

Supplementary Terms and Conditions for Option Trading 選擇權交易補充條款和條件

By signing this supplementary terms and conditions, I confirm with SinoPac Securities (Asia) Limited ('SinoPac') that I have read, understood and agreed to the supplementary terms and conditions as follows:

藉簽署本補充條款及條件，本人向永豐金證券(亞洲)有限公司('永豐金')確認本人已閱讀、了解並同意本補充條款及條件如下：

- (a) All option trading shall be subject to the laws, rules, regulations, customs and usage of the exchange, marketplace and clearing house, if any, where the option trading is executed. I will not, whether alone or in concert with others, violate the position or exercise limits of which such exchange, marketplace and clearing house may establish from time to time.

所有選擇權交易受交易地之交易所、市場及其結算機構(如有)的法律、規則、規定、慣例和習慣之規範。本人將不會單獨或與他人共同違反交易所、交易市場及其結算機構不時設立之部位及行使限制。

- (b) In the case of option sold or written by me in my margin account:

如本人由保證金帳戶內出售或賣出選擇權：

- (i) With respect to a call option which if exercised against me will require delivery of securities sold, I will keep such securities in my account until the expiration of the option period, and will not sell or withdraw such securities. If the option is exercised, SinoPac may deliver such securities to the purchaser without prior notice to me.

如為認購選擇權，而其對本人之行使將涉及售出有價證券之交付，本人帳戶將保留該有價證券，直至選擇期間屆滿，並將不會出售或提領有價證券。如選擇權被行使時，永豐金得交付該有價證券予買方而毋須事先通知本人。

- (ii) With respect to any put option which if exercised against me will require payment for securities purchased, I will keep in my account sufficient funds for such payment until the expiration of the option period, and will not withdraw such funds or utilize them for any other purpose. If the option is exercised, SinoPac may use such funds for the purchase of such securities without prior notice to me.

如為賣出選擇權，而其對本人之行使將涉及購買有價證券之付款，本人帳戶將維持足夠之資金以因應該等付款，直至選擇期間屆滿，並將不會為任何其它目的提領或使用該資金。如選擇權被行使時，永豐金得使用該等資金以購買該等證券而毋須事先通知本人。

- (c) Any securities and funds held in any of my accounts at SinoPac shall be held as securities for performance and satisfaction of my obligation and liability.

本人在所有永豐金帳戶內所持有的任何證券及資金，將為本補充條款和條件下對永豐金之責任和債務履行之擔保。

- (d) I understand that an exchange or any other relevant governing body may in its discretion and from time to time restrict trading/transactions in particular options or exercise of option contracts in the interests of helping maintain a fair and orderly market in option contracts or in the underlying securities for the protection of investors.

本人明白交易所或其它相關主管機關為保護投資者可不時以維持公平選擇權交易市場為理由限制選擇權交易或特定標的證券交易。

- (e) I agree to abide by all applicable laws and regulations of the relevant exchange, marketplace and clearing house, if any, regarding all my option trading.

本人同意遵守選擇權交易地之交易所、市場及其結算機構(如有)有關選擇交易之適用法律和規定。

- (f) If I exercise a long option contract, I agree to pay the full aggregate exercise price provided for by the option contract.

若本人行使長倉選擇權合約，本人同意給付行使選擇權的全額累計之價格。

- (g) Exercise instructions are accepted for same day execution on business days within the trading hour set by the exchange where the option trading is executed. On the business day preceding the expiration date for any particular option contract, SinoPac will accept exercise instructions in accordance with the trading hour set by the exchange

where the option trading is executed (ie. the trading hour for relevant US Exchange in summer period commences from 9.30am to 4:00pm Hong Kong time, and the trading hour for relevant US Exchange in winter period commences from 10:30am to 5pm Hong Kong time).

選擇權之當日行使指示可依交易地之交易所設定之營業日交易時間內被接受。於任何個別選擇權合約到期之前營業日，永豐金接受行使指示之時限將為交易地之交易所設定之交易時間內(如美國相關交易所夏令交易時間為香港時間九時半至下午四時，冬令交易時間為香港時間十時半至下午五時)。

I acknowledge that the relevant institutions and securities exchanges have established cut-off time for delivering exercise instructions. My long options contract may expire worthless if I do not deliver my instructions by such exercise cut-off time.

本人認知相關機構及交易所均已設定接受行使指示之截止時間。如本人未於行使指示截止時間前下達本人之交易指示，本人之長倉選擇權合約可能因期滿而失去其價值。

SinoPac is not obliged to give me prior notice of option expiration dates, and I have the sole responsibility of taking action to exercise an option contract. I shall be aware of any public holiday in place where the option is executed, so to ensure my option can be exercised in a timely manner. If I do not provide you with any exercise instructions by the prescribed time set by the relevant institutions and securities exchanges (which SinoPac is not obliged to advise), I agree to waive and release SinoPac, its officers, employees and agents from any and all claims of damage and loss suffered by me as a result of option contract not being exercised.

永豐金並無義務事先通知本人選擇權合約之到期日，本人應單獨負責行使選擇權之行動。本人應注意選擇權交易地的非工作天，以確保本人能按時行使選擇權。如本人未於限定之時間內指示永豐金行使選擇權，且該等行使之選擇權利已屆期，本人同意捨棄並免除對永豐金、及其主管、員工和代理人任何因該選擇權合約未被行使所遭受的損失和申訴。

- (h) SinoPac is under no obligation to convey to me any information relating to the underlying securities covered by the option or any securities related thereto, or any information relating to the options, whether such information is then or thereafter known or available. It is my sole responsibility to exercise, in a proper and timely manner, any right, privilege or obligation of any put option or call option in my account.

永豐金並無義務傳達任何有關選擇權及其相關的有價證券資訊致本人，不論永豐金是否知悉這資訊。本人應單獨負責在適當和合理時間內行使本人戶口的選擇權之權利和責任。

- (i) SinoPac has advised me that SinoPac and its Affiliated Company may trade in options and the securities underlying such options for its own account. Such trading may be conducted continuously on a daily basis, and may occur prior to, contemporaneously with, or subsequent to any option transaction effected for my account.

永豐金已告知本人永豐金及其聯號公司會以自身身份交易選擇權及其相關的有價證券。交易可能會每一天都進行，且可能會在本人帳戶的選擇權交易時或之後進行。

In such trading, SinoPac and its Affiliated Company may take option positions or their underlying securities which may be similar to or which may vary from (a) the positions which I may have in the account (b) transaction with SinoPac and its Affiliated Company may recommend me (c) transactions which SinoPac and its Affiliated Company may effect for me. SinoPac has advised me and I understand that such trading may adversely affect the price of such options or their underlying securities.

在交易中，永豐金及其聯號公司可能會持有相同或不同的選擇權或標的證券部位，相對於 (a)本人戶口之部位 (b)永豐金及其聯號公司建議之交易 (c)永豐金及其聯號公司協助本人行使之交易。永豐金已通知本人、本人也明白有關交易可能會對本人選擇權及其相關的有價證券的價格構成負面影響。

- (j) SinoPac shall allocate exercise assignment notices for option contracts on a random selection basis.

永豐金會以隨機分派作為選擇權合約指派行使之基準。

- (k) I understand that SinoPac reserves all its right to modify and/or revoke any or all level of option trading for which my account has previously been approved, should SinoPac deems this action necessary.

本人了解當永豐金認為必要時，永豐有權修改及/或撤銷任何及所有在本人帳戶內已被核准之選擇權交易權限。

- (l) I confirm that I have read and agreed to the supplementary terms and conditions (Terms and Conditions of SinoPac Securities (Asia) Limited, and Schedule 2 - Risk Disclosure Statement), which have been explained to be me in a language that I understand.

本人確認本人已閱讀且同意本補充條款和條件(永豐金證券(亞洲)有限公司條款和條件，及其附表 2 風險披露聲明)，同時永豐金已以本人理解的語言給本人解釋。

Client Signature
客戶簽署

Client Name and Account Number: _____
客戶名稱和帳戶號碼

Client Signature: _____
客戶簽署

Date: _____
日期

SinoPac Securities (Asia) Limited
永豐金證券(亞洲)有限公司

AE signature: _____
經紀簽署

Supervisor Signature: _____
主管簽署