

Trade Limit	
Commission Rate	
A/E No. / 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 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: _____

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 Margin Account

電子交易 eTrade

Client Information 客戶資料 Individual / Principal Account Holder 個人 / 第一帳戶持有人

Mr. 先生 / Miss 女士 / Mrs. 太太

客戶姓名:

Client Name (English): _____

(中文): _____

身份証號碼 / 護照號碼:

Identity Card No. / Passport No.: _____

國籍:

Nationality: _____

出生日期:

Date of Birth : _____ yyyy _____ mm _____ dd

性別:

Gender : _____

住宅地址:

Home Address: _____

單位/樓層/座數 Flat/Room/Block No. _____

大廈/屋苑/街道 Building / Estate / Name of Street _____

地區 District _____

國家 Country _____

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

受僱 Employed

自僱 Self-employed

退休 Retired

待業/學生 Unemployed/Student

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.: _____

Joint Account Holder 聯名帳戶持有人

Mr. 先生 / Miss 女士 / Mrs. 太太

客戶姓名:

Client Name (English): _____

(中文): _____

身份証號碼 / 護照號碼:

國籍:

Identity Card No. / Passport No.: _____

Nationality: _____

出生日期:

性別:

Date of Birth : _____ yyyy _____ mm _____ dd

Gender : _____

住宅地址:

Home Address:

單位/樓層/座數 Flat/Room/Block No.

大廈/屋苑/街道 Building / Estate / Name of Street

地區 District

國家 Country

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

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工作資料 Employment Information

Employed* 受僱

Self-employed* 自僱

Retired *退休

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.: _____

通訊方式(只可選其一) CORRESPONDENCE (Choose one only)

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

財務資料 Financial Summary

個人/第一帳戶持有人 Individual / Principal Account Holder

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 Salary 薪金 Business Profit 營業溢利 Investment Income 投資收入

Family Income 家庭收入 Personal Savings 個人儲蓄

Retirement Fund 退休基金 Rental Income 租金收入 Others 其他 _____

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)

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

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

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)

Joint Account Holder 聯名帳戶持有人

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

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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:

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.: _____

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,請說明持牌人或註冊人名稱

If yes, Name of Licensed / Registered Person _____

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:-

客戶是否此帳戶所有交易的最終受益及/或承擔風險人事?

If the client the person ultimately benefits from and/or bears the risks of any transactions under this account?

是 Yes

否。請提供相關資料及附上有關文件:- NO. Please provide below details with supporting documents:-

姓名 Name : _____

身份證/護照 I.D. Card No./Passport No. _____

電話號碼 Tel. No. _____

地址 Address _____

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 /Wewarrant 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。

4. Risk Disclosures Statement 風險披露聲明書

I/We hereby understand that:-
本人(等)明白：-

- (1) due to unpredictable traffic congestion of the Internet, an inherently unreliable medium of communication and that such unreliability is beyond your control, there is a risk that communication over the Internet may be interrupted, delayed or accessed by unauthorized parties. Notwithstanding measures taken by you to minimize this risk, you accept no responsibility for any loss which may be incurred by me/us as a result of interruptions or delays or unauthorized access. I/We should not place any instruction with you over the Internet if I/we are not prepared to accept such risk.

由於無法預計互聯網上的通訊量、故屬一個存在不可靠因素之通訊媒介，而該等不可靠因素亦非貴公司所能控制，互聯網上的通訊有可能中斷、延誤或被未經授權各方取得的風險。雖然貴公司採取措施將此一風險減至最低限度，對於本人(等)因上述中斷、延誤或未經授權取得的結果而使本人(等)招致任何損失，貴公司不承擔任何責任。倘若本人(等)不準備接受上述風險，本人(等)不應在互聯網上向貴公司作出任何指示。

- (2) trading on an electronic trading system may differ from trading on other electronic trading systems. If I/we undertake transactions on an electronic trading system, I/we will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that my/our order is either not executed according to my/our instructions or is not executed at all.

透過某個電子交易系統進行買賣，可能會與透過其他電子交易系統進行買賣有所不同。如果本人(等)透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關係統硬件或軟件可能會失靈的風險。系統失靈可能會導致本人(等)的交易指示不能根據指示執行，甚或完全不獲執行。

- (3) while you, the Hong Kong Futures Exchange Limited (the "HKFE"), HKFE Clearing Corporation Limited ("DCASS") and all related parties endeavour to ensure the accuracy and reliability of the information provided through the system, there is no guarantee that such information is accurate and reliable and that you, the HKFE, DCASS and related parties do not accept any liability (whether in tort or contract or otherwise) for any loss or damage arising from any inaccuracies or omissions.

貴公司、香港期貨交易所有限公司("期交所")、香港期貨結算有限公司("期貨結算")及所有有關人士致力確保該系統所提供資料之準確性及可靠性，惟資料之準確性及可靠性並無保證，且貴公司、期交所、期貨結算及所有有關人士概不須就任何因不準確或錯漏所產生之任何損失或損毀承擔任何責任(不論以文本或合約或其他形式)。

5 Law 法律

This Agreement is governed by and construed in accordance with the laws of Hong Kong Special Administrative Region and the parties hereby irrevocably submit themselves to the jurisdiction of the Hong Kong Special Administrative Region. 本協議書受香港特別行政區法律管轄及以其作解釋，而雙方不得撤銷接受香港特別行政區法院的司法管轄。

自我證明表格 – 個人

重要提示：

- 這是由帳戶持有人向昌利證券有限公司（「昌利證券」）提供的自我證明表格，以作自動交換財務帳戶資料用途。昌利證券可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。This is a self-certification form provided by an account holder Cheong Lee Securities Limited (“CheongLee”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by CheongLee to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知昌利證券。An account holder should report all changes in his/her tax residency status to CheongLee.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 /部標有星號（*）的項目為昌利證券須向稅務局申報的資料。All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by CheongLee to the Inland Revenue Department.

第 1 部 個人帳戶持有人的身分識辨資料

Part 1 Identification of Individual Account Holder

(對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格)

(For joint or multiple account holders, complete a separate form for each individual account holder.)

(1) 帳戶持有人的姓名 Name of Account Holder

稱謂(例如：先生、太太、女士、小姐)

Title (e.g. Mr, Mrs, Ms, Miss)

姓氏* Last Name or Surname *

名字* First or Given Name *

中間名 Middle Name(s)

(2) 身份證或護照號碼

Identity Card or Passport Number

(3) 現時住址 Current Residence Address

第 1 行(例如：室、樓層、大廈、街道、地區)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 2 行(城市)*

Line 2 (City) *

第 3 行(例如：省、州)

Line 3 (e.g. Province, State)

國家*

Country *

郵政編碼/郵遞區號碼

Post Code/ZIP Code

(4) 通訊地址(如通訊地址與現時住址不同，填寫此欄)

Mailing Address (Complete if different to the current residence address)

第 1 行(例如：室、樓層、大廈、街道、地區)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 2 行(城市)

Line 2 (City)

國家

Country

郵政編碼/郵遞區號碼

Post Code/ZIP Code

(5) 出生日期*(日/月/年)Date of Birth * (dd/mm/yyyy)

(6) 出生地點(可不填寫)Place of Birth (Not compulsory)

鎮/城市 Town/City

省/州 Province/State

國家 Country

稅務居民資料 Tax Residency

根據稅務條例有關交換財務帳戶資料的法律條文, 請提供你(及/或聯名帳戶第二持有人)的稅務編號。如沒有提供稅務編號, 必須填寫合適理由:

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由, 解釋帳戶持有人不能取得稅務編號的原因。

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason.

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

居留司法管轄區 Jurisdiction of Residence	身份證號碼或稅務編號 Id Card No. or TIN Code	如沒有提供稅務編號, 填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available	如選取理由 B, 解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			

聲明及簽署

本人知悉及同意, 昌利證券可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明, 就與本表格所有相關的帳戶, 本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格。

本人承諾, 如情況有所改變, 以致影響本表格第 1 部所述的個人的稅務居民身分, 或引致本表格所載的資料不正確, 本人會通知昌利證券, 並會在情況發生改變後 30 日內向昌利證券提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信, 本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Declarations and Signature

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by **CheongLee** for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by **CheongLee** to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

I undertake to advise **CheongLee** of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide **CheongLee** with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

警告: 根據《稅務條例》第 80(2E)條, 如任何人在作出自我證明時, 在明知一項陳述在要項上屬具誤導性、虛假或不正確, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下, 作出該項陳述, 即屬犯罪。一經定罪, 可處第 3 級 (即 \$10,000) 罰款。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

本人聲明就本人所知所信, 本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

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: _____

簽署:

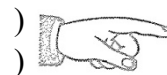
Signed by: _____



個人/聯名客戶 INDIVIDUAL / JOIN ACCOUNT

客戶簽署:

SIGNED by the client:
(SEALED AND DELIVERED)



客戶姓名

Name of Client _____)

身份証/護照號碼

I.D.Card/passport No. _____)

客戶姓名

Name of Client _____)

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: _____

只供内部使用

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 : _____

Ordering / Trade Limit : _____

Account Approved by : _____ Date : _____

Remarks : _____