

STOCK OPTIONS ACCOUNT OPENING FORM 股票期權帳戶開戶表格

(For existing clients only 只供現有客戶使用)

I. Client Information 客戶資料

Client Name 客戶名稱：	Stock Options Account No. 股票期權帳戶編號：
A.E. Name 經紀名稱：	AE Code 經紀編號：

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

1. The Client hereby requests Emperor Securities Limited (“ESL”) to render Stock Options Trading Services to the Client on the terms and conditions as set out in the Stock Options Trading Agreement. ESL agrees to open and maintain a Stock Options Account in the name of the Client and will act as agent (except as principal(s) on occasions specified in the Stock Options Trading Agreement). Prior to signing below, the Client confirms that the Client have read, understood and accepted the “Terms and Conditions for Stock Options”, the fees schedule of stock options trading, the reporting requirements and the responsibilities of reporting as set out in the Rules for Options Trading Participants of the Stock Exchange and the Securities and Futures (Contract Limits and Reportable Positions) Rules and related guidance notes issued by the Securities and Futures Commission, and shall be bound by these terms that apply to the Client’s account as amended from time to time. The Client hereby authorizes ESL to submit a claim with the SEHK Options Clearing House Ltd. (“SEOCH”) in respect of the Client’s open positions to the effect that SEOCH will calculate and collect margin in respect of such positions on a portfolio basis.

客戶現向英皇證券有限公司（“英皇證券”）申請開立股票期權交易買賣帳戶並同意根據股票期權買賣協議內之條款及條件。英皇證券同意以客戶名義開設股票期權帳戶，並擔任客戶之代理人（如有本協議另行指明充任主事人（等）之情況例外）處理相關事宜。於下方簽署開戶前，客戶確認已細閱、明白及同意英皇證券之股票期權交易之條款和條件，股票期權之交易費用表以及期權交易所規則、證券及期貨(合約限量及須申報的持倉量)規則以及由證券及期貨事務監察委員會發出的有關指引內的申報規定及責任，並接受該等現時有效及不時修改的條款約束。客戶在此授權英皇證券向香港聯合交易所期權結算所（“期權結算所”）提交關於客戶之持倉由期權結算所以組合基礎計算及收取有關之按金。

2. The Client hereby requests ESL to render Stock Options Electronic Trading Services to the Client. The Client confirm that the Client have read, understood and accepted the Terms and Conditions of “Electronic Trading Services” as set out in the existing client agreement made between ESL and the Client (“Client’s Agreement”), and shall be bound by those terms that apply to the Client’s account as amended from time to time. The Client agrees that ESL will send the trading password to the email address as provided by the Client in this form and accepts all risks related to such password transferred through email.

客戶現向英皇證券申請開立電子股票期權交易買賣服務。客戶確認已細閱、明白及同意英皇證券與客戶簽訂之現有客戶協議（“客戶協議”）內“電子交易協議”之條件及條款，並接受該等現時有效及不時修改的條款約束。客戶同意英皇證券以電郵方式將交易密碼發放到客戶以下指定之電郵戶口並接受以電郵傳遞交易密碼之所有相關風險。

3. The Client also confirm that the Client have read, understood and accepted the “Risk Disclosure Statements and Disclaimers” section in the Client’s Agreement and confirm that the Client was invited to read the section, ask questions and take independent advice if the Client wish. The Client confirm the client information (including personal information and related accounts) provided to ESL is valid and up-to-date

客戶確認已細閱客戶協議之“風險披露聲明書及免責聲明”部分，並確定客戶已獲得按照客戶所選擇的語言作出解釋，提出問題及如有需要徵求獨立之意見。客戶並確認就客戶提供給英皇證券的客戶資料（包括個人資料及關連帳戶）均為真確無誤。

Name 姓名	Client Signature 客戶簽署	Date 日期

Authorization on Fund and Stock Transfer 資金及/或股票調配授權

The Client hereby authorizes Emperor Securities Limited (“ESL”) and/or Emperor Futures Limited (“EFL”) to transfer any amount of fund and/or stock in the 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” and/or “Stock 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(“英皇證券”)及/或英皇期貨有限公司(“英皇期貨”)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帳戶下之任何金額 及/或 股票至客戶在英皇證券及/或英皇期貨之其他帳戶，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”及/或“股票調配表格”。 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帳戶結單上反映。

Securities Cash Account No.

證券現金帳戶號碼： _____

Futures Account No.

期貨帳戶號碼： _____

Securities Margin Account No.

證券保證金帳戶號碼： _____

Stock Options Account No.

股票期權帳戶號碼： _____

Note: Please sign if you accept to have such arrangement

註：如客戶接受此安排，請在右方簽署

Client Signature

客戶簽署： _____

III. Approval of Account Opening by ESL 英皇證券確認開立戶口**Execution 執行**

The undersigned hereby certify the signing of the Agreement by the Client 以下簽署人特此核證客戶簽署本協議
Witness Signature 見證人簽署

Name 姓名： _____

Date 日期： _____

Approved and Accepted by:

Emperor Securities Limited 英皇證券有限公司
Authorized Signature 授權簽署

Name 姓名： _____

Date 日期： _____

Declaration by Licensed Representative 持牌代表聲明

I _____ (block letter) declare that I have provided to the Client the Risk Disclosure Statements and Disclaimers as referred in Section I of the Client’s Agreement in a language (English or Chinese) 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(中文或英文)提供及邀請客戶閱讀英皇證券之“客戶協議”第 I 部份的風險披露及免責聲明內容，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： _____

For Office Use Only 只供本公司專用

Account Name 帳戶名稱： _____

Account No. 帳戶編號： _____

(i) Name of Account Executive: _____ AE Code: _____

(ii) Checked by: _____ Signature: _____ Date: _____

Checked by: _____ Signature: _____ Date: _____

(iii) Approved by: _____ Signature: _____ Date: _____

Approved by: _____ Signature: _____ Date: _____