPENED: \_\_\_\_\_

開戶申請表格 - 法團戶口

ACCOUNT OPENING APPLICATION FORM – CORPORATE ACCOUNT

現金戶口 Cash Account

保證金戶口 Margin Account

電子交易 eTrade

公司資料 Company Information

公司名稱:

Account Name: (English): \_\_\_\_\_

(中文): \_\_\_\_\_

營業地址

Business Address: \_\_\_\_\_

公司註冊證號碼/商業登記證號碼:

Certificate of Incorporation No./ Business Registration No.: \_\_\_\_\_

註冊地方:

Place of Incorporation: \_\_\_\_\_

資產淨值:

Net Asset Value: \_\_\_\_\_

營業電話:

Business Phone No: \_\_\_\_\_

電子郵箱:

E-mail Address: \_\_\_\_\_

業務性質:

Nature of Business: \_\_\_\_\_

註冊日期:

Date of Incorporation: \_\_\_\_\_

發行股本:

Paid-Up Capital: \_\_\_\_\_

圖文傳真

Fax No.: \_\_\_\_\_

董事名稱  
Name of Director

\*香港身分證號碼/護照號碼  
\*HK.I.D No./ Passport No.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

主要聯系人姓名  
Name of Principal Contact Person

電話號碼  
Tel No.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**\*擁有戶口 5%或以上人士**  
**\*Particulars of Substantial Shareholders/  
Holding more than 5% interest**

**所持權益(%)**  
**Interest Held (%)**

|       |       |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

**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\$500,000 — HK\$3,000,000  HK\$3,000,000 — HK\$7,000,000  HK7,000,000 以上 Over

每年收入 Annual Income:

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

收入/資產來源 Source of Incomes / Asset : \_\_\_\_\_

**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**

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

**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**

貴公司之股東或董事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？

Does any of your a shareholder or directors 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:

與僱員之關係:

If yes, Name of Employee: \_\_\_\_\_

Relationship with Employee: \_\_\_\_\_

貴公司或與貴公司有相關之人士是否在昌利證券有限公司擁有戶？

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.: \_\_\_\_\_

是否有昌利證券有限公司或其附屬公司的僱員持有貴公司之權益？

Does any of the employees of Cheong Lee Securities Limited or any One of Cheong Lee Group companies have a beneficial interest in your company?

是 Yes /  否 No

如 是, 僱員名稱:

與僱員之關係:

If yes, Name of Employee: \_\_\_\_\_

Relationship with Employee: \_\_\_\_\_

閣下是否就戶口之交易, 最終負責發出指令的人？

Are you the person(s) ultimately responsible for giving the instructions in relation to transactions to be conducted through the account?

是 Yes /  否 No

如 否, 就本戶口之交易, 吾等提供最終負責發出指令的人的資料如下:

If Not, We confirm details of the person(s) ultimately responsible for giving the instructions as follows:

名稱:

Name: \_\_\_\_\_

地址:

Address: \_\_\_\_\_

職業:

聯絡電話:

Occupation: \_\_\_\_\_

Contact No.: \_\_\_\_\_

圖文傳真:

Fax No.: \_\_\_\_\_

閣下是否本戶口之最終權益擁有人?

Are you the ultimate beneficial owner(s) of the account?

是 Yes /  否 No

如是, 名稱:

If yes, Name: \_\_\_\_\_

地址

Address: \_\_\_\_\_

或吾等會按昌利證券有限公司之要求,儘快在兩天內直接向香港聯合交易所有限公司及/或香港證券及期貨事務監察委員會(統稱「香港監管機構」)提供戶口最終權益擁有人之名稱,地址,職業及聯絡資料。

or We confirm that we will provide the name, address, occupation and contact details of the ultimate beneficial owner(s) directly to The Stock Exchange of Hong Kong Limited and/or The Securities and Futures Commission (collectively the “Hong Kong regulators”) upon request of Cheong Lee Securities Limited promptly and within 2 days.

如否, 最終受益人身份:

If Not, 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<br>Name | *身份證/護照/公司註冊證書/<br>商業登記證號碼<br>*I.D. Card No./<br>Passport No./Certificate of<br>Incorporation No./<br>Business Registration No | 職業<br>Occupation | 地址<br>Address | 電話號碼<br>Tel. No. |
|---------------|--|------------------|---------------|------------------|
|               |  |                  |               |                  |
|               |  |                  |               |                  |
|               |  |                  |               |                  |

**口頭買賣指示 Verbal Instruction**

請提供有關委任公司授權代表的**董事會決議**驗證副本並列明:

Please provide a certified true copy of **BOARD RESOLUTION** regarding the appointment of the corporate's authorized representative(s) for:

1. 口頭買賣指示 Verbal Instruction

請提供有關委任公司授權代表的姓名及其簽名式樣和身份證或護照影印本(如適用, 附公司印章式樣)。

Please state the name of corporate's authorized representative(s) with specimen signature and copy of HKID/Passport (with company chop if applicable).

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:

**業務印章式樣 SPECIMEN OF BUSINESS CHOP/SEAL**

**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: \_\_\_\_\_

授權簽名:  
Authorized Signature: \_\_\_\_\_



法團戶口 CORPORATE ACCOUNT

授權簽名 / 公司印章:

**Authorized Signature/Business Chop**

(Sealed with the common seal of client)

(簽署, 印章即送交之人士為)

(SIGNED BY)

身份証/護照號碼

I.D.Card/passport No. \_\_\_\_\_

(簽署, 印章即送交之人士為)

(SIGNED BY)

身份証/護照號碼

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**

本公司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。本公司亦重申昌利證券有限公司或其代理人，已獲本公司授權，可隨時聯絡公司之銀行、經紀及任何信貸諮詢機構，以作評核公司信貸之用。

本公司聲明及承認 (1) 本公司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) 有關方面已按照本公司選擇的語言(英文或中文) 向本公司提供本協議書之條款，條件及相關之風險聲明；(3) 本公司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(如本公司有此意願)；(4) 本公司完全明白所有此等條款及條件，並同意受其約束；及 (5)本公司已在下數日起再此協議書上簽署及蓋上印章。

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

We declare and acknowledge that (1) 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 Us in a language of Our choice (English or Chinese) and (3) 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 We wish and (4) We fully understand all of such terms and conditions and agree to bound by term and (5) We have signed and sealed the Agreement on the date shown below.

簽署，印章即送交之人士為(身份証/護照號碼)

**SIGNED BY**

(I.D.Card/passport No)



授權簽名/公司印章

Authorized Signature / Business Chop

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: \_\_\_\_\_



只供内部使用

**For Internal Use Only :**

Account Introduced by : \_\_\_\_\_

Name of Account Executive : \_\_\_\_\_

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

How Long Known to Account Executive : \_\_\_\_\_

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

Bank and Credit references Obtained :            Yes / No

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

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

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

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