



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(香港)有限公司、英皇期貨有限公司或英皇財富管理增設戶口
- Change of account nature with ESL either from a Cash Account to a Margin Account or from a Margin Account to a Cash Account 由現金戶口轉為保證金戶口或由保證金戶口轉為現金戶口

Existing Client Information 現有客戶資料	
Client Name 客戶名稱:	Account No. 戶口號碼:
A.E. Name 經紀名稱:	A.E. No 經紀編號:

I. Additional Account 增設戶口

- Securities Cash Account - ESL 證券現金買賣賬戶 - 英皇證券
- Futures Account - EFL 期貨買賣賬戶 - 英皇期貨
- Securities Margin Account - ESL 證券保證金買賣賬戶 - 英皇證券
- Wealth Management Account - EWML 財富管理賬戶 - 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 更改戶口

- Cash Account Change to Margin Account 由現金戶口轉為保證金戶口
- Margin Account Change to Cash Account 由保證金戶口轉為現金戶口

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)

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

Universally Applicable Sections 通用部份:
Sections A, B, I, J & K
A, B, I, J 及 K 部份

Applicable in Client's Case 只適用於客戶之特殊情況:
Sections G &/or H
G 及/或 H 部份

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):

- < \$200K 少於廿萬 > \$200K - \$500K 廿萬至五十萬
 > \$500K - \$1M 五十萬至一百萬
 > \$1M 多於一百萬

Net Asset Value (in HK\$) 資產淨值(港元):

- < \$200K 少於廿萬 > \$200K - \$500K 廿萬至五十萬
 > \$500K - \$1M 五十萬至一百萬
 > \$1M - \$5M 一百萬至五百萬
 > \$5M 多於五百萬

(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
- from your prior work experience related to derivative products
客戶從現時的工作經驗獲取有關衍生產品之認識
you have prior relevant work experience in financial institution(s)
客戶於金融機構擁有相關工作經驗
or others (please specify):
或其他 (請註明): _____
- 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 products
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):

- < \$200K 少於廿萬 > \$200K - \$500K 廿萬至五十萬
 > \$500K - \$1M 五十萬至一百萬
 > \$1M 多於一百萬

Net Asset Value (in HK\$) 資產淨值(港元):

- < \$200K 少於廿萬 > \$200K - \$500K 廿萬至五十萬
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 > \$1M - \$5M 一百萬至五百萬
 > \$5M 多於五百萬

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- 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
- from your prior work experience related to derivative products
客戶從現時的工作經驗獲取有關衍生產品之認識
you have prior relevant work experience in financial institution(s)
客戶於金融機構擁有相關工作經驗
or others (please specify):
或其他 (請註明): _____
- 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 products
客戶並未有衍生產品之認識

IV. 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 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 understand 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, 並接受該等現於有效及不時修改的條款約束。

(ii) Securities electronic trading service account 股票電子交易買賣賬戶 Futures electronic trading service account 期貨電子交易買賣賬戶

Please fill in email address for notification of password (if different with the mailing address and/or email address of receiving client statement)

客戶郵寄地址及/或電郵地址以接收密碼之通知 (如與收取賬戶結單郵寄地址及/或電郵地址不同):

(iii) The Client understands that the client should contact the company if the password bag 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 貴公司查詢。

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

Lightning Trading Platform Real Time Streaming (For PRC Clients Only) 閃電交易平台串流報價服務 (只限內地客戶)

Standard Version 標準版 Professional Version 專業版

Lightning Trading Platform Real Time Streaming (For HK & Overseas Clients Only) 閃電交易平台串流報價服務 (只限香港及海外客戶)

Professional Version 專業版

AFE Real Time Streaming for Online Trading Platform 網頁版流報價服務

(Service will be charged, please refer details in our company website www.emperorcapi.com) (收費詳情, 請瀏覽英皇證券網站 www.emperorcapi.com)

Note: Please tick the box and sign in the space provided if you accept to have such arrangement.

註: 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: _____



V. Ultimate Beneficial Owner(s) of the Account 最終賬戶受益人

I am/ We are the ultimate beneficial owner(s) of the account. 本人/我們是賬戶最終受益人

Yes 是 No, please specify 否, 請註明:

Name of Ultimate Owner(s)
最終戶口受益人姓名

I.D. Card / Passport No.
身份證或護照號碼:

Relationship with Account Holder
與賬戶持有人的關係

Address 地址: _____

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(香港)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 initial the box if you accept to have 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 account(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:

- 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。
- The Client acknowledges that the Client has received and understood the contents of Trading Facts/Contracts Specification and Trading Rules and Regulations of different futures 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。
- 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。
- 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戶口,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: _____

VI. Approval of Account Opening by Emperor 英皇戶口確認

1. 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(香港)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 interviewee named in above to enter into agreement for trading securities, 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，提出問題及徵求獨立的意見，如客戶有此意願。本人聲明，根據證券及期貨條例第 174 條，本人沒有進行未獲約的造訪而誘使上述客戶訂立有關證券交易之協議。

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: _____