SUPPLEMENTAL CLIENT'S AGREEMENT 客戶補充協議

Applicable to 適用於：

- Additional account to be opened with Emperor Securities Limited ("ESL"), Emperor Futures Limited ("EFL") or Emperor Wealth Management Limited ("EWML")
  英皇證券有限公司、英皇期貨有限公司或英皇財富管理增設帳戶
- Change of account nature with ESL either from a Cash Account to a Margin Account or from a Margin Account to a Cash Account
  由現金帳戶轉為保證金帳戶或由保證金帳戶轉為現金帳戶

Existing Client Information 現有客戶資料

Client Name 客戶名稱：	Account No. 帳戶號碼：
A.E. Name 經紀名稱：	A.E. No 經紀編號：

I. Additional Account 增設帳戶

☐ Securities Cash Account – ESL 證券現金買賣賬戶 - 英皇證券
☐ Securities Margin Account – ESL 證券保證金買賣賬戶 - 英皇證券

The following only applicable for existing Securities Margin Account Client 以下只適用於現有證券保證金帳戶客戶
☐ Securities Margin Account (Securities Borrowing) – ESL 證券保證金買賣帳戶（證券沽空） - 英皇證券

☐ Futures Account – EFL 期貨買賣帳戶 - 英皇期貨
☐ Futures Power Up Account – EFL 期貨買賣 Power Up 帳戶 - 英皇期貨
（Please attached the Application Form for being Treated as an Established Client 請附上申請被視為固有客戶表格）

☐ Wealth Management Account – EWML 財富管理帳戶 - 英皇財富管理

Total number of account(s) opened 共選擇服務賬戶數目：________________________________

II. Change of Account Type 更改帳戶

☐ Cash Account Change to Margin Account 由現金帳戶轉為保證金帳戶
☐ Margin Account Change to Cash Account 由保證金帳戶轉為現金帳戶

Applicable terms and conditions in the Client's Agreement between the Client and Emperor ("Principal Client's Agreement") for each type of account chosen
根據客戶選擇之賬戶服務，適用於客戶與英皇之客戶協議條款及條件（主客戶協議）

For All types of Accounts 所有類別的帳戶適用：
Sections A, B, G, H, I, J & K
A, B, G, H, I, J 及 K 部份

Securities Cash Account - ESL 證券現金買賣賬戶 – 英皇證券	Securities Margin Account - ESL 證券保證金買賣賬戶 – 英皇證券	Futures Account - EFL 期貨買賣賬戶 – 英皇期貨	Wealth Management Account -EWML 財富管理賬戶 – 英皇財富管理
Section C C 部份	Section D D 部份	Section E E 部份	Section F F 部份

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III. Financial Information 財務資料

(a) Primary Account Holder 主要賬戶持有人

(i) Financial Position 財務狀況

Annual Income (in HK$) 年薪(港元)：

- ☐ ≤ $200,000
- ☐ $200,001 - $500,000
- ☐ $500,001 - $1,000,000
- ☐ $1,000,001 - $5,000,000
- ☐ >$5,000,000

Net Asset Value (in HK$) 資產淨值(港元)：

- ☐ ≤ $100,000
- ☐ $100,001 - $500,000
- ☐ $500,001 - $3,000,000
- ☐ $3,000,001 - $8,000,000
- ☐ >$8,000,000

(ii) Investment Objective 投資目標

- ☐ Speculation 投機
- ☐ Capital Appreciation 資產增值
- ☐ Dividend/Interest Income 股息收入
- ☐ Hedging 對沖
- ☐ Others 其他 ____

(iii) Investment Experience 投資經驗 Year of experience 投資年資

- ☐ Stock 證券 ____________
- ☐ Futures Contract 期貨合約 ____________
- ☐ Unit trusts/Mutual Fund 單位信託/互惠基金 ____________
- ☐ Leveraged foreign Exchange 槓桿外匯 ____________
- ☐ Others 其他 ____________
- ☐ Nil 沒有

(iv) Knowledge of derivative products 有關衍生產品之認識

- ☐ By undergoing training or attending courses or seminars that provide general knowledge of the nature and risks of derivative product(s)
  已接受有關介紹一般衍生產品之性質及風險的培訓或課程
- ☐ You have work experience related to derivative product(s)
  客戶擁有與衍生產品有關之工作經驗
- ☐ From your relevant trading experience i.e. You have executed five or more transactions in derivative product(s) (whether traded on an exchange or not) within the past three years.
  從客戶相關之交易經驗，即客戶於過去三年內已進行了五次或以上有關衍生產品之交易（不論是否於交易進行交易）。
- ☐ You have NO knowledge of derivative product(s)
  客戶並未有衍生產品之認識

(b) Secondary Account Holder 第二賬戶持有人

(i) Financial Position 財務狀況

Annual Income (in HK$) 年薪(港元)：

- ☐ ≤ $200,000
- ☐ $200,001 - $500,000
- ☐ $500,001 - $1,000,000
- ☐ $1,000,001 - $5,000,000
- ☐ >$5,000,000

Net Asset Value (in HK$) 資產淨值(港元)：

- ☐ ≤ $100,000
- ☐ $100,001 - $500,000
- ☐ $500,001 - $3,000,000
- ☐ $3,000,001 - $8,000,000
- ☐ >$8,000,000

(ii) Investment Objective 投資目標

- ☐ Speculation 投機
- ☐ Capital Appreciation 資產增值
- ☐ Dividend/Interest Income 股息收入
- ☐ Hedging 對沖
- ☐ Others 其他 ____

(iii) Investment Experience 投資經驗 Year of experience 投資年資

- ☐ Stock 證券 ____________
- ☐ Futures Contract 期貨合約 ____________
- ☐ Unit trusts/Mutual Fund 單位信託/互惠基金 ____________
- ☐ Leveraged foreign Exchange 槓桿外匯 ____________
- ☐ Others 其他 ____________
- ☐ Nil 沒有

(iv) Knowledge of derivative products 有關衍生產品之認識

- ☐ By undergoing training or attending courses or seminars that provide general knowledge of the nature and risks of derivative product(s)
  已接受有關介紹一般衍生產品之性質及風險的培訓或課程
- ☐ You have work experience related to derivative product(s)
  客戶擁有與衍生產品有關之工作經驗
- ☐ From your relevant trading experience i.e. You have executed five or more transactions in derivative product(s) (whether traded on an exchange or not) within the past three years.
  從客戶相關之交易經驗，即客戶於過去三年內已進行了五次或以上有關衍生產品之交易（不論是否於交易進行交易）。
- ☐ You have NO knowledge of derivative product(s)
  客戶並未有衍生產品之認識

IV. Futures Power Up Account 期貨Power Up買賣賬戶

(Applicable to Clients who apply Futures Power Up Account only 只適用於申請期貨買賣Power Up帳戶之客戶)

The Client confirm to apply to EFL for being Treated as an Established Client and have read, understood and agreed to comply with the relevant terms and conditions for Established Client and Futures Power Up Account. The Client is required to provide up-to-date, complete and accurate information to EFL in order for us to comply with the applicable laws and regulations and for the Client to receive the appropriate futures services. The Client's failure to provide information that is up-to-date, complete and accurate would materially affect our suitability assessment. The EFL accept no responsibility or liability as to the accuracy or completeness of the information given by the Client. If insufficient information is provided by the Client, EFL shall be unable to provide our services to the Client. The Client have been invited to read the risk disclosure statements, ask questions and take independent advice.

客戶確認申請被視為英皇期貨之固有客戶，並已閱讀、明白及同意遵守相關固有客戶及期貨 Power Up 買賣戶口之條款及細則。客戶必須向英皇期貨提供最新、完整及正確的資料，以便英皇期貨能遵從適用法律及條例，使客戶能獲得恰當的期貨服務。如客戶未能提供最新，完整和準確的資料將會嚴重影響本公司作出合適性評估。英皇期貨不會為客戶提供的信息的準確性或完整性承擔任何責任或義務。若客戶所提供的資料不足，英皇期貨將不能為客戶提供服務。客戶已獲邀閱讀風險披露聲明、發問及徵求獨立的意見。

V. Electronic Trading Service 電子交易服務

(Applicable to Clients who apply electronic trading service only 只適用於申請電子交易之客戶)

(i) The Client now applies to open an electronic trading service account with ESL and/or EFL. Before opening the account, the client acknowledge(s) that the client has read and understood the terms and conditions of Section H - Agreement for Electronic Trading Services and agree to be bound by them.
客戶現向英皇證券及/或英皇期貨申請開立電子交易買賣賬戶。於開戶前，客戶確認已細閱及明白本協議 H 部 – 電子交易協議之條件及條款，並接受該等有效及不時修改的條款約束。

(ii) Electronic Trading Service Account(s) 電子交易買賣賬戶 ☐ Securities 證券 ☐ Futures 期貨 ☐ Stock Options 股票期權

Please fill in mailing address and/or email address for receiving password (if different from those addresses for receiving Account Statements)
請填上接收密碼之郵寄地址及/或電郵地址（如與收取賬戶結單之地址不同）:

____

(iii) The Client understands that the Client should contact ESL and/or EFL if the password package and/or email notification is not received for a period of time after the account opening.
客戶知道若開戶後多天仍然未收到密碼包及/或電郵通知密碼，須主動向英皇證券及/或期貨查詢。

(iv) Streaming Quotation Service 即時串流報價服務

☐ Lightning Trading Platform Real Time Streaming 閃電交易平台串流報價服務

☐ Professional Version 專業版 (For PRC Clients Only 只限內地客戶)

☐ Professional Version 專業版 (For HK and Overseas Clients Only 只限香港及海外客戶)

☐ AFE Real Time Streaming for Online Trading Platform 網頁版串流報價

Notes: 註釋

1. For details of service charge, please refer to our website www.EmperorCapital.com
有關收費詳情請瀏覽英皇資本網站 www.EmperorCapital.com
2. Please tick the box and sign in the space provided if you accept to have such arrangement
如客戶接受此安排，請在方格加 ✓ 並於右方簽署

Client's Signature:
客戶簽署：____________________

VI. Declaration & Authorization by Client 客戶授權及聲明

Authorization on Fund Transfer 資金調配授權

The Client hereby authorizes Emperor Securities Ltd and/or Emperor Futures Ltd (ESL &/or EFL) to transfer any amount in Client's accounts in ESL and/or EFL to any other account(s) maintained by the Client with ESL and/or EFL at any time ESL and/or EFL deems appropriate and for such purpose authorize ESL and/or EFL's account executive to sign the "Fund Transfer Instruction Form" on the Client's behalf. The Client understands all transfer will be reflected in the account statement issued to the Client by ESL and/or EFL.
客戶特此授權英皇證券有限公司及/或英皇期貨有限公司於其認為適當的時候，可調配客戶在英皇證券及/或英皇期貨所有開立的賬戶下之任何金額至客戶在英皇證券及/或英皇期貨之其他賬戶，並為此目的授權英皇證券及/或英皇期貨代客戶簽署「資金調配表格」。客戶明白所有資金調配將於英皇證券及/或英皇期貨發予給客戶之賬戶結單上反映。

Securities Cash Account No.
證券現金賬戶號碼：____________________

Securities Margin Account No.
證券保證金賬戶號碼：____________________

Futures Account No.
期貨賬戶號碼：____________________

Note: Please sign in the space provided if you accept such arrangement.
註：如客戶接受此安排，請在右方簽署。

Client's Signature:
客戶簽署：______________________________

Declaration 聲明

The Client agrees to open the above account(s) with ESL and/or EFL and/or EWML on the terms and conditions as set out in the Principal Client's Agreement and this Supplemental Client's Agreement applicable to the type of accounts(s) that the Client agrees to open. The Client confirms that the Client has read and understood such terms and conditions.
以下簽名之客戶同意並根據主客戶協議及此客戶補充協議內適用於客戶所選擇服務賬戶之條款及條件與英皇證券及/或英皇期貨及/或英皇財富管理開設買賣/服務賬戶。客戶確認客戶已閱讀及明白有關類別賬戶之一切條款及條件。

By signing this part, the Client declares and confirms that
客戶簽署以下分段，表示客戶聲明及確認如下：

(a) The information provided in this Supplemental Client's Agreement is complete, true and accurate. ESL and/or EFL and/or EWML (as applicable) is entitled to rely fully on such representations and information for all purposes, unless the Client informs ESL and/or EFL and/or EWML (as applicable) in writing of any change to that information. ESL and/or EFL and/or EWML is/are authorized to contact anyone, including the Client's bankers, brokers or any credit agency, for the purposes of verifying the information provided in this Supplemental Client's Agreement.
客戶在此客戶補充協議所提供之所有資料屬完整，真實及正確。英皇證券及/或英皇期貨及/或英皇財富管理（適用者）有權在任何用途上完全依賴這些資料及陳述，除非客戶另行以書面通知英皇證券及/或英皇期貨及/或英皇財富管理（適用者）有任何資料更改，英皇證券及/或英皇期貨及/或英皇財富管理（適用者）有權聯絡客戶之銀行，經紀或任何信貸機構作核實本客戶補充協議之用途。

(b) The Client acknowledges that the Client has received and understood the contents of (i) Trading Facts/Contracts Specification and (ii) Trading Rules and Regulations of different products provided by ESL and/or EFL and/or EWML and fully understand the margin policy and the circumstances under which the Client's positions may be closed without the Client's consent.
客戶確認收到並了解有關各類英皇證券及/或英皇期貨及/或英皇財富管理提供之合約產品之(i) 買賣一覽表/合約細則和 (ii) 買賣交易規則所列明之內容；及其全部清楚了解保證金政策及毋須客戶同意而可將客戶買賣盤平倉之情況。

(c) The Client acknowledges that the Client has read and understood the contents of the Risk Disclosure Statements as referred to in Section I of the Principal Client's Agreement.
客戶確認客戶已閱讀及明白主客戶協議 I 部風險披露聲明書及免責聲明之一切內容。

(d) The Client further declares that the account(s) was/were opened at his/her/their free will and Emperor's staff and/or associate has not carried on any unsolicited calls on the Client.
客戶進一步聲明本人在訂立任何契約是在絕對自願情況下開設帳戶，而英皇客戶主任及/或其夥伴並非對本人作出任何未經邀請約之造訪行為。

Name 姓名	Client's Signature 客戶簽署	Date 日期

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Account Name 賬戶名稱：	Account No. 賬戶號碼：

VIII. Approval of Account Opening by Emperor 英皇帳戶確認

Execution 執行

Approved and Accepted by

* Emperor Securities Limited / Emperor Futures Limited / Emperor Wealth Management Limited (*please delete as appropriate)

英皇證券有限公司 / 英皇期貨有限公司 / 英皇財富管理有限公司 （*請刪去不適用者）

Authorized Signature 授權簽署

____

Name 姓名：______________________________________

Date 日期：______________________________________

Declaration by Licensed Representative 持牌代表之聲明

I ______________________________ (block letter) declare that I have provided to the Client the Risk Disclosure Statements as referred in Section I of the Client's Agreement in a language of the Client's choice and invited Client to read the risk disclosure statements, ask question and take independent advice if the client wishes. I declare that I have not made unsolicited call(s) to induce or attempt to induce the Client named above to enter into agreement for trading securities, futures and options with regard to the relevant regulatory requirements in section 174 of Securities and Futures Ordinance.

本人 ______________________________ 已按照客戶所選擇的語言提供及邀請客戶閱讀客戶協議 I 部份的風險披露聲明書，提出問題(如客戶有需要)及徵求獨立的意見。本人聲明，已遵從證券及期貨條例第 174 條的相關規定，沒有進行未獲約的造訪而誘使上述客戶訂立有關證券、期貨及期權交易之協議。

Signature of licensed representative: **持牌人簽署：**	**CE No.:** **中央編號：**	**Date:** **日期：**

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(i)	Checked by: ______________________	Signature: ________________________	Date: ________________
	Checked by: ______________________	Signature: ________________________	Date: ________________
(ii)	Approved by: ____________________	Signature: ________________________	Date: ________________
	Approved by: ____________________	Signature: ________________________	Date: ________________