



## 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

<b>Client Name:</b> 客戶名稱：	
<b>Account Number:</b> 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

- |  |   |
|--|---|
| <input type="checkbox"/> H.K. Stock 香港股票 ( “港股” )                  | <input type="checkbox"/> Shanghai A Shares and Shenzhen A Shares ( “滬股通” 及 “深股通” ) <sup>a</sup> |
| <input type="checkbox"/> U.S. Stock 美國股票 ( “美股” ) <sup>b</sup>     | <input type="checkbox"/> Singapore Stock ( “新加坡股票” )  |
| <input type="checkbox"/> Indonesia Stock ( “印尼股票” )                | <input type="checkbox"/> Japanese Stock ( “日本股票” ) <sup>c</sup>                                 |
| <input type="checkbox"/> South Korea Stock ( “韓國股票” ) <sup>d</sup> | <input type="checkbox"/> Taiwan Stock ( “台灣股票” ) <sup>e</sup>                                   |
| <input type="checkbox"/> UK Stock ( “英國股票” ) <sup>f</sup>          | <input type="checkbox"/> Canada Stock ( “加拿大股票” ) <sup>g</sup>                                  |
| <input type="checkbox"/> Global Futures ( “環球期貨” )                 | <input type="checkbox"/> Futures 期貨   |
| <input type="checkbox"/> Stock Options 股票期權                        | <input type="checkbox"/> Others 其他：_____  |

a. 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 [https://www.hkex.com.hk/mutual-market/stock-connect?sc\\_lang=en](https://www.hkex.com.hk/mutual-market/stock-connect?sc_lang=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：[https://www.hkex.com.hk/mutual-market/stock-connect?sc\\_lang=zh-hk](https://www.hkex.com.hk/mutual-market/stock-connect?sc_lang=zh-hk)。

b. 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：\_\_\_\_\_

c. Please read and fully understand the Trading information and Risk Disclosure of Japanese Stock Trading Services. 請閱讀和明白日本股票交易須知及風險披露聲明。

d. Please read and fully understand the Trading information and Risk Disclosure of South Korea Stock Trading Services. 請閱讀和明白韓國股票交易須知及風險披露聲明。

e. Please read and fully understand the Trading information and Risk Disclosure of Taiwan Stock Trading Services. 請閱讀和明白台灣股票交易須知及風險披露聲明。

f. Please read and fully understand the Trading information and Risk Disclosure of UK Stock Trading Services. 請閱讀和明白英國股票交易須知及風險披露聲明。

g. Please read and fully understand the Trading information and Risk Disclosure of Canada Stock Trading Services. 請閱讀和明白加拿大股票交易須知及風險披露聲明。

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

- |   |   |
|---|---|
| <input type="checkbox"/> H.K. Stock 香港股票 ( “港股” )               | <input type="checkbox"/> Shanghai A Shares and Shenzhen A Shares ( “滬股通” 及 “深股通” ) <sup>*</sup> |
| <input type="checkbox"/> U.S. Stock 美國股票 ( “美股” ) <sup>**</sup> | <input type="checkbox"/> Singapore Stock ( “新加坡股票” )  |
| <input type="checkbox"/> Stock Options 股票期權                     | <input type="checkbox"/> Futures 期貨   |
| <input type="checkbox"/> Global Futures ( “環球期貨” )              | <input type="checkbox"/> 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)

- |                                  |   |
|----------------------------------|---|
| <input type="checkbox"/> Post 郵寄 | <input type="checkbox"/> 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 Money Standing Authority 客戶款項常設授權

Client hereby gives this Client Money Standing Authority ("Standing Authority") to Emperor Securities Limited and/or Emperor Futures Limited (collectively called "Emperor"). This Standing Authority covers all monies, assets (including any interest or dividends derived from the holding of the money or assets) in one or more segregated account(s) on my/our behalf ("Monies"). Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) including any account(s) designated as client account(s) established and maintained in or outside Hong Kong.

客戶現就資金調配向英皇證券有限公司及／或英皇期貨有限公司（以下統稱「英皇」）作出客戶款項常設授權（「常設授權」），常設授權涵蓋存放於英皇的一個或多個獨立賬戶內之所有款項、資產（包括因持有並非屬於英皇的款項而產生之任何利息、紅利）（下稱「款項」）。除非另有說明，本授權書內所用之名詞與《證券及期貨條例》及《證券及期貨（客戶款項）規則》不時修訂之定義具有相同意思。獨立賬戶包括在香港或香港以外地方設立及維持並標明為客戶賬戶之任何賬戶。

Client authorizes Emperor to

客戶現授權英皇：

- A. combine or consolidate any or all segregated accounts, of any name whatsoever and either individually or jointly with others, maintained by Emperor and/or any of its subsidiaries and affiliates from time to time ("Emperor Capital Group") and Emperor may transfer any sum of Monies to and between such segregated account(s) to satisfy the Client obligations or liabilities to any member of the Emperor Capital Group, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and/or  
組合或合併英皇及／或其任何附屬公司及聯繫公司（下稱「英皇資本集團」）所維持的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，英皇可將該等獨立賬戶內任何數額之款項作出轉移，以解除客戶對英皇資本集團內任何成員的義務或法律責任，不論此等義務和法律責任是確實或偶然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及／或
- B. transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of Emperor Capital Group; and/or  
從英皇資本集團任何成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項；及／或
- C. To receive and/or hold Monies in any segregated account(s) opened and maintained by Emperor with its nominated securities and/or futures broker(s) at Emperor's own discretion ("Nominated Broker") for the purposes of dealing in the Client's transactions; and/or  
存入及／或持有款項於英皇全權所指定的證券及／或期貨經紀（「指定經紀」）之開設及持續的任何獨立賬戶，以用作客戶之交易；及／或
- D. To transfer Monies interchangeably between the segregated account(s) opened and maintained by Emperor in Hong Kong and the segregated account(s) opened and maintained by Emperor with the Nominated Broker.  
從英皇在香港設立的獨立賬戶及指定經紀在獨立賬戶之間來回調動。

The Client acknowledges and agrees that Emperor may do any of these acts without giving the Client notice.

客戶確認及同意英皇可無須向客戶發出通知而採取上述的任何行動。

The Client understands all of fund and/or stock transfer will be reflected in the account statement issued to the Client by Emperor.

客戶明白所有款項及／或股票調配將於英皇發予給客戶之賬戶結單上反映。

This Standing Authority is given to Emperor Securities Limited in consideration of its agreeing to continue to maintain securities cash and/or margin account and/or stock options account(s) for the Client and to Emperor Futures Limited in consideration of its agreeing to continue to maintain futures trading account(s) for the Client.

此賦予英皇證券之常設授權乃鑑於英皇證券同意繼續維持客戶之證券現金賬戶及／或證券保證金賬戶及／或股票期權賬戶，而賦予英皇期貨之常設授權乃鑑於英皇期貨同意繼續維持客戶之期貨交易賬戶。

This Standing Authority is given without prejudice to other authorities or rights which Emperor Capital Group may have in relation to dealing in Monies in the segregated accounts.

此賦予英皇之常設授權並不損害英皇資本集團享有有關處理該等獨立賬戶內款項的其他授權或權利。

This Standing Authority is valid from the date thereof and expires on 31st day of March after the date hereof. The Standing Authority may revoke by giving Emperor written notice, such notice shall take effect upon the expiry of 14 days from the date of the Client's actual receipt of such notice.

常設授權自即日起生效，直至今日期後的 3 月 31 日屆滿。客戶可以向英皇發出書面通知以撤回本常設授權。有關撤回本常設授權通知之生效日期為英皇真正收到該等通知後之 14 日起計。

The Client understand that this Standing Authority shall be deemed to be renewed 12 months on a continuing basis without the Client written consent if Emperor issue the Client a written reminder at least 14 days prior to the expiry date of this Standing Authority, and the Client does not object to such deemed renewal before such expiry date.

客戶明白英皇若在此常設授權的期限屆滿 14 日之前，會向客戶發出書面通知，提醒客戶本常設授權書即將屆滿，而客戶沒有在此常設授權屆滿前反對此常設授權續期，本常設授權書應當作在不需要客戶的書面同意下按持續的基準已被續期 12 個月。

In the event of any difference in interpretation or meaning between the Chinese and English version of this Standing Authority, that the English version shall prevail.

倘若本常設授權書的中文本與英文本在解釋或意義方面有任何歧義，概以英文本為準。

The Client has read and understands and accepts the contents of this letter.

客戶已閱讀、明白及同意本常設授權書的內容。



## C. 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。

### **Applicable to Japanese Stock Trading 適用於日股交易**

- I/We have read and understand the Trading information and Risk Disclosure of Japanese Stock Trading Services, and confirm that I/we accept use of personal data and the relevant associated risks.  
本人/吾等已閱讀及明白日本股票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 South Korea Stock Trading 適用於韓國交易**

- I/We have read and understand the Trading information and Risk Disclosure of South Korea Stock Trading Services, and confirm that I/we accept use of personal data and the relevant associated risks.  
本人/吾等已閱讀及明白韓國股票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 Taiwan Stock Trading 適用於台灣交易**

- I/We have read and understand the Trading information and Risk Disclosure of Taiwan Stock Trading Services, and confirm that I/we accept use of personal data and the relevant associated risks.  
本人/吾等已閱讀及明白台灣股票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。
- I/We confirmed that the nationality (or place of incorporation, for corporate account) is not Taiwan or Mainland China ("PRC"). The registered address of account holder is not in Taiwan or PRC.  
本人/吾等確認國民身份 (或註冊地，適用於公司法人) 不是台灣或中國內地。登記地址不是台灣或中國內地。

### **Applicable to UK Stock Trading 適用於英國交易**

- I/We have read and understand the Trading information and Risk Disclosure of UK Stock Trading Services, and confirm that I/we accept use of personal data and the relevant associated risks.  
本人/吾等已閱讀及明白英國股票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 Canada Stock Trading 適用於加拿大交易**

- I/We have read and understand the Trading information and Risk Disclosure of Canada Stock Trading Services, and confirm that I/we accept use of personal data and the relevant associated risks.  
本人/吾等已閱讀及明白加拿大股票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 for All Markets 適用於所有市場交易服務**

- I/We do not have resident address / domicile / department in charge of truncations (including the principal, branch, agency or office) located in the relevant jurisdictions \*Japan / UK / USA / Singapore / Indonesia / South Korea / Taiwan / UK / Canada and I/We am/are not a citizen of relevant jurisdictions in \*Japan / UK / USA / Singapore / Indonesia / South Korea / Taiwan / UK / Canada, none of the departments of our company located in relevant jurisdictions \*Japan / UK / USA / Singapore / Indonesia / South Korea / Taiwan / UK / Canada (if any) is involved in the transactions in Emperor's account. I/We shall immediately inform Emperor if there is any change in status.  
本人/吾等的主要住處或居住地或負責交易的辦事處 (包括總公司、分行、代理商及辦公室) 不在相關適用地區 \*日本/英國/美國/新加坡/印尼/韓國/台灣/英國/加拿大 及 本人/吾等不是相關適用地區 \*日本/英國/美國/新加坡/印尼/韓國/台灣/英國/加拿大公民，本人/吾等所有在 \*日本/英國/美國/新加坡/印尼/韓國/台灣/英國/加拿大公民的部門 (如有) 都沒有涉及在英皇之戶口及相關適用地區投資產品的交易。如情況有變，本人/吾等會馬上通知英皇。

\* Please delete as appropriate 請刪去不適用者



- I/we hereby acknowledge and confirm that the I/we had authorized Emperor to deal with me/us funds and/or securities and/or securities collateral in accordance with the relevant part of the Terms and Conditions for Trading Account ("Standing Authority"). I/we acknowledge and confirm that the contents and effects of the relevant Standing Authority and hereby authorizes Emperor to have an absolute discretion to renew the relevant authorities.

本人／吾等謹此知悉及確認，已根據《客戶協議之條款及條件》內適用之「常設授權」部份，授權英皇處置本人／吾等的資金及／或證券及／或證券抵押品。本人／吾等已知悉及確認適用之常設授權的內容及作用，並已授權英皇有絕對酌情權延續有關授權。

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:
(RM/Staff)	(L & C Dept.)	
Date:	Date:	Date: