



Emperor Securities Limited 英皇證券(香港)有限公司

Emperor Futures Limited 英皇期貨有限公司

Address: 23-24/F, Emperor Group Centre, 288 Hennessy Road, Wanchai, Hong Kong  
地址：香港灣仔軒尼詩道 288 號英皇集團中心 23 至 24 樓

## Application form for Market Trading Function and Electronic Trading Service 市場交易及電子交易服務申請表格

Client Name: 客戶名稱:	
Account Number: 戶口號碼:	

### A) Application of Market Trading Function and Electronic Trading Service 市場交易及電子交易服務申請

#### 1. Types of Market Trading Function 市場交易功能種類

- H.K. Stock 香港股票 (“港股”)       Shanghai A Shares and Shenzhen A Shares (“滬股通”及“深股通”)\*  
 U.S. Stock 美國股票 (“美股”)\*\*       Singapore Stock (“新加坡股票”)  
 Stock Options 股票期權       Futures 期貨  
 Others 其他 \_\_\_\_\_

\* Please read and fully understand the Trading information and Risk Disclosure of Shanghai-Hong Kong Stock Connect(A Share) and Shenzhen-Hong Kong Stock Connect (A Share) Northbound Trading Service. For details, please visit HKEx website at <http://www.hkex.com.hk/eng/csm/chinaConnect.asp?LangCode=en>  
請閱讀和明白滬股通(A 股)及深股通(A 股)交易須知及風險披露聲明。有關滬股通及深股通詳情，請參閱香港交易所網頁：<http://www.hkex.com.hk/chi/csm/chinaConnect.asp?LangCode=tc>

\*\* Please complete W8-BEN form for U.S. Stock and specify the signing date:  
如進行美股交易，請填妥 W8-BEN 表格並註明簽署日期：\_\_\_\_\_

#### 2. Application of Electronic Trading Service for Market(s) 市場電子交易服務申請

- H.K. Stock 香港股票 (“港股”)  
 Shanghai A Shares and Shenzhen A Shares  
 (“滬股通”及“深股通”)  
 U.S. Stock 美國股票 (“美股”)  
 Singapore Stock (“新加坡股票”)  
 Stock Options 股票期權  
 Futures 期貨  
 Others 其他 \_\_\_\_\_

#### 3. Mode of Sending Password (applicable to Electronic Trading Service) 密碼寄送方式 (如申請電子交易服務)

- Post 郵寄  
 Email 電郵 \_\_\_\_\_

#### 4. E-Statement Services 電子結單服務

I/We request you to email the daily or monthly statement of my/our account(s) to the following email address:  
本人/吾等要求英皇證券/英皇期貨把本人/吾等戶口之日、月結單，電郵至以下電郵地址：

\_\_\_\_\_

**B) Client Acknowledgement and Declaration****客戶確認及聲明**

By signing this part, I/We declare and confirm that:

本人/吾等簽署以下分段，表示本人/吾等聲明及確認如下：

Applicable to Electronic Trading Service for All Markets適用於所有市場的電子交易服務

- I/We have read and understand the terms and conditions of the Agreement for Electronic Trading Services of the Client's Agreement (Section H) and agree to be bound by them.  
本人/吾等已細閱及明白客戶協議 – 電子交易協議之條件及條款(H部份)，並接受該等有效及不時修改的條款約束。
- I/We have read and understand the contents of the Risk Disclosure Statements of the Client's Agreement (Section I), in particular of the Risk of Using Electronic Trading Facilities.  
本人/吾等已閱讀及明白客戶協議 - 風險披露聲明及免責聲明之一切內容(I部份)，尤其本人/吾等已完全了解有關應用電子交易設施的風險。
- Upon termination of the stock online trading service(s), the corresponding Market Real-Time Price Quote Service(s) will also be terminated accordingly.  
如取消網上交易服務，相關即時報價服務亦會相應地終止。

Applicable to Shanghai – Hong Kong Stock Connect (A Shares) and Shenzhen – Hong Kong Stock Connect (A Share) Northbound Trading Service適用於滬股通(A股)及深股通(A股)交易服務

- I/We have read and understand Trading information and Risk Disclosure Statement of Shanghai – Hong Kong Stock Connect (A Shares) and Shenzhen – Hong Kong Stock Connect (A Share) Northbound Trading Service, and confirm that I/we accept use of personal data and the relevant associated risks.  
本人/吾等已閱讀及明白滬股通(A股)及深股通(A股)交易須知及風險披露聲明，並確認接納相關的個人資料使用及所涉及的風險。

Applicable to U.S Stock Trading適用於美股交易

- I/we am/are neither U.S. citizen, U.S. resident, nor the U.S. green cardholder.  
本人/吾等並非美國公民、美國居民或美國綠卡持有人。
- U.S. stock transactions after the Hong Kong market close on the same trading day (T) will be reported as T+1 trade(s) in daily and monthly statements.  
在香港市場收市後成交的同日美股交易，將於日結單及月結單內顯示為下一個交易日之交易。
- I/We have read and understand the Risk Disclosure relating to Trading in US Exchange-Listed or Over-the-Counter (OTC) Securities or Derivatives  
本人/吾等已閱讀及明白美國交易所上市及場外交易證券或衍生工具交易須知及風險。

Client's Signature 客戶簽署

Date 日期

**For Office Use Only 只供本公司專用**

Noted By :	Signature verified, checked and Processed by:	Activation Date of Service
(AE)	(L & C Dept.)	
Date:	Date:	Date: