帝國國際証券有限公司
IMPERIUM INTERNATIONAL SECURITIES LIMITED

A/C No: _____

Client (A/C) Name: _____

A/C Opening Date: _____

AE Code: _____

ACCOUNT OPENING FORM (Individual / Joint Account)

帳戶開戶表（個人／聯名帳戶）

Account Type
帳戶類別

Account Type(s) 帳戶類別		Applicable terms and conditions in Client Agreement 適用於客戶協議之條款及條件
❑ Securities Account (Including Fund & Bond) 證券帳戶 （包括基金及債券）	❑ Cash Account 現金帳戶	Part 1, 2, 5, 6, 7, 9 and 10 第一、二、五、六、七、九及十部份
❑ Securities Account (Including US Stock) 證券帳戶 （包括美股）	❑ Margin Account 保證金帳戶	Part 1, 2, 3, 5, 6, 7, 9 and 10 第一、二、三、五、六、七、九及十部份
❑ Futures & Options Account 期貨及期權帳戶		Part 1, 2, 4, 6, 7, 9 and 10 第一、二、四、六、七、九及十部份
Additional Services 增設服務		
❑ Electronic Trading Services 電子交易服務		Part 8 第八部份
❑ Capital Investment Entrant Scheme (CIES) 資本投資者入境計劃 （投資移民）		Additional CIES Agreement 金融中介合約

Account Opening Documents Requirements
開戶文件要求

Documents 文件	Securities 證券		Futures & Options 期貨及期權
	Cash A/C 現金帳戶	Margin A/C 保證金帳戶	
Account Opening Form 帳戶開戶表	✓	✓	✓
Client Consent for Collection and Handling of Personal Data under HKIDR and OTCR 香港投資者識別碼制度及場外證券交易匯報制度 - 客戶資料收集及處理同意書	✓	✓	✓
Client Securities Standing Authority 客戶證券常設指示		✓	
Client Money Standing Authority 客戶款項常設指示		✓	✓
W-8Ben Form W-8Ben 表格 (for trading Funds, Bonds, Futures & Options 如交易基金、債券、期貨及期權)	✓	✓	✓
Identity Card/Passport Copy (with AE witness) 身份證／護照副本（由經紀見證）	✓	✓	✓
Residential Address Proof (recently 3 months) (PO Box is not accepted) 住址證明 （最近 3 個月）（不接受郵箱地址）	✓	✓	✓
Investment Risk Profiling Questionnaire (for subscription Funds & Bonds) 投資風險取向問卷 (如購買基金、債券)	✓	✓	

Non-face-to-face account opening:

1) If the account opening documents are not executed in the presence of an employee of Imperium International Securities Limited, the signing of the Account Opening Form and sighting of related identity documents should be certified by: (1) JP (Justice of the Peace); (2) Branch manager of a bank; (3) Certified public accountant; (4) Lawyer or notary public; (5) chartered secretary or
2) A personal cheque in favour of "Imperium International Securities Limited" for not less than HK$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared.
3) Bank account proof (for example, bank card or bank statement with printed full name of the client and bank account number) should be submitted with the above-mentioned documents.

非親身開立帳戶:

1) 如開戶文件並非在帝國國際証券有限公司的持牌僱員面前簽立，則帳戶開戶表的簽立，及有關的身分證明文件的見證，應由: (1) 太平紳士; (2) 銀行分行經理; (3) 執業會計師; (4) 律師或公證人; (5) 特許秘書加以驗證; 或
2) 於香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票，該支票的簽名及姓名須與本帳戶開戶表的客戶簽名及身分證明文件相符，而支票抬頭須為「帝國國際証券有限公司」。客戶的帳戶必須待支票兌現後才可使用。
3) 銀行帳戶證明（如印有客戶名字及銀行帳戶號碼的銀行提款卡或銀行帳單）需與上述文件一同遞交。

Account Opening Form (Individual/Joint Account)
帳戶開戶表 （個人客戶／聯名帳戶）

Name of Account Holder 帳戶持有人姓名		Account Nature 帳戶形式	❑ Individual Account 個人帳戶 ❑ Joint Account 聯名帳戶
AE Name 客戶主任姓名		Year to know this AE 與客戶主任認識年期	Year(s)(年)

How did you learn about Imperium International Securities Limited ("IISL")? 客戶從何認識帝國國際証券有限公司(簡稱「帝國國際証券」？

❑ I have received Imperium International Securities Limited's promotion materials and have expressly invited your Account Executive to contact me
本人收到帝國國際証券有限公司的資料後，主動邀請帝國國際証券有限公司的客戶主任與本人聯絡。

❑ Referral 親友介紹 ❑ Seminar 講座 ❑ Advertisement 廣告 ❑ Website 網站 ❑ Others (Please specify) 其他(請說明) _____

For Joint Account Only 只適用於聯名帳戶

Please read Clause 20.6 – Joint Account of Client Agreement Part 2 General Terms and Conditions.
請詳閱客戶協議書內第二部份的一般條款及條件第 20.6 條聯名帳戶。

1. We agreed that any **one** of the account holder(s) can authorized to give IISL oral or written instructions in relation to the purchase or sale of any securities or commodities of the Account.
吾等同意任何 **1** 位聯名帳戶持有人士獲授權向帝國國際証券發出有關本帳戶買賣之口頭或書面指示。
2. Also, any ____ of the account holder(s) can authorized to give IISL instructions to withdraw or transfer any monies, or securities or collateral in the Account.
再者，任何____位聯名帳戶持有人士獲授權向帝國國際証券發出有關本帳戶的款項、證券或抵押品之提取或轉移之指示。

Bank Account Information 銀行帳戶資料

Designated Bank 指定銀行	Name of Bank 銀行名稱			
	Account Name 帳戶名稱		Account Number 帳戶號碼	

Correspondence Method 通訊方法

(choose one only) (Correspondence Includes Trading Confirmation, Statement & Others relevant information)
（只選一項）（通訊包括交易確認及結單及其他相關資料）

❑ By email 電郵方式	❑ to the Primary Account Holder 主要帳戶持有人 ❑ to the Primary Account Holder and Secondary Account Holder 主要帳戶持有人及第二帳戶持有人
❑ By post 郵寄方式	❑ to the residential address of Primary Account Holder 寄往主要帳戶持有人之住宅地址 ❑ Postal Address* (If different from the Residential Address) 郵寄地址* （如與住宅地址不同）

*Postal Address

Please "✓" on the appropriate box. 請於適當的方格上加上「✓」。

1. Client Information 客戶資料 - Primary Account Holder 主要帳戶持有人

(a) Personal Information 個人資料

Title 稱謂	❑ Mr. 先生 ❑ Miss 小姐 ❑ Mrs. 太太 ❑ Mdm. 女士	Name 姓名	(English) / (中文)
Date of Birth 出生日期	DD 日/ MM 月/ YY 年	Marital Status 婚姻狀況	❑ Single 單身 ❑ Married 已婚 ❑ Others (Please specify) 其他 (請說明) _____
Place of Birth 出生地點	Country: 國家: City: 城市:	Nationality (Note 1) 國籍 (註 1)	
ID No./Passport No. 身份證號碼／護照號碼		Country of Issue 簽發國家	
Are you a U.S. citizen or resident? (Note 1) 客戶是否美國公民或居民？(註 1)	❑ Yes 是 ❑ No 否	Do you hold a U.S. Permanent Resident Card (Green Card)? (Note1) 客戶是否持有美國永久居民身分證 (綠卡)？(註 1)	❑ Yes 是 ❑ No 否
Education 教育程度	❑ Primary School or below 小學或以下 ❑ University 大學	❑ Secondary School 中學 ❑ Above University 大學以上	
Phone Number 電話	(Mobile 手提)	(Residential 住宅)	(Business 公司)
Email Address 電郵地址		Facsimile Number 傳真號碼	
Residential Address (P.O. Box will not be accepted) 住宅地址（郵箱地址恕不被接受）			

(b) Tax Information 稅務信息

Please enter tax information regards to your nationality or tax residency. If your work location belongs to another tax area, then you should also add tax information for that specific tax area. 請填寫單一或多個國籍所屬國家/地區的稅務信息。若現有工作所屬國家/地區與國籍不同，須額外添加工作所屬國家/地區的稅務信息。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong identity Card Number. 如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

	Tax Country/ Area 稅務國家/地區	Taxpayer Identification No. 稅務編號	Enter Reason A, B, C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain it if you have selected Reason B 如選取理由 B，請解釋
1				
2				
3				

Reason A - The jurisdiction where the account holder is a resident for tax purposed does not issue TINs to its residents. 理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

(c) Employment Information 就業資料

Employment Status 就業狀況	❑ Full-time 全職 ❑ Part-time 兼職 ❑ Retired 退休 ❑ Self Employed 自僱 ❑ Not Employed 非在職				
Employer's Name 僱主名稱					
Occupation (or Nature of Business) 職業 （或業務性質）		Position 職位		Year(s) of service 服務年期	Year(s) 年
Business Address 公司／業務地址					

(d) Financial Background 財務資料背景

Annual Income (in HK$) 年薪（港元）	❑ ≤ $200,000 ❑ $1,000,001 - $5,000,000	❑ $200,001 - $500,000 ❑ > $5,000,000	❑ $500,001 - $1,000,000 ❑ N/A 不適用
Source of Income 收入來源	❑ N/A 不適用 ❑ Dividend 股息 ❑ Salary 薪金 ❑ Interest 利息	❑ Commission 佣金 ❑ Investment Profit 投資利潤	❑ Rent 租金 ❑ Business Profit 商業利潤 ❑ Others (Please specify) 其他(請說明) _____
Net Asset Value (in HK$) 資產淨值（港元）	❑ ≤$200,000 ❑ $5,000,001 – $10,000,000	❑ $200,001 - $1,000,000 ❑ $10,000,001 - $15,000,000	❑ $1,000,001 – $5,000,000 ❑ > $15,000,000
Source of Fund 資金來源	❑ Investment gain 投資獲利 ❑ Inheritance 遺產承繼	❑ Salary 薪金 ❑ Others (Please specify) 其他 (請說明) _____	❑ Family 家人
Ownership of Residence 住宅業權	❑ Living with Family 與家人同住 ❑ Rented 租用	❑ Mortgaged^按揭^ ❑ Owned^自置^	**^Valuation of Property (in HK$) ^物業估值（港元）**

(e) Investment Experiences and Knowledge of Derivative Products 投資經驗及衍生產品認識

Investment Objective (can choose more than one) 投資目標 （可選多於一項）

❑ Conservation of capital 保本投資 ❑ Hedging 對沖 ❑ Speculative capital gain 投機性資本增值
❑ Long-term investment 長線投資 ❑ Short-term trading 短線買賣
❑ Others (Please specify) 其他（請說明）_____

Investment Experience (can choose more than one) 投資經驗 (可選多於一項)

Product 產品	Experience (in term of year) 經驗 （以年計算）					
	Nil 無	≤ 1	1-3	3-5	5-10	>10
Stocks 證券	❑	❑	❑	❑	❑	❑
Futures and Options 期貨及期權合約	❑	❑	❑	❑	❑	❑
Derivative Warrants 衍生認股證	❑	❑	❑	❑	❑	❑
Callable Bull/Bear Contract (CBBC) 牛熊證	❑	❑	❑	❑	❑	❑
Unit Trust/Mutual Funds 單位信託／互惠基金	❑	❑	❑	❑	❑	❑
Exchange Trade Fund (ETF) 交易所買賣基金	❑	❑	❑	❑	❑	❑
Fixed Income (bond) 固定收益證券（債券）	❑	❑	❑	❑	❑	❑
Others (Please specify) 其他（請說明） _____	❑	❑	❑	❑	❑	❑

Knowledge of Derivatives 衍生投資產品知識

❑ Nil" 沒有"
❑ I have executed 5 or more transactions in derivatives products within the past 3 years. 本人在過去 3 年內曾完成 5 宗或以上的衍生產品交易。
❑ My current or previous working experience relates to derivatives products. 本人現時或過往的工作經驗與衍生產品有關。
❑ I have undergone training or attended course on derivatives products. 本人曾接受衍生產品培訓或課程。

\# Client will be classified as having no relevant knowledge of derivative and structured investment products. Do you wish to trade derivatives and structured investment products?
客戶將被視作對衍生及結構性投資產品沒有認識。請問閣下是否仍有意買賣有關產品？
❑ Yes, You are advised to read carefully and be sure that you fully understand the relevant risks explained in the Risk Disclosure Statement. 是，請必須先仔細閱讀及完全明白有關衍生及結構性投資產品的風險披露聲明。
❑ No 否

(f) Disclosure of Related Account(s) 關連帳戶資料之披露

Identity Declaration
身份聲明

(i) Are you a SFC licensed or registered person or an employee of such person? (If Yes, please provide your employer's consent letter.) 客戶是否證監會之持牌或註冊人士之僱員？（如是，請提供客戶僱主的開戶同意書。） ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Name of licensed Corporation 持牌公司名稱**	
(ii) Are you an immediate relative to any employee or director of IISL or its Associates? 客戶是否與帝國國際証券或聯繫人士之僱員或董事有任何直系親屬關係？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Name of employee/director 僱員／董事姓名**	**Relationship 關係**
(iii) Does your spouse have a securities margin account with IISL? 客戶之配偶是否持有帝國國際証券的證券保證金帳戶？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Name of Spouse 配偶的姓名**	**A/C No. 帳戶號碼**
(iv) Do you control, either alone or with your spouse, 35% or more of the voting rights of another securities margin client of IISL? 客戶是否單獨或與配偶共同控制帝國國際証券其他證券保證金客戶百分之三十五或以上的投票權？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
(v) Are you an existing client of IISL? 客戶是否帝國國際証券的現有客戶？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
(vi) Are you acting on behalf of a third party (beneficial owner of the account) with another securities margin client of IISL (other than spouse)? 客戶是否與帝國國際証券的其他證券保證金客戶（配偶除外）共同代表同一第三方(實益擁有人)行事? ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
(vii) Do you act through another securities margin client of IISL (other than spouse) and are the beneficial owner of the others' account? 客戶是否透過其他帝國國際証券的證券保證金客戶行事（配偶除外）並且是該等其他證券保證金客戶的帳戶的實益擁有人? ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
(viii) Are you financially connected with another securities margin client of IISL (other than spouses) by guarantee arrangements? 客戶是否與帝國國際証券其他證券保證金客戶（配偶除外）藉擔保安排而在財務上有關聯？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
(ix) Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned enterprise and an important political party official? 客戶、客戶之配偶、伴侶、子女或父母，或客戶的子女的配偶或伴侶，或與客戶關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？ ❑ No 否 ❑ Yes. Please specify 是。請詳述		

2. For Joint Account Only 只適用於聯名帳戶
Client Information 客戶資料 - Secondary Account Holder 第二帳戶持有人

(a) Personal Information 個人資料

Title 稱謂	❑ Mr. 先生 ❑ Miss 小姐 ❑ Mrs. 太太 ❑ Mdm. 女士	Name 姓名	(English) (中文)
Date of Birth 出生日期	DD 日/ MM 月/ YY 年	Marital Status 婚姻狀況	❑ Single 單身 ❑ Married 已婚 ❑ Others (Please specify) 其他 (請說明) _____
Place of Birth 出生地點	Country: 國家: City: 城市:	Nationality (Note 1) 國籍 (註 1)	
ID No./Passport No. 身份證號碼／護照號碼		Country of Issue 簽發國家	
Are you a U.S. citizen or resident? (Note 1) 客戶是否美國公民或居民？(註 1)	❑ Yes 是 ❑ No 否	Do you hold a U.S. Permanent Resident Card (Green Card)? (Note1) 客戶是否持有美國永久居民身分證（綠卡）？(註 1)	❑ Yes 是 ❑ No 否
Education 教育程度	❑ Primary School or below 小學或以下 ❑ University 大學	❑ Secondary School 中學 ❑ Above University 大學以上	
Phone Number 電話	(Mobile 手提)	(Residential 住宅)	(Business 公司)
Email Address 電郵地址		Facsimile Number 傳真號碼	
Residential Address (P.O. Box will not be accepted) 住宅地址（郵箱地址恕不被接受）			

(b) Tax Information 稅務信息

Please enter tax information regards to your nationality or tax residency. If your work location belongs to another tax area, then you should also add tax information for that specific tax area. 請填寫單一或多個國籍所屬國家/地區的稅務信息。若現有工作所屬國家/地區與國籍不同，須額外添加工作所屬國家/地區的稅務信息。
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong identity Card Number. 如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

	Tax Country/ Area 稅務國家/地區	Taxpayer Identification No. 稅務編號	Enter Reason A, B, C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain it if you have selected Reason B 如選取理由 B，請解釋
1				
2				
3				

Reason A - The jurisdiction where the account holder is a resident for tax purposed does not issue TINs to its residents. 理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

(c) Employment Information 就業資料

Employment Status 就業狀況	❑ Full-time 全職 ❑ Part-time 兼職 ❑ Retired 退休 ❑ Self Employed 自僱 ❑ Not Employed 非在職				
Employer's Name 僱主名稱					
Occupation (or Nature of Business) 職業 （或業務性質）		Position 職位		Year(s) of service 服務年期	Year(s) 年
Business Address 公司／業務地址					

(d) Financial Background 財務資料背景				
Annual Income (in HK$) 年薪（港元）	❑ ≤ $200,000 ❑ $1,000,001 - $5,000,000	❑ $200,001 - $500,000 ❑ > $5,000,000	❑ $500,001 - $1,000,000 ❑ N/A 不適用	
Source of Income 收入來源	❑ N/A 不適用 ❑ Salary 薪金 ❑ Dividend 股息 ❑ Interest 利息	❑ Commission 佣金 ❑ Investment Profit 投資利潤	❑ Rent 租金 ❑ Business Profit 商業利潤 ❑ Others (Please specify) 其他(請說明) _____	
Net Asset Value (in HK$) 資產淨值 （港元）	❑ ≤$200,000 ❑ $5,000,001 – $10,000,000	❑ $200,001 - $1,000,000 ❑ $10,000,001 - $15,000,000	❑ $1,000,001 – $5,000,000 ❑ > $15,000,000	
Source of Fund 資金來源	❑ Investment gain 投資獲利 ❑ Inheritance 遺產承繼	❑ Salary 薪金 ❑ Others (Please specify) 其他 (請說明) _____	❑ Family 家人	
Ownership of Residence 住宅業權	❑ Living with Family 與家人同住 ❑ Rented 租用	❑ Mortgaged*按揭* ❑ Owned*自置*	* Valuation of Property **(in HK$)** 物業估值（港元）	

(e) Investment Experiences and Knowledge of Derivative Products 投資經驗及衍生產品認識			
Investment Objective **(can choose more than one)** **投資目標（可選多於一項）**	❑ Conservation of capital 保本投資 ❑ Long-term investment 長線投資 ❑ Others (Please specify) 其他（請說明） _____	❑ Hedging 對沖 ❑ Short-term trading 短線買賣	❑ Speculative capital gain 投機性資本增值

Investment Experience
(can choose more than one)
投資經驗
（可選多於一項）

Product 產品	**Experience (in term of year) 經驗 （以年計算）**					
	Nil 無	≤ 1	1-3	3-5	5-10	>10
Stocks 證券	❑	❑	❑	❑	❑	❑
Futures and Options 期貨及期權合約	❑	❑	❑	❑	❑	❑
Derivative Warrants 衍生認股證	❑	❑	❑	❑	❑	❑
Callable Bull/Bear Contract (CBBC) 牛熊證	❑	❑	❑	❑	❑	❑
Unit Trust/Mutual Funds 單位信託／互惠基金	❑	❑	❑	❑	❑	❑
Exchange Trade Fund (ETF) 交易所買賣基金	❑	❑	❑	❑	❑	❑
Fixed Income (bond) 固定收益證券 (債券)	❑	❑	❑	❑	❑	❑
Others (Please specify) 其他（請說明） _____	❑	❑	❑	❑	❑	❑

Knowledge of Derivatives
衍生投資產品知識

❑ Nil# 沒有#
❑ I have executed 5 or more transactions in derivatives products within the past 3 years. 本人在過去 3 年內曾完成 5 宗或以上的衍生產品交易。
❑ My current or previous working experience relates to derivatives products. 本人現時或過往的工作經驗與衍生產品有關。
❑ I have undergone training or attended course on derivatives products. 本人曾接受衍生產品培訓或課程。

Client will be classified as having no relevant knowledge of derivative and structured investment products. Do you wish to trade derivatives and structured investment products?
客戶將被視作對衍生及結構性投資產品沒有認識。請問閣下是否仍有意買賣有關產品？
❑ Yes, You are advised to read carefully and be sure that you fully understand the relevant risks explained in the Risk Disclosure Statement. 是，請必須先仔細閱讀及完全明白有關衍生及結構性投資產品的風險披露聲明。
❑ No 否

(f) Disclosure of Related Account(s) 關連帳戶資料之披露			
Identity Declaration **身份聲明**	(i) Are you a SFC licensed or registered person or an employee of such person? (If Yes, please provide your employer's consent letter.) 客戶是否證監會之持牌或註冊人士之僱員？(如是，請提供客戶僱主的開戶同意書。) ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Name of licensed Corporation 持牌公司名稱**	
	(ii) Are you an immediate relative to any employee or director of IISL or its Associates? 客戶是否與帝國國際証券或聯繫人士之僱員或董事有任何直系親屬關係？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Name of employee/director 僱員/董事姓名**	**Relationship 關係**
	(iii) Does your spouse have a securities margin account with IISL? 客戶之配偶是否持有帝國國際証券的證券保證金帳戶？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Name of Spouse 配偶的姓名**	**A/C No. 帳戶號碼**
	(iv) Do you control, either alone or with your spouse, 35% or more of the voting rights of another securities margin client of IISL? 客戶是否單獨或與配偶共同控制帝國國際証券其他證券保證金客戶百分之三十五或以上的投票權？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
	(v) Are you an existing client of IISL? 客戶是否帝國國際証券的現有客戶？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
	(vi) Are you acting on behalf of a third party (beneficial owner of the account) with another securities margin client of IISL (other than spouse)? 客戶是否與帝國國際証券的其他證券保證金客戶（配偶除外）共同代表同一第三方(實益擁有人)行事? ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
	(vii) Do you act through another securities margin client of IISL(other than spouse) and are the beneficial owner of the others' account? 客戶是否透過其他帝國國際証券的證券保證金客戶行事（配偶除外）並且是該等其他證券保證金客戶的帳戶的實益擁有人? ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
	(viii) Are you financially connected with another securities margin client of IISL (other than spouses) by guarantee arrangements? 客戶是否與帝國國際証券其他證券保證金客戶（配偶除外）藉擔保安排而在財務上有關聯？ ❑ No 否 ❑ Yes. Please specify 是。請詳述	**Account Name 帳戶名稱**	**A/C No. 帳戶號碼**
	(ix) Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned enterprise and an important political party official? 客戶、客戶之配偶、伴侶、子女或父母，或客戶的子女的配偶或伴侶，或與客戶關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？ ❑ No 否 ❑ Yes. Please specify 是。請詳述		

(g) Relationship with Primary Account Holder 與主要帳戶持有人的關係

❑ Immediate Family (e.g. Spouse) 直系親屬(e.g.配偶)Please specify 請註明:_____ ❑ Relatives 親屬 ❑ Friends 朋友 ❑ Others (Please specify) 其他(請說明)_____

3. Ultimate Beneficial Owner(s) of the Account 帳戶最終實益擁有人

I/We am/are the ultimate beneficial owner(s) of the account. 本人／吾等是該帳戶的最終實益擁有人。
❑ Yes 是 ❑ No, please specify 否，請註明

Name of Ultimate Beneficial Owner(s) 最終實益擁有人姓名	(English)		(中文)
HKID Card/Passport No. 香港身分證／護照號碼		Nationality (Note1) 國籍 (註 1)	
Residential Address 住宅地址			
Telephone No. 電話號碼		Relationship with Account holder(s) 與帳戶持有人關係	
Is/are the ultimate beneficial owner(s) a U.S. citizen or resident? (Note 1) 該最終實益擁有人是否美國公民或居民？ (註 1)	❑ Yes 是 ❑ No 否		
Is/are the ultimate beneficial owner(s) born in U.S.? (Note 1) 該最終實益擁有人是否在美國出生？(註 1)	❑ Yes 是 ❑ No 否		

4. Ultimate Originator(s) of all Transaction 最終帳戶交易指示發出者

I/We am/are ultimately responsible for all transaction instructed. 本人／吾等是最終帳戶交易指示發出者。

❑ Yes 是 ❑ No, please specify 否，請註明

Name of Ultimate Originator(s) of Transaction 最終帳戶交易指示發出者姓名	(English)		(中文)
HKID Card/Passport No. 香港身分證／護照號碼		Nationality (Note1) 國籍 (註1)	
Residential Address 住宅地址			
Telephone No. 電話號碼		Relationship with Account holder(s) 與帳戶持有人關係	
Is/are the ultimate originator(s) of transaction a U.S. citizen or resident? (Note 1) 該最終帳戶交易指示發出者是否美國公民或居民？(註1)	❑ Yes 是 ❑ No 否		
Is/are the ultimate originator(s) of transaction born in U.S.? (Note 1) 該最終帳戶交易指示發出者是否在美國出生？ (註1)	❑ Yes 是 ❑ No 否		

Note 1 註 1

If the information provided by the Client indicates any "U.S. Indicia" as below: 如果客戶所提供的資料，有以下任何一項「美國指標」：

(1) The Client is a U.S. citizen or resident; 客戶為美國公民或居民；
(2) The Client was born in U.S.; 客戶在美國出生；
(3) The Client holds a current U.S. mailing, residential address (including a U.S. post office box); 客戶現時擁有美國的郵寄地址、住宅地址（包括美國郵政信箱）；
(4) The Client holds a current U.S. telephone number; 客戶現時擁有美國的電話號碼；
(5) The Client requests Standing instructions to transfer funds to an account maintained in the U.S.; 客戶要求以常設授權方式，匯款往一個在美國開立的帳戶；
(6) Any of the Directors and/or Authorized Person(s) of the Client holds a U.S. address; or 帳戶的任何董事及／或獲授權人士擁有美國地址；或
(7) The Client uses an "in-care-of" or "hold mail" address as his/her sole address. 客戶以一個代收或代存郵件地址作為其唯一地址。

Then, please choose any one of the following options to declare the U.S. or non-U.S. status of the Client, the ultimate beneficial owner of the account or ultimate originator(s) of all transaction.
請客戶、帳戶之最終實益擁有人或最終帳戶交易指示發出者選擇以下其中一項，申報其美國人或非美國人身份。

a. If the Client, the ultimate beneficial owner of the account or ultimate originator(s) of all transaction holds a U.S. citizenship or lawful permanent resident (green card) status, whether he/she was born in U.S., please complete Form W-9 to establish U.S. status.
如客戶、帳戶之最終實益擁有人或最終帳戶交易指示發出者擁有美國公民或美國合法永久居民（綠咭）身份，不論其是否在美國出生，請填寫 W-9 表格確立美國人身份。

b. If the Client, the ultimate beneficial owner of the account or ultimate originator(s) of all transaction does NOT hold a U.S. citizenship or lawful permanent resident (green card) status, but has any of the U.S. indicia (2) to (7), please
如客戶、帳戶之最終實益擁有人或最終帳戶交易指示發出者並無擁有美國公民或美國合法永久居民（綠咭）身份，但擁有上述(2)至(7)項美國指標，請
   (i) complete Form W-8 and provide a non-U.S. passport or other similar government issued evidence establishing his/her citizenship in a country other than the U.S., and
   填寫 W-8 表格及提供非美國護照或其他由政府發出的證明文件以確立非美國人身份；及
   (ii) if the Client, the ultimate beneficial owner of the account or ultimate originator(s) of all transaction was born in U.S., please provide the copy of the form "Certificate of Loss of Nationality of the United States" or written explanation regarding his/her relinquishment of U.S. citizenship or reason why he/she did not obtain U.S. citizenship at birth.
   如客戶、或帳戶之最終實益擁有人或最終帳戶交易指示發出者在美國出生，請提供表格 "Certificate of Loss of Nationality of the United States" 的副本，或書面解釋有客戶、或帳戶之最終實益擁有人或最終帳戶交易指示發出者放棄美國公民身份或沒有取得美國公民身份的原因。

c. If the Client, the ultimate beneficial owner of the account or ultimate originator(s) of all transaction does NOT have any U.S. indicia above, no W-8 or W-9 forms are required.
如客戶、帳戶之最終實益擁有人或最終帳戶交易指示發出者並無擁有上述任何美國指標，則不用填寫 W-8 或 W-9 表格。

5. Client Acknowledgement and Consent 客戶確認及承諾

I/We agree to open the above account(s) with Imperium International Securities Limited ("IISL") on the Terms and Conditions as set out in the Client Agreement applicable to the type of account(s) that I/we agree to open. I/We hereby acknowledge receipt of a copy of the Client Agreement and confirm that I/we have read and understood such terms and conditions. By signing this part, I/we declare and confirm that:
本人／吾等同意並根據客戶協議書內適用於本人／吾等所選擇服務帳戶之條款及條件於帝國國際証券有限公司（簡稱「帝國國際証券」）開設以上帳戶。本人／吾等確認本人／吾等已收到一份客戶協議書，並閱讀及明白有關類別帳戶之一切條款及條件。本人／吾等簽署此部份，表示本人／吾等聲明及確認如下：

a. I/We hereby confirm that the information provided in this Account Opening Form is complete, true and accurate. IISL is entitled to rely fully on such representations and information for all purposes, unless I/we inform IISL in writing of any change to that information. IISL is authorized to contact anyone, including my/our bankers, brokers or any credit agencies, for the purpose of verifying the information provided in this Account Opening Form.
本人／吾等確認本人／吾等所提供的所有資料均屬完整、真實及正確。帝國國際証券有權在任何用途上完全依賴這些資料及陳述，除非本人／吾等另行以書面通知帝國國際証券有任何資料更改，帝國國際証券有權聯絡客戶之銀行、經紀或任何信貸機構作核實本帳戶開戶表之用途。

b. I/We acknowledge that I/We have received and understood the contents of Trading Facts/Contracts Specification and Trading Rules and Regulations of different futures products provided by IISL and fully understand the margin policy and the circumstances under which the positions may be closed without my/our consent.
本人／吾等確認收到並了解有關各類帝國國際証券提供合約產品的買賣一覽表／合約細則和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本人／吾等同意而可將本人／吾等買賣平倉之情況。

c. I/We acknowledge that I/we have read and understood the contents of the "Risk Disclosure Statements" as referred to in Part 10 of Client Agreement, in particular I/we fully understood the nature and risks associated with derivative product(s) as mentioned in Part 10 of Client Agreement. Although I/we might not have relevant derivatives product(s) trading experience, I/we may still base on the own independent judgment of me/us to request for entering into transaction(s) of derivative product(s) and would take all risks associated.
本人／吾等確認本人／吾等已閱讀及明白客戶協議書內「第十部份 風險披露聲明」的一切內容，尤其本人／吾等已完全了解第十部份當中提及衍生產品之性質及相關風險。儘管本人／吾等可能並沒有相關衍生產品交易經驗，本人／吾等可基於本人／吾等獨立判斷仍要求衍生產品交易。本人／吾等願意承擔所有相關衍生產品的風險。

d. I/We further declare that the account(s) was/were opened at my/our free will and IISL's account executive and/or associate or employee has not carried on any unsolicited calls on me/us.
本人／吾等進一步聲明本人／吾等訂立任何契約時是在絕對自願情況下開設戶口，而帝國國際証券的客戶主任及／或其夥伴及／或僱員並沒有對本人／吾等作出任何未經邀約之造訪行為。

e. In compliance with the requirements under Foreign Account Tax Compliance Act ("FATCA") or any other Foreign Law Requirement, I/we agree and authorize that IISL, according to Part 9 of Client Agreement, is entitled to withhold and deduct any payment or funds (may be subject to 30% of the gross proceeds and/or any other amount as required by IRS from time to time) under my/our accounts are required at IISL's sole and absolute discretion in order to comply with and meet its obligations under FATCA or any other Foreign Law Requirement. In any event, I/we confirm that IISL shall not be liable for any loss or damages in relation to the withholding or deduction in this matter.
為遵從《海外帳戶稅收合規法案》("FATCA") 及其他海外法規人／吾等同意並授權帝國國際証券可根據客戶協議書的「第九部份」，享有唯一及絕對的酌情權，從本人／吾等的帳戶中，預留或扣除任何款項（可高達總交易金額的 30%及／或由美國國稅局不時要求的其他金額），以及收取任何由該預扣款項所衍生的費用。本人／吾等確認，在任何情況下，帝國國際証券將不會為任何因稅收合規法案要求下預扣或扣除款項，所引致的損失及損害負上責任。

f. I/We further undertake to fully indemnify IISL against any loss, damages and cost suffered by IISL as a result of me/us providing misleading or false information or otherwise failing to comply with any requirement under FATCA and any other Foreign Law Requirement.
本人／吾等並承諾，如因本人／吾等提供含誤導成分或錯誤的資料，或並無遵守海外帳戶稅收合規法案及任何其他外國法規的情況下，招致帝國國際証券的任何損失、損害或開支，本人／吾等會向帝國國際証券作出彌償。

g. I/We acknowledge and confirm that I/we have read and understood the Notice to Clients Relating to the Personal Data (Privacy) Ordinance as set out in Part 7 of Client Agreement. Unless I/we do not agree to the use of my/our personal data for direct marketing by taking the box below, I/we acknowledge and consent to the use and/or transfer of my/our personal data for direct marketing as set out in the Notice to Client Relating to the Personal Data (Privacy) Ordinance.
本人／吾等確認本人／吾等已閱讀並明白客戶協議書內第七部份有關個人資料（私隱）條例客戶通知。除非本人／吾等剔選以下方格以表示不同意本人／吾等的個人資料為直接促銷之目的而被使用，本人／吾等確認並同意根據以上有關個人資料（私隱）條例客戶通知為直接促銷之目的而使用及／或轉移本人／吾等的個人資料。

h. In case I execute this Account Opening Form not before a IISL licensed representative, or in case I execute this Account Opening Form in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I confirm that I am aware that (i) IISL will contact me via telephone call ("Follow-up Call") to explain to me the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting me to trade under any account to be opened under this Account Opening Form and (ii) if I do not confirm that I fully understand and accept the relevant risks during such Follow-up Call, I can immediately withdraw this Account Opening Form and have this Account Opening Form and supporting documents returned to me.
若本人並非在一名帝國國際証券持牌代表面前簽署此帳戶開戶表，或本人在適用法律及／或監管規定准許的情況下根據非親身開戶程序簽署此帳戶開戶表，本人確認本人知悉(i)在本人獲准在根據此帳戶開戶表開立的帳戶內進行交易前，帝國國際証券將會電話聯絡本人（「跟進電話」）以解釋風險披露聲明及風險披露資料（若適用）；(ii)若本人在跟進電話中不確認本人完全明白並接受有關的風險，本人可以立刻取消有關申請並取回此帳戶開戶表及相關證明文件。

Personal Information Collection Statement – Direct Marketing 個人資料收集聲明 – 直接促銷

In respect of use of your data, including name, address, email and telephone number for Direct Marketing purposes, if you disagree with using any kind of your personal data or for any kind of means of transmission, please indicate your objection before signing this form by ticking the box below:
有關使用閣下的個人資料，包括姓名、地址、電郵及電話，為直接促銷推廣活動之用途，如果閣下／吾等不同意使用或傳輸閣下的個人資料，請閣下／吾等在簽署此表格前在下面的空格內加上「✓」為表示閣下反對：

❑ Opt out box – I/We object to the proposed use of my personal data in direct marketing
加入我們拒絕服務名單 – 本人／吾等反對將我的個人資料作為直接促銷推廣活動之用途

At any time in the future, in respect of Direct Marketing, you may also inform our Customer Service Department if you wish to opt-out of our use of your personal data for any of the Direct Marketing purposes.
在將來任何情況下，如閣下／吾等希望閣下的個人資料加入我們拒絕服務名單，閣下／吾等可聯絡我們的客戶服務部。

Client's Signature & Specimen 客戶簽署及簽名樣式

Primary Account Holder 主要帳戶持有人	**Secondary Account Holder 第二帳戶持有人**
Name of Client 客戶姓名 :	Name of Client 客戶姓名 :
Date 日期 : DD 日/ MM 月/ YY 年	**Date 日期** : DD 日/ MM 月/ YY 年
Witness by 見證人簽署:	**Witness by 見證人簽署:**
Name of Licensed Representative 持牌代表姓名 :	Name of Licensed Representative 持牌代表姓名 :
Date 日期 : DD 日/ MM 月/ YY 年	**Date 日期** : DD 日/ MM 月/ YY 年

6. Declaration by Representative of Imperium International Securities Limited 由帝國國際証券有限公司之代表作出聲明

I, _____ (name of representative) with SFC CE No. _____, have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the Disclaimers and the Risk Disclosure Statement to _____ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.
本人_____（持牌代表姓名）於證監會之中央編號：_____，經以他／他們明白的語言，向_____（客戶姓名），邀請其閱讀，提出問題及徵求獨立意見（如客戶有此意願），並已全部清楚解釋協議書內容，當中包括，但不限於本帳戶開戶表、免責聲明及風險披露聲明書內的內容。

I confirm and declare as follows:
本人確定並聲明如下：

- I have explained and witnessed the Client reading and executing the Agreement including the General Terms and Conditions and the applicable Parts.
  本人已向客戶解釋及見證客戶閱讀並簽立本協議書的一般條款及包括適用部分。
- I provided this Agreement to the Client, referred the Client to the risk disclosure statements in this Agreement which are in the English or Chinese language being the language of the Client's choice.
  本人已向客戶提供本協議書，並以客戶所選擇的語言（英文或中文）向其提述本協議書內的風險披露聲明。
- I invited the Client to read the risk disclosure statements, ask questions and take independent advice (if the Client wishes).
  本人已邀請客戶閱讀該等風險披露聲明、提出問題並聽取獨立意見（如客戶希望的話）。
- I declare that I have not made unsolicited call(s) to induce or attempt to induce the Client name above to enter into agreement for trading securities, futures and options, with regards to the relevant regulatory requirements in section 174 of Securities and Futures Ordinance.
  本人聲明，已遵從證券及期貨條例第174條的相關規定，沒有進行未獲邀約的造訪而誘使上述客戶訂立有關證券、期貨及期權交易之協議。

Signed by Licensed Representative 持牌代表簽署	
×	
Date 日期 : DD 日/ MM 月/ YY 年	

Acknowledged and accepted by an authorized signatory(ies) for and on behalf of Imperium International Securities Limited 經由帝國國際証券有限公司之授權代表確認及接納

Securities 證券	**Futures & Options 期貨及期權**
Authorized Signature(s) 授權代表簽署	**Authorized Signature(s) 授權代表簽署**
×	×
Name of Authorized Person 授權代表姓名 :	**Name of Authorized Person 授權代表姓名** :
Date 日期 : DD 日/ MM 月/ YY 年	**Date 日期** : DD 日/ MM 月/ YY 年

Client Consent for Collection and Handling of Personal Data under Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)
香港投資者識別碼制度及場外證券交易匯報制度 - 客戶資料收集及處理同意書

You acknowledge and agree that Imperium International Securities Limited ("IISL") may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong ("SEHK") and for complying with the rules and requirements of SEHK and the Securities and Futures Commission ("SFC") in effect from time to time. Without limiting the foregoing, this includes –
閣下明白並同意，帝國國際証券有限公司（「帝國國際証券」）為了向 閣下提供與在香港聯合交易所（「聯交所」）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（「證監會」）的規則和規定，帝國國際証券可收集、儲存、處理、使用、披露及轉移與 閣下有關的個人資料（包括 閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括——

A. disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移 閣下的個人資料（包括客戶識別信息及券商客戶編碼）；

B. allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
允許聯交所：(i)收集、儲存、處理及使用 閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及

C. allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements; and
允許證監會：(i)收集、儲存、處理及使用 閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

D. providing BCAN to Hong Kong Securities Clearing Company Limited ("HKSCC") allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, SFC, SEHK and any other parties involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purposes set out in the IPO issuer's prospectus.
向香港中央結算有限公司（「香港結算」）提供券商客戶編碼以允許香港結算: (i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於 閣下的客戶識別信息，及向發行人的股份過戶登記處轉移 閣下的客戶識別信息，以便核實 閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存 閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移 閣下的客戶識別信息，以便處理 閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.
閣下亦同意，即使 閣下其後宣稱撤回同意， 帝國國際証券在 閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移 閣下的個人資料以作上述用途。

Failure to provide IISL with your personal data or consent as described above may mean that IISL will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).
閣下如未能向帝國國際証券提供個人資料或上述同意，可能意味著帝國國際証券不會或不能夠再（視情況而定） 執行 閣下的交易指示或向 閣下提供證券相關服務，惟出售、轉出或提取 閣下現有的證券持倉（如有）除外。

Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.
備註：本條文所述的"券商客戶編碼"及"客戶識別信息"具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

Client Signature 客戶簽署

☜

Client Name 客戶姓名 : _____

Account No. 帳戶號碼 : _____

Date 日期 : _____

For Margin Securities Account only
只適用於保證金證券帳戶

Client Securities Standing Authority 客戶證券常設授權

To: Imperium International Securities Limited ("the Company") 帝國國際証券有限公司 （簡稱「帝國國際証券」）
Room 2603A, 26/F, One Harbour Square, 181 Hoi Bun Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘海濱道 181 號 One Harbour Square 26 樓 2603A 室

Standing Authority under Securities & Futures (Client Securities) Rules
根據《證券及期貨（客戶證券）規則》所設立的常設授權

This standing authority is in respect of the treatment of my/our securities or securities collateral as set out below:
本授權書是有關處置本人／吾等證券或證券抵押品，詳列如下：

Unless otherwise defined, all the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.
除非另有說明，本常設授權之名詞與《證券及期貨條例》和《證券及期貨（客戶證券）規則》不時修訂之定義具有相同意思。

This standing authority authorizes the Company to:
本常設授權書授權帝國國際証券：

(1) apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
依據證券借貸協議運用任何本人／吾等的證券或證券抵押品；

(2) deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to the Company;
將任何本人／吾等的證券抵押品存放於認可財務機構，作為該機構向帝國國際証券提供財務通融之抵押品；

(3) deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of its settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of its obligations and liabilities;
將任何本人／吾等的證券抵押品存放於香港中央結算有限公司（「香港結算」），作為解除帝國國際証券在交收上的義務和清償帝國國際証券在交收上的法律責任的抵押品。本人／吾等明白香港結算因應帝國國際証券的責任和義務而對本人／吾等的證券設定第一固定押記；

(4) deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of its settlement obligations and liabilities; and
將任何本人／吾等的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除帝國國際証券在交收上的法律責任的抵押品；及

(5) apply or deposit any of my/our securities collateral in accordance with paragraphs (1),(2),(3) and/or (4) above if the Company provides financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which the Company is licensed or registered.
如帝國國際証券在進行證券交易及帝國國際証券獲發牌或獲註冊進行任何其他受規管活動的過程中向本人／吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及／或第(4)段所述運用或存放任何本人／吾等的證券抵押品。

The Company may do any of these things without giving me/us notice. I/We acknowledge that this standing authority shall not affect the right of the Company to dispose or initiate a disposal by its Affiliates of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to the Company, its Affiliates or a third person.
帝國國際証券可不向本人／吾等發出通知而採取上述行動。本人／吾等確認本常設授權不影響帝國國際証券為解除由本人／吾等或代本人／吾等對帝國國際証券、帝國國際証券之聯營公司或第三者所負的法律責任，而處置或促使帝國國際証券的聯營公司處置本人／吾等之證券或證券抵押品的權利。

This authority is given to the Company in consideration of its agreeing to continue to maintain the securities margin account(s) for me/us.
此賦予帝國國際証券之授權乃鑑於帝國國際証券同意繼續維持本人／吾等之證券保證金帳戶。

I/We understand that a third party may have rights to my /our securities, which the Company must satisfy before my/our securities can be returned to me/us.
本人／吾等明白本人／吾等的證券可能受制於第三者之權利，帝國國際証券須全數抵償該等權利後，方可將本人／吾等的證券退回給本人／吾等。

This authority is valid for a period of not more than 12 months from the date of this letter.
本授權書之有效期為不多於12個月，自本授權書之日起計有效。

This Authority is valid for a period of 12 months from the date of this letter. I/We understand that this Authority shall be deemed to be renewed on a continuing basis for another year without my/our written consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of this Authority, and I/we do not object to such deemed renewal before such expiry date. This Authority may be revoked by me/us at any time by serving you a written notice to that effect. Such revocation shall not take effect until 2 business days subsequent to the actual receipt by you of such written notice and shall not affect any transactions undertaken by you pursuant to this Authority prior to such revocation taking effect.
本授權由本函簽發之日起十二個月內有效。本人／我們明白，若貴公司於本授權的有效期屆滿前十四天或以前，向本人／我們發出書面通知，提醒本人／我們本授權即將屆滿，而本人／我們並沒有在本授權屆滿前對此授權續期作出反對，則本授權應當作在不需要本人／我們的書面同意下按持續的基準被續期一年。本人／我們可於任何時候以書面通知貴公司以撤銷本授權。本授權將於貴公司正式收到該書面通知後兩個工作天後正式撤銷。然而在此撤銷正式生效前，所有貴公司按本授權所達成的任何交易均不受該項撤銷所影響。

This authority and the repledging practice of the Company have been explained to me/us and I/we understand and agree to the contents of this letter. In the event of any difference in interpretation or meaning between the Chinese and English version of this letter, I/we agree that the English version shall prevail.
此授權書已經向本人／吾等解釋及說明，而本人／吾等完全明白和同意此授權書的內容。倘若本常設授權的中文本與英文本在釋義或涵義方面有任何歧義，本人／吾等同意應以英文本為準。

Client Signature 客戶簽署

☜

Client Name
客戶姓名 : _____

Account No.
帳戶號碼 : _____

Date
日期 : _____

Client Money Standing Authority 客戶款項常設授權書

To: Imperium International Securities Limited ("the Company") 帝國國際証券有限公司 （簡稱「帝國國際証券」）
Room 2603A, 26/F, One Harbour Square, 181 Hoi Bun Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘海濱道 181 號 One Harbour Square 26 樓 2603A 室

Standing Authority under Securities and Futures (Client Money) Rules
根據《證券及期貨（客戶款項）規則》所設立的常設授權

This standing authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my/our behalf (the "Monies").
本授權涵蓋貴公司為本人／我們在香港收取或持有並存放於一個或多個獨立帳戶內之款項（包括因持有並非屬於貴公司之款項而產生之任何利息）（下稱「款項」）。

Unless otherwise defined or the context requires otherwise, all the terms used in this standing authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.
除另有界定或文義另有所指外，本授權內之所有名詞，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涵義。

This Standing Authority authorizes the Company to, in your sole discretion and without having to provide me/us with any prior notice or to obtain any prior confirmation and/or direction from me/us, to:
本授權授權貴公司按其酌情權，並在毋須事前給予本人／我們任何通知或取得本人／我們的確認及／或指示的情況下：

(1) combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by the Company for the purpose of satisfying my/our obligations or liabilities to the Company, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several;
合併或綜合貴公司，即帝國國際証券以任何名義所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，以履行本人／我們對帝國國際証券任何成員公司的義務或法律責任，無論此等義務或法律責任為確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；

(2) transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company;
從帝國國際証券於任何時間維持的任何獨立帳戶之間來回調動任何數額之款項；

(3) transfer any sum of Monies interchangeable between any of the segregated accounts maintained at any time by the Company and any segregated accounts maintained with counter-broker (whether in Hong Kong or overseas) upon or before any instructions have been given, for the purpose of satisfying margin requirement and/or settlement requirement (if applicable);
在指示發出或之前，從帝國國際証券於任何時間維持的任何獨立帳戶及於交易對手（不論香港或海外）維持的任何獨立帳戶，來回調動任何數額之款項，以履行保證金及／或交收要求（如適用）；

(4) keep my/our Monies with overseas clearing firm(s) or broker(s) after trading to facilitate future trading or to transfer my/our Monies interchangeably between the segregated account(s) opened and maintained by you in Hong Kong and the segregated account(s) opened and maintained by you with any overseas clearing firm(s) or broker(s) outside Hong Kong; and
於完成交易後，將本人／我們之款項存放於海外清算行或券商，以便日後之交易，或將本人／我們之款項於貴公司於香港開立及維持之獨立帳戶及在貴公司於任何海外清算行或券商開立及維持之獨立帳戶之間交替地轉移；及

(5) convert my/our Monies into any other currency(ies) upon or before any instructions have been given, for the purpose of satisfying margin requirement and/or settlement requirement (if applicable).
在指示發出或之前，將本人／我們的款項兌換至任何其他貨幣，以履行保證金及／或交收要求（如適用）。

(6) This Authority is given to the Company in consideration of its/ their agreeing to continue to maintain the relevant trading/ loan account(s) for me/us.
此賦予上述公司之授權乃鑑於該（等）公司同意繼續維持本人／我們之相關交易／循環貸款帳戶。

This Authority is given without prejudice to other authorities or rights which the Company may have in relation to dealing in the Monies in the segregated accounts.
此賦予貴公司之授權並不損害帝國國際証券有關處理該等獨立帳戶內款項的其他授權或權利。

This Authority is valid for a period of 12 months from the date of this letter. I/We understand that this Authority shall be deemed to be renewed on a continuing basis for another year without my/our written consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of this Authority, and I/we do not object to such deemed renewal before such expiry date. This Authority may be revoked by me/us at any time by serving you a written notice to that effect. Such revocation shall not take effect until 2 business days subsequent to the actual receipt by you of such written notice and shall not affect any transactions undertaken by you pursuant to this Authority prior to such revocation taking effect.
本授權由本函簽發之日起十二個月內有效。本人／我們明白，若貴公司於本授權的有效期屆滿前十四天或以前，向本人／我們發出書面通知，提醒本人／我們本授權即將屆滿，而本人／我們並沒有在本授權屆滿前對此授權續期作出反對，則本授權應當作在不需要本人／我們的書面同意下按持續的基準被續期一年。本人／我們可於任何時候以書面通知貴公司以撤銷本授權。本授權將於貴公司正式收到該書面通知後兩個工作天後正式撤銷。然而在此撤銷正式生效前，所有貴公司按本授權所達成的任何交易均不受該項撤銷所影響。

In the event of any difference in interpretation or meaning between the English and Chinese version of this Authority, the English version shall prevail. I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.
如本授權中、英文本之解釋或意思有任何歧義，概以英文本為準。 本人／我們確認本人／我們就本授權的內容已獲得解釋，並且完全明白本授權的內容，或本人／我們已經或曾被賦予機會，就本授權內容及效力尋求法律顧問的意見。

Client Signature 客戶簽署

☜

Client Name
客戶姓名 : _____

Account No.
帳戶號碼 : _____

Date
日期 : _____

Personal Information Collection Statement concerning Northbound China Connect Orders
關於中華通北向交易指示的個人信息收集聲明

Processing of Personal Data as part of the Stock Connect Northbound Trading
處理個人資料作為中華通北向交易的一部分

You acknowledge and agree that in providing our China Connect Northbound Trading Service to you, Imperium International Securities Limited ("IISL") will be required to:
閣下知悉及同意在帝國國際証券有限公司（「帝國國際証券」）向閣下提供中華通北向交易服務時，帝國國際証券將被要求：

(i) tag each of your orders submitted to the China Connect System ("CCS") with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with IISL, as appropriate; and
須對閣下每一個提交到中華通交易系統的交易指示附加一個券商客戶編碼（券商客戶編碼），而該等券商客戶編碼是唯一的並編配予每一位客戶或每一位聯名證券帳戶（如適用）；及

(ii) provide to the Stock Exchange of Hong Kong Limited ("SEHK") your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the SEHK may request from time to time under the Rules of the Exchange.
向香港聯合交易所有限公司（『聯交所』）提供已經編配給閣下的券商客戶編碼及相關客戶識別信息（『客戶識別信息』），聯交所可根據＜交易所規則＞而不時提出要求。

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our China Connect Northbound Trading Service, including as follows:
在不局限帝國國際証券就處理與閣下帳戶及向閣下提供服務收集到的個人資料所發出的任何通知或從閣下已取得的任何同意書之內容的原則下，閣下確認及同意帝國國際証券作為提供中華通北向交易服務的一部分，可以收集、儲存、使用、披露和轉移閣下個人資料，包括以下內容：

(a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CCS, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
不時向聯交所及聯交所子公司披露和轉移閣下的券商客戶編碼及客戶識別信息，包括在中華通交易系統輸入交易指示時標明閣下的券商客戶編碼，並進一步實時發送到相關中華通市場營運者；

(b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via Hong Kong Exchange and Clearing Limited ("HKEX") for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
同意各交易所及聯交所子公司：(i) 收集、使用及儲存閣下的券商客戶編碼、客戶識別信息及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證及配對後的券商客戶編碼與客戶識別信息（信息由相關中華通結算機構或香港交易及結算所有限公司保存）；(ii) 為符合下文(c)及(d) 規定的目的，不時將有關資料（直接或透過相關中華通結算機構）轉移給中華通市場營運者；(iii) 向在香港的相關監管機構及執法機構披露有關資料，以促進其香港金融市場法定職能的履行；

(c) to allow the relevant China Connect Clearing House to : (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANS and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
同意相關中華通結算機構(i) 收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，以便券商客戶編碼與客戶識別信息的合併、驗證以及將此等信息與其本身的投資者身份數據庫進行配對，並將此等經合併、驗證及配對的券商客戶編碼與客戶識別信息提供給相關中華通市場營運者、聯交所和聯交所子公司；(ii) 使用閣下的券商客戶編碼與客戶識別信息來協助其履行證券帳戶管理的監管職能；及(iii) 向有管轄權的中國內地監管機構及執法機構披露有關資料，以助其內地金融市場的監控、監察及執法職能的履行；

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory surveillance and enforcement functions with respect to the Mainland financial markets.
同意相關中華通市場營運者(i) 收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，通過使用中華通服務及執行相關中華通市場營運者的規則，以助其中華通市場的監測監控；及(ii) 向內地的監管機構及執法機構披露有關資料，以助其內地金融市場的監管、監察及執法職能的履行；

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the China Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.
如閣下向帝國國際証券發出關於中華通證券交易指示，即表示閣下確認並同意，為符合中華通北向交易相關而不時更新的聯交所要求及規則，帝國國際証券可以使用閣下的個人資料。閣下也知悉，儘管閣下隨後可表示撤回同意，但閣下的個人資料可繼續被儲存、使用、披露、轉移及以其他方式處理，以用於上述目的，無論是在此撤回同意之前或之後。

Consequences of failing to provide Personal Data or Consent 客戶未能提供個人資料或客戶同意書的後果

Failure to provide us with your personal data or consent as described above may mean that IISL will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.
如閣下未能向帝國國際証券提供上述個人資料或作出上述同意，即帝國國際証券將不能或不能再執行閣下的交易指示（視情況而定）或向閣下提供滬港通北向交易服務。

Acknowledgement and Consent 確認和同意

I/We acknowledge I/we have read and understand the consent of the "Personal Information Collection Statement" of IISL. By ticking the box below, I/we signify my consent for IISL to use my/our personal data on the terms of and for the purposes set out in the "Personal Information Collection Statement".
本人／吾等確認本人／吾等已經閱讀並了解帝國國際証券的『個人資料收集聲明』的內容。通過勾選下面的方框，本人／吾等同意帝國國際証券將本人／吾等之個人資料用於『個人資料收集聲明』條文所載的目的。

❑ ***I/We agree to IISL's use of my/our personal data for the purposes set out in the "Personal Information Collection Statement".***
本人／吾等同意帝國國際証券將本人／吾等之個人資料用於『個人資料收集聲明』內所載的目的。

Client Signature 客戶簽署

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Client Name
客戶姓名 : _____

Account No.
帳戶號碼 : _____

Date
日期 : _____