

**Application Form for being Treated as an Established Client 申請被視為固有客戶表格**

To: Emperor Futures Limited (“EFL”)  
致：英皇期貨有限公司（「英皇期貨」）

|                            |  |                          |  |
|----------------------------|--|--------------------------|--|
| <b>Account Number 賬戶號碼</b> |  | <b>Account Name 賬戶名稱</b> |  |
| <b>Report Form 表格</b>      | <input type="checkbox"/> First Application 首次申請 <input type="checkbox"/> Re-Application 再次申請 |                          |  |

I/ We would like to apply to EFL for being treated as an established client for the following market(s):

本人/吾等欲向英皇期貨申請被視為英皇期貨於以下期貨市場之固有客戶：

(Please choose only one 請選擇一項)

- HK Market 香港市場                       Global Market 環球市場                       HK & Global Market 香港及環球市場

Apply for established client account type (Please refer to the official website of Emperor Capital Group for the latest products list included in each type of accounts)

申請固有客戶賬戶之類別（請參閱英皇資本集團官方網站有關每類賬戶類別所包括的產品列表）

(Please choose only one 請選擇一項)

- 20% Margin 按金（5 time 倍）                       33.3% Margin 按金（3 Times 倍）

**Terms and Conditions (“T&C”) of applying to be treated as an Established Client**

申請被視為固有客戶之條款及細則（「條款及細則」）

**Definition of Established Client 固有客戶之定義\***

The established client shall be an existing client of EFL with holding overnight position experience and demonstrated a record of consistently meeting margin obligations and maintaining a sound financial position as prescribed under the Rule 617 (b) of Hong Kong Futures Exchange (“HKFE”) Rule or subject to procedures prescribed by HKFE from time to time.

根據香港期貨交易所（「期交所」）規則第 617(b) 條或期交所不定時規定的程序規限下，固有客戶必須為（英皇期貨）現有客戶並曾經持有隔夜倉位經驗，並且需貫徹履行其按金責任及維持穩健的財務狀況。

**A record of Consistently Meeting Margin Obligations 貫徹履行其按金責任\***

- (a) Client should show no record of failure to meet the margin obligations within the preceding at least one year from the date of this application (or, if client has not been a client of EFL for a least one year, for a period since account opening and with a minimum period of 3 months), including that, the client has (a) no unfulfilled margin calls; and (b) no forced liquidation record; and (c) no bounced cheque record.

客戶在本申請日起最近至少一年（如客戶成為英皇期貨的客戶不足一年，則由開戶日期起計，並至少滿三個月）內沒有任何未能履行按金責任的紀錄。包括，客戶：(a) 沒有未履行的補倉通知；及 (b) 沒有強制平倉紀錄；及 (c) 沒有遭退票。

- (b) Upon receiving margin calls from EFL, client must pay the required margin and in any case, client is responsible for monitoring and maintaining sufficient account balance to fulfil the margin requirement from time to time.

在收到英皇期貨保證金追繳通知時，客戶必須立即繳付所需保證金，並在任何情況下，本人/吾等有責任不時留意及維持足夠的帳戶結餘以繼續應付按金要求。

**Maintaining a Sound Financial Position and Consistently Meeting Margin Obligations**

維持穩健的財務狀況並承諾履行其按金責任

1. Client should demonstrate that he/she has consistently maintained sound financial position. Upon receiving EFL’s request, client promised to submit (at least once a year) any documents that can assist to assess the soundness of the client’s financial position, including : bank statements, securities account statements, audited financial statements, credit reports from reputable credit rating agencies ; and /or any statements that can proof the client’s available credit or financial facility etc.

客戶必須證明其一直維持穩的財務狀況。客戶在收到英皇期貨要求時，承諾不時（最少每年）提交可助評估固有客戶財務狀況的有關證明，例如：銀行結單、證券戶口結單、經審核財務報表、由聲譽良好的信貸評級機構發出的信貸評級報告；及/或任何能證明該客戶可動用的信貸或財務融資的結單等。

**Day Trade and Liquidation 即日平倉及清算**

1. If the established client has a history of transacting day trades exclusively, EFL shall not transact a day trade (i.e. a position that is opened and closed out within the same T Session or within the same T+1 Session) on behalf of an established client until and unless EFL has received from the established client collateral adequate to cover his minimum requirements.

倘任何固有客戶過往僅進行即日平倉交易（即在同一個 T 時段內或同一個 T+1 時段內開立倉盤及進行平倉），則英皇期貨仍不得代表任何固有客戶進行任何即日平倉交易，直至及除非英皇期貨已從該固有客戶收取足夠的抵押品，以涵蓋對該客戶的最低按金要求為止。

2. The established client agrees and consents EFL at its own absolute discretion to close out **ALL or part of the** positions held in the established client account at the prevailing market price under the following conditions:  
固有客戶同意及允許英皇期貨於下列情況下全權酌情為固有客戶賬戶內持有的**全部或部份倉位**以當時市場價進行平倉：
- (i) from 15 minutes before the end of the trading session which the position is opened; AND the established client account is under margin call status, EFL will close out the positions until the net asset value of the established client account is higher than the required initial margin requirement; OR  
於固有客戶開立倉盤的交易時段結束前 15 分鐘起及固有客戶賬戶處於追收保證金水平下，英皇期貨會將固有客戶賬戶內持有**倉位**進行平倉，直至固有客戶賬戶資產淨值高於開倉保證金要求；或
  - (ii) the net asset value of the established client account falls to or below 60% of the required initial margin requirement of position held, EFL will close out **ALL** positions..  
固有客戶賬戶資產淨值跌至開倉保證金要求之 60% 或以下時，英皇期貨會將固有客戶賬戶內**全部倉位**進行平倉。
- The arrangement valid from the date of this application form and it will be cancelled along with the client's established client status is cancelled.  
有關安排由本申請表簽署日起生效，不論固有客戶因任何原因取消或被取消固有客戶身份，則有關安排亦隨之一併失效。
3. A Trading session means any same T session or any same T+1 session.  
交易時段指任何同一個 T 時段或任何同一個 T+1 時段。
4. The established client should hold overnight position in EFL for at least one business day in a calendar month. The minimum margin requirement of such overnight must equal to or not less than the minimum required margin of the day trade products (Per contract).  
固有客戶需於每一個月內至少有一個營業日，透過英皇期貨持有隔夜持倉。該等隔夜持倉所涉及的期貨合約所適用的最低按金要求（每張合約計），必須等同或高於相關即日平倉交易的最低按金要求（每張合約計）。
5. If there is overdue minimum margin requirement for settlement or unsettled margin call in the established client account, no new position is permitted to be opened under the established client account. In addition, the client agree that the forced liquidation or liquidation may be fully executed and EFL is not required to give further notice to the client. The client agree that EFL will not be responsible for any loss because of such forced liquidation or liquidation requirement.  
當固有客戶賬戶內有任何逾期末繳付的保證金或追加保證金時，將不能於固有客戶賬戶內建立任何新倉盤。英皇期貨有權不接受本人/吾等建立任何新倉盤之要求及無須向客戶發出事先通知的情況下將賬戶內將所有未平倉合約強行平倉或清算；客戶並同意英皇期貨將不會因平倉或清算而產生的任何欠款負上任何責任。
6. After the established client deposit the fund, it can only be used after confirmed by the company and available in the established client account.  
固有客戶存入款項後，待本公司確認後方可在固有賬戶中使用。
7. The established client account is an independent account, the funds in other account will not be counted. If the established client would like to transfer fund from other accounts, please notify the company in advance. Only the available fund in the established client account will be considered.  
固有客戶賬戶為獨立賬戶，不會計算其他賬戶內的資金。固有客戶如需由其他賬戶轉賬資金到此賬戶內，請預早通知本公司，待本公司確認後方可在固有賬戶中使用。
8. EFL reserves the right to change the initial and maintenance margin requirements and the deadline for margin calls at any time and may not be notifying the client promptly of such changes. Client must duly monitor the margin level of the account and maintain sufficient margin at any time.  
英皇期貨有權隨時更改基本及維持保證金要求及追收保證金的最後時限，且或未能就有關更改即時通知客戶，客戶必須謹慎地監察賬戶內的保證金水平及於任何時間維持足夠的保證金。
9. EFL has the absolute right to revise the above terms and conditions at any time, and may reject client's application. In any case, if the client fails to comply with any T&C above, EFL has the right to discontinue treating the client as an established client at any time.  
英皇期貨有絕對權利隨時更改上述條款及條件，並可拒絕客戶的申請。在任何情況下倘若客戶未能符合固有客戶的要求，英皇期貨有權隨時終止客戶被視為固有客戶的身份。
10. EFL reserves the right to terminate the Established client arrangements at any time without prior notice. In case of any dispute, EFL's decision is final.  
因應市況波動的情況下，英皇期貨有權隨時取消上述固有客戶的安排而毋須另行通知。如有任何爭議，英皇期貨的決定將為最終決定。

**Transactions in Global Market 在環球市場進行交易#**

1. The profit or loss in transactions in foreign currency-denominated contracts will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency. Exchanged for another currency as margin may affect by exchange rate fluctuations.  
環球市場以外幣計算的合約買賣所帶來的利潤或招致的虧損，均會在需要將合約的單位貨幣兌換成另一種貨幣時受到匯率波動的影響。兌換另一種貨幣作保證金時受到匯率波動的影響。
2. The Client need to maintain account balance to fulfil the margin requirement when trading the global market during U.S. holidays. The specified minimum margin requirements will not apply to this trading day.  
固有客戶在美國假期進行環球期貨買賣時需維持足夠的保證金要求，指定的最低按金要求將不適用該交易日。

\* Applicable to HK Market applications only. 只適用於香港市場申請。

# Applicable to Global Market applications only. 只適用於環球市場申請。

**Client Declaration 客戶聲明**

The client would like to apply to be an established client in EFL. The client agree to accept and comply with the following terms & conditions, including but not limited to the rules, regulations and requirements of the Securities and Futures Commission of Hong Kong, The Hong Kong Exchanges and Clearing Limited, The Hong Kong Futures Exchange Limited and EFL as amended from time to time without further notice.

客戶欲向英皇期貨申請成為期貨市場之固有客戶，並同意接受及遵守以上條款及條件，包括但不限於香港證券及期貨事務監察委員會、香港交易及結算所有限公司、香港期貨交易所有限公司及英皇期貨不時修訂之規則或要求而不作另行通知。

The client understand and accept that EFL has the absolute rights to amend the above terms & conditions from time to time without further notice and reject any application to be classified as an established client. If the client do not comply with all the relevant requirements under the EFL's terms & conditions at all times, EFL has the right to terminate the status as an established client.

客戶明白及同意英皇期貨有絕對權利隨時更改上述條款及條件而不作另行通知，並可拒絕客戶的申請。倘若客戶未能遵守英皇期貨的條款和細則中固有客戶的所有相關要求，英皇期貨有權隨時終止客戶固有客戶的身份。

The client understand and accept that EFL has the absolute rights to amend the services details from at any time including but not limit to the products list, trading section and any margin additional margin requirements etc. without prior notice. The client agreed to the above arrangement and will not be able to recover any compensation or loss from EFL.

客戶明白及接受英皇期貨有絕對權利隨時修改任何服務內容，包括但不限於產品列表、交易時段及額外按金要求等，而不作另行通知。客戶同意上述安排並將不可向英皇期貨追討任何賠償或損失。

The client understood and accept all contents of client consent form. I/We will seek for all applicable legal advice(s) if necessary. The client confirmed that by signing to agree, understand and accept the above arrangement of the form.

客戶明白及接受上述同意書的內容。如有需要，客戶將會尋求合適的法律意見。客戶確認一經簽署後，即客戶同意、理解及接受上述同意書的授權安排。

**Client Signature 客戶簽署：**

S.V.

Name:  
Date:

Date 日期：