

Trade Limit	
Commission Rate	
A/E No. / 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

ACCOUNT OPENING APPLICATION FORM

個人

INDIVIDUAL

聯名戶口

JOIN ACCOUNT

現金戶口 Cash Account

保證金戶口 Margin Account

電子交易 e-Trade

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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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

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 HK\$7,000,000 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 HK\$7,000,000 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/債券/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 HK\$7,000,000 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

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*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/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:

If yes, Name of Account: _____

戶口號碼:

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

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.:

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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 : _____ Min. : _____

Ordering / Credit Limit / Margin Limit : _____

Account Approved by : _____ Date : _____

Remarks : _____