



致富CHIEF 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. 客戶不得沽空美國股票期權（即持有短倉）。
Clients must not short sell US stock options (i.e. holding any short positions)
2. 客戶必須於股票期權到期日三個交易日前完成平倉。
Clients must close all 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 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. 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).
8. 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：