

**US Stock 美國股票期權確認書  
Options Confirmation**

客戶號碼 Account No : \_\_\_\_\_

客戶名稱 Client' s Name : \_\_\_\_\_

1. 客戶不得沽空美國股票期權 ( 即持有短倉 ) · 沽出備兌認購期權除外。  
Clients shall not short sell US stock options (i.e. holding any short positions), other than covered call writing.
2. 客戶必須於股票期權到期日三個交易日前完成長倉平倉。  
Clients must close out all long positions three trading days before the expiration date of stock options.
3. 致富證券有限公司(「本公司」)保留在股票期權到期日前三個交易日內· 因應市況隨時為客戶平倉之權利。  
Chief Securities Limited ( "CHIEF" ) reserves the right to close positions for clients at any time within three trading days before the expiration date of stock options in response to market conditions.
4. 客戶如因任何理由未能在股票期權到期日前平倉· 本公司將擁有全權決定行使客戶股票期權持倉。本公司將收取客戶行使該期權時購入正股之所需費用、所有行使費用、行政費用及其他相關收費。  
If clients fail to close positions before the expiration date of the stock options for any reasons, CHIEF will have the sole discretion to exercise the stock options position of the clients. Clients shall be responsible to CHIEF for any costs, fees and expenses (including but not limited to exercise fees, administrative fees and other relevant fees) incurred by CHIEF in connection with exercising the stock options.
5. 客戶委派及授權本公司以代理人身份執行美國股票期權交易。客戶必須承擔行使股票期權之所有風險· 包括市場風險及對手風險等。  
Clients appoint and authorize CHIEF to be the agent on behalf of the Clients to handle or otherwise to deal with the US stock options. Clients must bear all risks of exercising stock options, including market risk and counterparty risk.
6. 有關投資美國股票期權之風險詳情(包括但不限於投資美國交易所上市或場外交易證券或美國衍生工具的風險· 以及因證券市場波動而導致購入及沽出股票期權須承擔之高風險等)· 請參閱客戶協議書附錄 1 風險披露聲明。  
For details of the risks related to US stock options (include but not limited to (1)Risk of trading US exchange-listed or Over-The-Counter (OTC) securities or derivatives; and (2) Due to the volatile nature of securities markets, the purchase and writing of options over securities involves a high degree of risk.), please refer to the Risk Disclosure Statements in the Client Agreement (Appendix 1).
7. 期權結算公司(OCC)目前的自動行使門檻為 0.01 美元(所有 0.01 美元價內或以上的股票期權· 將被自動行使)。客戶需為帳戶內的所有持倉負責。因此· 本公司建議在交易結束前· 將長短期權持倉平倉· 以避免產生相對帳戶資本而言較為大的長短倉金額。但是· 這並不表示價內期權到期之後· 客戶帳戶便一定會出現長倉或短倉的情況。本公司將評估客戶帳戶的風險· 並保留發出不行使通知· 或當客戶帳戶由於自動行使或分配· 導致目前的買入能力無法持倉· 而需設定交易以抵銷股票持倉的權利。希望得到股票持倉但缺乏買入能力的客戶· 請務必在最後交易日(通常到期日為星期五)美國東部時間下午 4:15 之前· 與本公司聯絡· 安排傳送資金· 以支付持倉。  
The Options Clearing Corporation's (OCC's) automatic exercise threshold is now \$0.01 (all equity options in the money by \$0.01 or more will be automatically exercised). Clients are responsible for all positions in their accounts and CHIEF recommends that short and long options positions be closed prior to the end of trading to avoid situations which will create large amounts of short or long stock relative to their account capital. However, that does not mean that client accounts will always be either long or short stock as a result of expiration of in the money options. CHIEF will assess the risk to client accounts and reserves the right to either tender a non-exercise notice or place a trade for an offsetting stock position where the client account does not have existing buying power to hold a position resulting from an automatic exercise or assignment. Clients desiring the resulting stock position, but lacking the buying power to carry it, must contact CHIEF prior to 4:15 p.m. U.S. Eastern Time on the last trading day, usually expiration Friday, to make arrangements to send in funds to cover the position.

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8. 客戶必須先同意本確認書內之所有條款及細則，才可進行美國股票期權交易（包括電話及網上交易）。  
Clients must agree to all terms and conditions in this Confirmation before trading US stock options (including telephone and online trading).
9. 本公司保留修訂及更改本確認書條款及細則之權利。  
CHIEF reserves the right to amend and change the terms and conditions of this Confirmation.

本人有意投資美國股票期權，並同意致富證券有限公司（「致富證券」）根據客戶協議書第二部 G. 衍生產品服務協議書（「衍生產品服務協議書」）所載章則及條款，執行本人與致富證券的美國股票期權交易。本人根據「衍生產品服務協議書」通過致富證券訂立美國股票期權交易（「美國股票期權確認書」）。「美國股票期權確認書」將構成「衍生產品服務協議書」就有關衍生產品交易的補充及組成部份。如有關「美國股票期權確認書」的規定與「衍生產品服務協議書」的規定有抵觸，將以「美國股票期權確認書」的規定為準。

I intend to trade US stock options. I agree to enter into US stock options transaction with Chief Securities Limited upon the terms and conditions of the Derivative Products Service Agreement in the Client Agreement. This Confirmation constitutes a supplement to and forms an integral part of the Derivative Products Service Agreement in respect of the US stock options transaction, in the event of any inconsistency between the provisions of this Confirmation and the Derivative Products Service Agreement, the provisions of this Confirmation shall prevail.

本人確認並同意上述所有條款及細則。本人承諾及保證在進行美國股票期權交易前，已細讀有關的衍生產品摘要及明白相關的風險披露聲明，同時充份明瞭該衍生產品的規格、性質及其他有關細節和涉及的風險。

I confirm and agree to all terms and conditions listed above. I hereby undertake and warrant that before entering into the US stock options transaction with Chief Securities Limited pursuant to the Derivative Products Service Agreement, I have read and understand the risk disclosures statements in relation to derivative products, and have also read the relevant derivative product summary, and have fully understand the specifications, features and other relevant details of the derivative products as well as the risks involved.

客戶簽署Signature：

日期Date：\_\_\_\_\_年YYYY\_\_\_\_\_月MM\_\_\_\_\_日DD

只供內部使用		
提交人：	總行／分行：	
資料輸入：	資料核對：	簽名核對：