

美國股票期權確認書

US Stock Options Confirmation

客戶號碼 Account No : _____

客戶名稱 Client's Name : _____

1. 在充足保證金的情況下，客戶可開立淨短倉，包括賣出認購期權及賣出認沽期權。致富證券有限公司（「致富證券」）將按本公司不時更新的保證金要求計算並持續監控相關風險。如保證金水平不足，致富證券保留要求客戶即時追加保證金或直接進行強制平倉的權利。

Subject to sufficient margin, clients may open net short positions, including writing call options and put writing options. Chief Securities Limited ("CHIEF") will calculate and continuously monitor the associated risks based on CHIEF's margin requirements as updated from time to time. Should the margin level become insufficient, CHIEF reserves the right to demand immediate additional margin from the clients or to directly carry out forced liquidation.

2. 客戶可於期權最後交易日仍可照常進行買賣及平倉操作，惟須自行承擔最後交易日可能因市場波動、流動性不足或價格跳空等情況所引致的相關風險。

Clients may carry out trading and closing position as usual on the last trading day of options, provided that they bear the associated risks arising from market volatility, insufficient liquidity, or price gaps on the last trading day.

3. 美股期權屬實物交收產品。客戶如因任何理由未能在股票期權到期日前平倉，則該等的股票期權持倉可能因上游券商之決定而被自動行使或被指派，或由致富證券基於其全權決定權予以行使。致富證券將收取客戶行使該期權時購入正股之所需費用，包括但不限於所有行使費用、行政費用、經紀佣金及其他相關收費。客戶須確保其賬戶內備有充足資金以支付上述費用。若客戶賬戶內資金不足，致富證券有權自客戶之其他資產中直接扣除該等費用，或採取本公司認為必要之進一步行動。

US options are physically settled products. If clients fail to close positions before the expiration date of the stock options for any reasons, such stock option positions may be automatically exercised or assigned as determined by the relevant upstream brokers, or be exercised by CHIEF in its sole and absolute discretion. Clients shall be responsible to CHIEF for any costs, fees and expenses (including but not limited to exercise fees, administrative fees, brokerage commissions and other relevant fees) incurred by CHIEF in connection with exercising the stock options. The clients must ensure that sufficient funds are maintained in their accounts to cover the aforesaid fees. In the event that such funds are insufficient, CHIEF shall have the right to deduct such fees directly from the client's other assets or to take such further actions as CHIEF deems necessary.

4. 根據期權結算公司（OCC）之規則，價內期權將於最後交易日收市後自動行使。為避免因自動行使而產生的大額實物交收、資金需求或持倉風險，致富證券建議客戶於最後交易日前自行平倉。倘客戶屆時資金不足以完成交收，致富證券保留權利因應市況進行強制平倉之措施。如客戶欲放棄行使期權或有任何特別指示，務須於最後交易日完結前通知本公司。對於未能於到期日前自行平倉的客戶，致富證券將根據 OCC 規則及本公司的風險管理政策，評估客戶賬戶的整體風險，並保留（包括但不限於）發出不行使通知，或於客戶買入能力不足的情況下，設定對沖交易以抵銷因自動行使或被指派而產生之股票持倉的權利。客戶須就因自動行使或被指派所引致的一切後果承擔全部責任。

Pursuant to the rules of the Options Clearing Corporation (OCC), In-the-Money Options shall be automatically exercised after the close of trading on the last trading day. To avoid substantial physical settlement, funding requirements, or position risks arising from such automatic exercise, CHIEF advises that clients close their positions prior to the last trading day. In the event that Clients have insufficient funds to complete settlement by such time, CHIEF reserves the right to take forced liquidation measures based on market conditions. If a client wishes to decline the exercise of any option or has any special instructions, the client must notify CHIEF prior to the end of the last trading day. For any clients who fails to close their positions prior to the expiration date, CHIEF shall assess the overall risk of the client's account in accordance with the OCC rules and its own risk management policies, and reserves the right (including, without limitation) to issue a do-not-exercise notice or, where the clients have insufficient purchasing capacity, to establish hedging transactions to offset the stock positions arising from automatic exercise or assignment. The clients shall bear full responsibility for all consequences arising from automatic exercise or assignment.

5. 若客戶保證金不足或市況出現劇烈波動，致富證券保留權利，因應實際市況隨時以任何價格對客戶進行強制平倉，出售或以其他方式處置全部或任何部分抵押品，以清償客戶欠付致富證券的任何債務。強制平倉可能以不利價格執行，導致客戶蒙受更大損失，而致富證券亦將就此收取較高之行政費用、執行費用及相關利息。

In the event that the client's margin is insufficient or market conditions experience significant volatility, CHIEF reserves the right, based on actual market conditions and at any time and at any price, to force liquidate, to sell or otherwise dispose of the whole or any part of such collateral in order to settle any liability owed by the clients to CHIEF. Such forced liquidation may be executed

at unfavorable prices, which may result in further losses to the clients. CHIEF shall also be entitled to charge the clients for higher administrative fees, execution fees, and relevant interest in connection therewith.

6. 客戶委派及授權致富證券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，包括但不限於市場風險、交易對手風險、流動性風險、保證金風險及自動行使之相關風險。
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 but not limited to market risk, counterparty risk, liquidity risk, margin risk and risks relating to automatic exercise.
7. 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、期貨及期權交易的風險、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。客戶茲此確認其已完全知悉、充分理解並自願接受所有相關風險。
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; (2) Risk of trading futures and options; and (3) 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). The Clients hereby acknowledge and confirm that they have fully understood and accepted all relevant risks.
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. 致富證券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.

本人確認有意投資美國股票期權，並知悉及同意，致富證券有限公司將根據客戶協議書所載的「股票期權客戶協議書」及「衍生產品服務協議書」內訂明之章則及條款，代表本人執行及訂立美國股票期權交易。此文件「美國股票期權確認書」(「確認書」)構成經本人同意並訂立之客戶協議書的補充部分。除本確認書另有訂明外，客戶協議書之所有條款及細則仍完全有效。
I confirm my intention to invest in US stock options. I acknowledge and agree that Chief Securities Limited acts on my behalf to execute and enter into US stock options transaction with Chief Securities Limited in accordance with the terms and conditions of the Stock Options Client Agreement and Derivative Products Service Agreement contained in the Client Agreement. This document, the U.S. Stock Option Confirmation (the "Confirmation"), constitutes a supplemental part to the Client Agreement which has been agreed and entered into by me. Save as otherwise expressly provided in this Confirmation, all terms and conditions of the Client Agreement shall remain in full force and effect.

本人進一步確認並同意上述確認書的所有條款及細則。本人承諾、保證及聲明，在進行美國股票期權交易前，已仔細閱讀、充分理解並接受有關的股票期權客戶協議書、衍生產品服務協議書及客戶協議內的附錄所載之相關的條款細則及風險披露聲明，且該等文件之內容對本人具有法律約束力。
I further hereby confirm and agree to all of the above terms and conditions of this Confirmation. I undertake, warrant and declare that, before engaging in U.S. stock option trading, I have carefully read, fully understood and accepted the relevant terms, conditions and risk disclosure statements set forth in the Stock Option Client Agreement, the Derivative Products Service Agreement and the Appendix to the Client Agreement, and that the contents of such documents are legally binding upon me.

客戶簽署 Signature :

_____ 日期 Date : _____年 YYYY ____月 MM ____日 DD

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提交人：	總行 / 分行：	
資料輸入：	資料核對：	簽名核對：

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