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:_____

香港灣仔告士打道 **38** 號美國萬通大廈 **11** 樓 **1106** 室

Room 1106,11/F., Mass Mutual Tower, 38 Gloucester Road, Wanchai, Hong Kong

Mar2009

昌利證券有限公司 客戶號碼 ACCOUNT NO.:_____

CHEONG LEE SECURITIES LTD 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

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 : 性別 :
Date of Birth : _____yy _____mm _____dd Gender : _____
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 For:_____年 Year(s)

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.:_____

文件送達方式 Mode of Delivery

☐ 郵寄 By Mail ☐ 電郵 By Email ☐ 郵寄及電郵 By Mail & By Email:

*電郵 E-Mail Address:_____

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

☐ 以下地址:

Address Below:_____

財政資料 Finance Information

估計境淨資產值 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)
☐ 其他 Others:_____

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 / 債券 / 購股權 / 期貨 / 外幣 / 黃金 /其他:

Number of years in investment Securities/Warrants/ Bonds/Options/Futures/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 Co., 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: 職 位:

If yes, Name of company:_____ 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: 與僱員之關係:

If yes, Name of Employee:_____ 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.:_____

戶口類別 Account Type:

☐ 現金 Cash

☐ 保證金 Margin

閣下是否其他香港期貨交易所參與者之僱員及/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 any participant of Hong Kong Futures Exchange Ltd or registered /licenced person under the Securities and Futures Ordinance?

☐ 是 Yes / ☐ 否 No

如 是, 是否已取得僱主受權

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.

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

☐ 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:

日期:
Date:_____

授權簽名:
Authorized Signature:_____

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: 見證人職業:
Witness Name:_____ 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 Co., 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:_____

~~只供內部使用 **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 :_____ _____

Ordering / Trade Limit: _____

Account Approved by:_____

Date:_____

Remarks:_____