

In case of any discrepancy between the English and Chinese version of this addendum, the English version shall prevail.

若此份附件的英文與中文版本內容有任何差異，以英文版本為準。

CROSS TRADE CONSENT

TD Ameritrade Futures & Forex LLC, its officers, directors, employees, or affiliates or other customers of TD Ameritrade Futures & Forex LLC or of the servicing floor broker may be from time to time on the opposite side of orders for physicals or for purchase or sale of futures contracts and option contracts placed for your Account in conformity with regulations of the Commodity Futures Trading Commission and the by-laws, rules, and regulations of the applicable market (and its clearing organization, if any) on which such order is executed.

交叉交易同意書

TD Ameritrade Futures & Forex LLC、其主管、董事、僱員或聯屬公司或 TD Ameritrade Futures & Forex LLC 或場內經紀商的其他客戶，可能就現貨或期貨合約和期權合約的買賣，不時成為交易指令的對手方，而您帳戶的相關買賣盤將符合商品期貨交易委員會的規定和適用市場 (及其清算機構，如有) 的附例、規則及規定。



NOTICE REGARDING AVERAGE PRICE SYSTEM (“APS”)

You should be aware that certain U.S. and non-U.S. exchanges, including the CME and CBOT, may now or in the future allow a futures commission merchant (“FCM”) such as TD Ameritrade Futures & Forex LLC to confirm trades executed on such exchanges to some or all of their customers on an average price basis regardless of whether the exchanges have average price systems of their own. Average prices that are not calculated by an exchange system will be calculated by your FCM. In either case, trades that are confirmed to you at average prices will be designated as such on your daily and monthly statements.

APS enables a clearing firm to confirm to customers an average price when multiple execution prices are received on an order or series of orders for the same accounts. For example, if an order transmitted by an account manager on behalf of several customers is executed at more than one price, those prices may be averaged and the average may be confirmed to each customer. Customers may choose whether to use APS, and may request that APS be used for discretionary or nondiscretionary accounts.

An order subject to APS must be for the same commodity. An APS order may be used for futures, options, or combination transactions. An APS order for futures must be for the same commodity and month, and for options, it must be for the same commodity, month, put/call, and strike.

An APS indicator will appear on the confirmation and monthly statement for a customer whose positions have been confirmed at an average price. This indicator will notify the customer that the confirmed price represents an average price or rounded average price.

The average price is not the actual execution price. APS will calculate the same price for all customers that participate in the order.

APS may be used when a series of orders are entered for a group of accounts. For example, a bunched APS order (an order that represents more than one customer account) executed at 10 a.m. could be averaged with a bunched APS order executed at 12 p.m. provided that each of the bunched orders is for the same accounts. In addition, market orders and limit orders may be averaged, as may limit orders at different prices, provided that each order is for the same accounts.

The following scenario exemplifies what occurs if an APS order is only partially executed. At 10 a.m. an APS order to buy 100 Dec S & P 500 futures contracts is transmitted at a limit price of 376.00; 50 are executed at 376.00, and the balance is not filled. At 12 p.m. an APS order to buy 100 Dec S & P 500 futures contracts is transmitted at a limit price of 375.00; 50 are executed at 375.00, and the balance is not filled. Both orders are part of a series for the same group of accounts. In this example, the two prices will be averaged. If the order was placed for more than one account, the account controller must rely on pre-existing allocation procedures to determine the proportions in which each account will share in the partial fill.

關於平均價格系統 (「APS」) 的通知

您應該了解某些美國和非美國的交易所，包括 CME 和 CBOT，可能在現在或將來允許期貨佣金商 (「FCM」)，如 TD Ameritrade Futures & Forex LLC，在無論交易所是否有其自己的平均價格系統下，就部分或全部客戶，以平均價格基礎確認相關交易所執行的交易。未經交易所系統計算得出的平均價格由您的 FCM 負責計算。在任何情況下，以平均價格確認的交易，均按照您的每日和月度報表指明。

APS 使結算公司能夠在收到相同帳戶的一個交易指令或一系列交易指令的多個執行價時，向客戶確認平均價格。例如，如果代表數名客戶的某一位客戶經理，以多於一個的價格發送執行交易指令，這些價格的平均值經計算後，向每位客戶進行確認。客戶可選擇是否使用 APS，也可要求 APS 使用於委託或非委託帳戶。

受限於 APS 的交易指令，必須是同一商品。APS 交易指令可用於期貨、期權或組合交易。就期貨的 APS 交易指令，必須是同一商品和月份。就期權而言，則必須是同一商品、月份、認沽/認購和行使價。

APS 指標將出現在已確認持倉之客戶確認和月度報表中。這項指標將通知客戶，確認的價格代表平均價格或四捨五入的平均價格。

平均價格並非實際的執行價。APS 將為參與交易指令的所有客戶計算相同的價格。

當一組帳戶輸入一系列的交易指令時，可能會使用 APS。例如，在每個群組交易指令皆為相同帳戶的情況下，於上午 10 時執行的 APS 群組交易指令 (代表一個客戶帳戶以上的交易指令) 可能會與中午 12 時執行的另一個 APS 群組交易指令一同計算平均值。此外，如果每個交易指令都是用於相同的帳戶，市價盤和限價盤 (以及不同價格的限價盤) 可能會以平均價計算。

以下例示如果 APS 交易指令僅部分執行時可能發生的情況。上午 10 時，購買 100 張 12 月標準普爾 500 期貨合約的 APS 交易指令以 376.00 的限價傳遞；50 張在 376.00 執行，其餘未執行。中午 12 時，購買 100 張 12 月標準普爾 500 期貨合約的 APS 交易指令以 375.00 的限價傳遞；50 張在 375.00 執行，其餘未執行。這兩項交易指令，屬於同一組帳戶。在這個例子中，這兩個價格將被平均計算。如果就一個以上的帳戶傳送交易指令，則帳戶控制器必須依賴現有的分配程序確定每個帳戶在部分執行的交易指令中所分派的比例。

Upon receipt of an execution at multiple prices for an order with an APS indicator, an average will be computed by multiplying the execution prices by the quantities at those prices divided by the total quantities. An average price for a series of orders will be computed based on the average prices of each order in that series. The actual average price or the average price rounded to the next price increment may be confirmed to customers. If a clearing member confirms the rounded average price, the clearing member must round the average price up to the next price increment for a sell order. The rounding process will create a cash residual of the difference between the actual average price and the rounded average price that must be paid to the customer.

APS may produce prices that do not conform to whole cent increments. In such cases, any amounts less than one cent may be retained by the clearing member. For example, if the total residual to be paid to a customer on a rounded average price for 10 contracts is \$83.333333, the clearing member may pay \$83.33 to the customer.

If you would like more information on APS orders, please contact TD Ameritrade Hong Kong Ltd. Futures Operations Department.

當透過 APS 指標，收到以多個價格執行的交易指令時，透過將執行價乘以這些價格的數量，再除以總量的方式，來計算平均值。一系列的交易指令的平均價格將根據系列中，每項交易指令的平均價格計算。我們可能會向客戶確認實際的平均價格或四捨五入後的平均價格。當結算成員在確認四捨五入的平均價格時，結算成員必須將平均價格進位至下一個價格，作為賣出交易指令。四捨五入的過程中，實際平均價格和四捨五入後的平均價格之間會產生現金結餘，而此現金結餘必須支付客戶。

APS 可能產生低於一仙的遞增。在此情況下，結算成員可能會保留任何低於一仙的金額。例如，如果就 10 張合約而言，支付給客戶之四捨五入平均價格的結餘總額為 83.333333 美元，則結算成員將支付客戶 83.33 美元。

如果欲了解更多有關 APS 交易指令的資料，請聯絡德美利證券香港有限公司期貨業務部。

ELECTRONIC TRADING AND ORDER ROUTING SYSTEMS DISCLOSURE STATEMENT*

Electronic trading and order routing systems differ from traditional open outcry pit trading and manual order routing methods. Transactions using an electronic system are subject to the rules and regulations of the exchange(s) offering the system and/or listing the contract. Before you engage in transactions using an electronic system, you should carefully review the rules and regulations of the exchange(s) offering the system and/or listing contracts you intend to trade.

DIFFERENCES AMONG ELECTRONIC TRADING SYSTEMS

Trading or routing orders through electronic systems varies widely among the different electronic systems. You should consult the rules and regulations of the exchange offering the electronic system and/or listing the contract traded or order routed to understand, among other things, in the case of trading systems, the system's order matching procedure, opening and closing procedures and prices, error trade policies, and trading limitations or requirements; and in the case of all systems, qualifications for access and grounds for termination and limitations on the types of orders that may be entered into the system. Each of these matters may present different risk factors with respect to trading on or using a particular system. Each system may also present risks related to system access, varying response times, and security. In the case of Internet-based systems, there may be additional types of risks related to system access, varying response times and security, as well as risks related to service providers and the receipt and monitoring of electronic mail.

RISK ASSOCIATED WITH SYSTEM FAILURE

Trading through an electronic trading or order routing system exposes you to risks associated with system or component failure. In the event of system or component failure, it is possible that, for a certain time period, you may not be able to enter new orders, execute existing orders, or modify or cancel orders that were previously entered. System or component failure may also result in loss of orders or order priority.

SIMULTANEOUS OPEN OUTCRY PIT AND ELECTRONIC TRADING

Some contracts offered on an electronic trading system may be traded electronically and through open outcry during the same trading hours. You should review the rules and regulations of the exchange offering the system and/or listing the contract to determine how orders that do not designate a particular process will be executed.

LIMITATION OF LIABILITY

Exchanges offering an electronic trading or order routing system and/or listing the contract may have adopted rules to limit their liability, the liability of Futures Commission Merchants, and software and communication system vendors and the amount of damages you may collect for system failure and delays. These limitations of liability provisions vary among the exchanges. You should consult the rules and regulations of the relevant exchanges(s) in order to understand these liability limitations.

* Each exchange's relevant rules are available upon request from the industry professional with whom you have an account. Some exchanges' relevant rules also are available on the exchange's Internet home page.

電子交易及買賣盤傳遞系統披露聲明*

電子交易及買賣盤傳遞系統與傳統公開喊價的場內交易及手動買賣盤傳遞方式不同。使用電子系統的交易須遵守提供系統及/或合約之交易所的規則和規定。在使用電子系統進行交易之前，您應先詳閱提供系統及/或合約的交易所的規則和規定。

電子交易系統的差異

透過電子系統進行交易或傳遞交易指令，在不同的電子系統之間存在重大差異。您應參考提供電子系統及/或合約的交易所的規則和規定，以確切了解，除此之外，在交易系統的情況下，系統的交易指令配對程序、開倉和平倉程序及價格、交易錯誤政策和交易限制或要求；以及在所有系統的情況下，使用資格和終止理由，以及可輸入系統之交易指令的類型限制。每一項相關事項均可能在交易或使用特定系統時，構成不同程度的風險因素。每套系統可能呈現有關系統使用、不同回應時間和安全性的風險。在網路系統的情況下，可能存在與系統使用、不同回應時間和安全性相關的其他風險類型，以及有關服務提供商和電子郵件接收及監察的風險。

系統故障的相關風險

透過電子交易或買賣盤傳遞系統進行交易，可能面臨系統或元件故障的風險。在系統或元件故障的情況下，您可能在一段時間內，無法輸入新的交易指令、執行現有的交易指令，或修改或取消先前輸入的交易指令。系統或元件故障也可能導致交易指令或交易指令優先排序的損失。

同步場內公開喊價及電子交易

電子交易系統所提供的部分合約可能會透過電子方式進行交易，並在相同的交易時段內，透過公開喊價進行交易。您應先查閱提供系統及/或合約的交易所的規則和規定，確保未指定特定程序時，交易指令的執行方式。

責任限制

提供電子交易或買賣盤傳遞系統及/或合約的交易所可能採納相關規則以限制其責任、期貨佣金商及軟件和通信系統供應商的責任，以及限制在系統故障和延遲的情況下，您能獲得的賠償金額。這些責任限制條款因交易所而異。您應參考有關交易所的規則和規定，以了解這些責任限制。

* 您可就持有的帳戶，要求業內專業人士提供每個交易所的有關規則。部分交易所的有關規則會在交易所的網頁提供。

UNIFORM NOTIFICATION REGARDING ACCESS TO MARKET DATA

As a market user you may obtain access to Market Data available through an electronic trading system, software, or device that is provided or made available to you by a broker or an affiliate of such. Market Data may include, with respect to products of an exchange ("Exchange") or the products of third-party participating exchanges that are traded on or through the Exchange's electronic trading platform ("Participating Exchange"), but is not limited to, "real time" or delayed market prices, opening and closing prices and ranges, high-low prices, settlement prices, estimated and actual volume information, bids or offers, and the applicable sizes and numbers of such bids or offers.

You are hereby notified that Market Data constitutes valuable confidential information that is the exclusive proprietary property of the applicable exchange, and is not within the public domain. Such Market Data may only be used for your firm's internal use. You may not, without the written authorization of the applicable exchange, redistribute, sell, license, retransmit, or otherwise provide Market Data, internally or externally and in any format by electronic or other means, including, but not limited to the Internet. Further, you may not, without the written authorization of the applicable exchange, use Exchange Market Data for purposes of determining any price, including any settlement price, for any futures product, options on futures product, or other derivatives instrument traded on any exchange other than an Exchange or a Participating Exchange; or in constructing or calculating the value of any index or indexed product. Additionally, you agree you will not, and will not permit any other individual or entity to, (i) use Exchange Market Data in any way so as to compete with an Exchange or to assist or allow a third party to compete with an Exchange; or (ii) use that portion of Exchange Market Data which relates to any product of a Participating Exchange in any way so as to compete with that Participating Exchange or to assist or allow a third party to compete with such Participating Exchange.

You must provide upon request of the broker through which your firm has obtained access to Market Data, or the applicable exchange, information demonstrating your firm's use of the Market Data in accordance with this Notification. Each applicable exchange reserves the right to terminate a market user's access to Market Data for any reason. You also agree that you will cooperate with an exchange and permit an exchange reasonable access to your premises should an exchange wish to conduct an audit or review connected to the distribution of Market Data.

關於使用市場數據的統一通知

作為市場用戶，您可以透過由經紀商或其聯屬公司向您提供的電子交易系統、軟件或設備，獲得市場數據的使用權限。市場數據可能包括：藉由或透過交易所電子交易平台（「參與交易所」）進行交易的交易所（「交易所」）產品或第三方參與交易所產品，但不限於「即時」或延遲的市場價格、開市和收市價及範圍、高低價格、結算價格、估計和實際的成交量資料、買入價或賣出價，以及這類買賣價格的適用數量和數字。

特此通知，市場數據構成適用交易所獨家擁有財產的寶貴機密資料，及不在公眾領域。相關市場數據僅供貴公司內部使用。未經適用交易所書面授權，不得於內部或外部，及以任何電子或其他方式，包括但不限於互聯網，及重發、出售、許可、轉發或以其他方式提供市場數據。此外，未經適用交易所書面授權，不得以交易市場數據作為決定任何期貨產品、期貨期權產品，或在任何除「交易所」或「參與交易所」外的交易所交易的其他衍生工具的任何價格的目的，包括任何結算價格在內；或用於建立或計算任何指數或指數型產品的價值。此外，您同意將不會也不容許任何其他個人或實體，(i) 以任何方式使用交易市場數據，與「交易所」競爭，或協助或容許第三方與「交易所」競爭；或 (ii) 以任何方式使用與「參與交易所」的任何產品相關的交易市場數據部分，與「參與交易所」競爭，或協助或容許第三方與「參與交易所」競爭。

您必須根據貴公司透過獲取市場數據使用權的經紀商，或適用交易所的要求，根據本通知提供貴公司使用的市場數據資料。每個適用交易所保留終止市場用戶因任何原因使用市場數據的權利。您也同意與交易所合作，並在交易所希望進行與市場數據分佈相關的審計或審查的情況下，允許交易所在合理的情況下拜訪您的場所。

NEITHER AN EXCHANGE, NOR ANY PARTICIPATING EXCHANGE, NOR THE BROKER, NOR THEIR RESPECTIVE MEMBERS, SHAREHOLDERS, DIRECTORS, OFFICERS, EMPLOYEES, OR AGENTS, GUARANTEE THE TIMELINESS, SEQUENCE, ACCURACY, OR COMPLETENESS OF THE DESIGNATED MARKET DATA, MARKET INFORMATION, OR OTHER INFORMATION FURNISHED NOR THAT THE MARKET DATA HAVE BEEN VERIFIED. YOU AGREE THAT THE MARKET DATA AND OTHER INFORMATION PROVIDED IS FOR INFORMATION PURPOSES ONLY AND IS NOT INTENDED AS AN OFFER OR SOLICITATION WITH RESPECT TO THE PURCHASE OR SALE OF ANY SECURITY OR COMMODITY.

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無論是交易所、任何參與交易所、經紀商或相關成員、股東、董事、主管、僱員或代理人，均無法保證指定市場數據、市場資訊或所提供的其他資訊的時效性、順序性、準確性或完整性，亦無法保證市場數據已經過驗證。您同意市場數據和所提供的其他資訊僅供參考，並不構成要約或招攬任何證券或商品之購買或出售。

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DISCLOSURE STATEMENT ON FUTURES EXCHANGE OWNERSHIP INTERESTS AND INCENTIVE PROGRAMS

You should be aware that your Futures Commission Merchant ("FCM") or one or more of its affiliates may own stock of, or has some other form of ownership interest in, one or more U.S. or foreign exchanges and clearinghouses that you may trade on or that may clear your trades. As a result, you should be aware that your FCM or its affiliate might receive financial benefits related to its ownership interest when trades are executed on such an exchange or cleared at such a clearinghouse.

In addition, futures exchanges from time to time have in place other arrangements that may provide members with volume or market making discounts or credits, may call for participating members to prepay fees based on volume thresholds or may provide other incentive or arrangements that are intended to encourage market participants to trade on or direct trades to that exchange. Your FCM, or one or more of its affiliates, may participate in and obtain financial benefits from such an incentive program.

You should contact your FCM directly if you would like to know whether it has an ownership interest in a particular exchange or clearinghouse, or whether it participates in any incentive program on a particular exchange or clearinghouse. You may also contact any particular futures exchange directly to ask if it has any such incentive program for member firms.

關於期貨交易所擁有權權益和獎勵計劃的披露聲明

您應該了解，您的期貨佣金商(「FCM」)或一間或多間聯屬公司可能擁有一間或多間您在美國或海外可能交易或進行結算交易的交易所和結算公司的股票，或擁有其他形式的擁有權權益。因此，您應該了解，FCM 或其聯屬公司可能會在這類交易所執行交易或在這類結算公司進行結算時，獲得與其擁有權權益有關的財務利益。

此外，期貨交易所可能不時有其他安排，可能會向成員提供成交量或莊家活動折扣或信用額、可能會要求參與成員根據成交量門檻預付費用，或者可能提供鼓勵市場參與者在交易所進行交易或引導交易的其他獎勵或安排。您的 FCM 或一間或多間聯屬公司，可能會參與此類獎勵計劃，並從中獲得財務利益。

如果希望了解 FCM 在特定交易所或結算公司是否有擁有權權益，或是否有參與特定交易所或結算公司的任何獎勵計劃，請直接與期貨佣金商聯繫。您也可以直接與任何特定的期貨交易所聯繫，詢問其是否有為成員公司提供這類獎勵計劃。

CME DISCLOSURE ON PAYMENT FOR ORDER FLOW

When firms provide execution services to customers, either in conjunction with clearing services or in an execution only capacity, they may, in some circumstances, direct orders to unaffiliated market makers, other executing firms, individual floor brokers, or floor brokerage groups for execution. When such unaffiliated parties are used, they may, where permitted, agree to price concessions, volume discounts or refunds, rebates, or similar payments in return for receiving such business. Likewise, on occasion, in connection with exchanges that permit pre-execution discussions and “off-floor” transactions such as block trading, exchanges of physicals, swaps or options for futures or equivalent transactions, a counterparty solicited to trade opposite customers of an executing firm may make payments described above and/or pay a commission to the executing firm in connection with that transaction. This could be viewed as an apparent conflict of interest. In order to determine whether transactions executed for your account are subject to the above circumstances, please contact your executing firm account representative.

關於買賣盤流收入的 CME 披露聲明

當公司向客戶提供執行服務時，無論是結合結算服務或只作執行權力，在某些情況下，可能會向非聯屬的莊家、其他執行公司、個別場內經紀商或場內經紀團體引導交易指令。在採用這類非聯屬團體時，在容許的情況下，可能會同意價格上的優惠、成交量上的折扣或退款、回贈或類似款項，以作為接受這類業務的回饋。同樣地，有時針對允許執行前討論和「場外」交易，例如大宗交易、現貨交易、期貨互換或期權或同等交易的交易所，被要求交易執行公司對手客戶的交易對手，可能會進行上述付款及/或向執行公司支付與該交易相關的佣金。這可被視為是明顯的利益衝突。為了確定您帳戶執行的交易是否符合上述情況，請聯繫您的執行公司的帳戶代表。

DIRECT ORDER TRANSMITTAL CLIENT DISCLOSURE STATEMENT

This statement applies to the ability of authorized customers of TD Ameritrade Futures & Forex LLC ("TD Ameritrade Futures & Forex") to place orders for foreign futures and options transactions directly with non-U.S. entities (each, an "Executing Firm") that execute transactions on behalf of TD Ameritrade Futures & Forex's customer omnibus accounts.

Please be aware of the following should you be permitted to place the type of orders specified above:

- The orders you place with an Executing Firm are for TD Ameritrade Futures & Forex's customer omnibus account maintained with a foreign clearing firm. Consequently, TD Ameritrade Futures & Forex may limit or otherwise condition the orders you place with the Executing Firm.
- You should be aware of the relationship of the Executing Firm and TD Ameritrade Futures & Forex. TD Ameritrade Futures & Forex may not be responsible for the acts, omissions, or errors of the Executing Firm, or its representatives, with which you place your orders. In addition, the Executing Firm may not be affiliated with TD Ameritrade Futures & Forex. If you choose to place orders directly with an Executing Firm, you may be doing so at your own risk.
- It is your responsibility to inquire about the applicable laws and regulations that govern the foreign exchanges on which transactions will be executed on your behalf. Any orders placed by you for execution on that exchange will be subject to such rules and regulations, its customs and usages, as well as any local laws that may govern transactions on that exchange. These laws, rules, regulations, customs, and usages may offer different or diminished protection from those that govern transactions on U.S. exchanges. In particular, funds received from customers to margin foreign futures transactions may not be provided the same protections as funds received to margin futures transactions on domestic exchanges. Before you trade, you should familiarize yourself with the foreign rules which will apply to your particular transaction. United States regulatory authorities may be unable to compel the enforcement of the rules of regulatory authorities or markets in non-U.S. jurisdictions where transactions may be effected.

客戶發送直接交易指令披露聲明

本聲明適用於 TD Ameritrade Futures & Forex LLC (「TD Ameritrade Futures & Forex」) 獲授權客戶的能力，就海外期貨和期權交易，直接向代表 TD Ameritrade Futures & Forex 客戶綜合帳戶執行交易的非美國實體 (各自為一間「執行公司」) 設定交易指令。

如果您獲准設定上述指定類型的交易指令，請注意以下事項：

- 您與執行公司設定的交易指令是針對海外結算公司所維持的 TD Ameritrade Futures & Forex 客戶綜合帳戶。因此，TD Ameritrade Futures & Forex 可能會限制或以其他方式限制您與執行公司間設定的交易指令。
- 您應了解執行公司與 TD Ameritrade Futures & Forex 之間的關係。TD Ameritrade Futures & Forex 可能不會對投資人設定交易指令的執行公司或其代表的行為、缺失或錯誤負責。此外，執行公司可能不聯屬於 TD Ameritrade Futures & Forex。如果您選擇直接與執行公司設定交易指令，您可能需要自行承擔風險。
- 查詢代表您執行交易的海外交易所適用法律和法規是您的責任。您在該交易所執行的任何交易指令均受制於此類規則和法規、其慣例和習俗，以及可能限制該交易所交易的任何當地法律。這些法律、規則、法規、慣例和習俗，可能會與在美國交易所交易提供的保護不同或有所減少。特別是來自客戶作為海外期貨交易保證金的資金，可能無法獲得與國內期貨交易保證金相同的保護。在進行交易前，您應熟悉適用於特定交易的海外規則。美國監管機構可能無法強迫交易執行地點所隸屬的非美國司法管轄區的監管機構或市場執行相關規則。

- It is your responsibility to determine whether the Executing Firm has consented to the jurisdiction of the courts in the United States. In general, neither the Executing Firm nor any individuals associated with the Executing Firm will be registered in any capacity with the Commodity Futures Trading Commission. Similarly, your contacts with the Executing Firm may not be sufficient to subject the Executing Firm to the jurisdiction of courts in the United States in the absence of the Executing Firm's consent. Accordingly, neither the courts of the United States nor the Commission's reparations program will be available as a forum for resolution of any disagreements you may have with the Executing Firm, and your recourse may be limited to actions outside the United States.

Unless you object within five (5) days by giving notice as provided in your customer agreement after receipt of this disclosure, TD Ameritrade Futures & Forex will assume your consent to the aforementioned conditions.

- 您有責任確定執行公司是否同意美國法院的管轄權。一般而言，執行公司和執行公司的任何聯屬個人，均不會以任何商品期貨交易委員會的身分登記。同樣地，您與執行公司的往來也可能不足以令執行公司在缺少其同意的情況下，接受美國法院的管轄。因此，美國法院和委員會的賠償方案，均不能作為解決您與執行公司間任何分歧的判決場所，及您的追索權可能僅限於美國以外的行動。

除非您在收到本份披露後五 (5) 天內透過客戶協議所提供的通知形式提出反對，否則 TD Ameritrade Futures & Forex 將假定您同意上述條件。

FOREIGN TRADER DISCLOSURE STATEMENT

Dear Customer:

In accordance with Rules 15.05 and 21.03 of the Commodity Futures Trading Commission ("CFTC"), 17 C.F.R. §§ 15.05 and 21.03, we are considered to be your agent for purposes of accepting delivery and service of communications from or on behalf of the CFTC regarding any commodity futures contracts or commodity option contracts which are or have been maintained in your account(s) with us. In the event that you are acting as agent or broker for any other person(s), we are also considered to be their agent, and the agent of any person(s) for whom they may be acting as agent or broker, for purposes of accepting delivery and service of such communications. Service or delivery to us of any communication issued by or on behalf of the CFTC (including any summons, complaint, order, subpoena, special call, request for information, notice, correspondence, or other written document) will be considered valid and effective service or delivery upon you or any person for whom you may be acting, directly or indirectly, as agent or broker.

You should be aware that Rule 15.05 also provides that you may designate an agent other than TD Ameritrade Futures & Forex LLC. Any such alternative designation of agency must be evidenced by a written agency agreement which you must furnish to us and which we, in turn, must forward to the CFTC. If you wish to designate an agent other than us, please contact us in writing. You should consult 17 C.F.R. § 15.05 for a more complete explanation of the foregoing.

Upon a determination by the CFTC that information concerning your account(s) with us may be relevant in enabling the CFTC to determine whether the threat of a market manipulation, corner, squeeze, or other market disorder exists, the CFTC may issue a call for specific information from us or from you. In the event that the CFTC directs a call for information to us, we must provide the information requested within the time specified by the CFTC. If the CFTC directs a call for information to you through us as your agent, we must promptly transmit the call to you, and you must provide the information requested within the time specified by the CFTC. If any call by the CFTC for information regarding your account(s) with us is not met, the CFTC has authority to restrict such account(s) to trading for liquidation only. You have the right to a hearing before the CFTC to contest any call for information concerning your account(s) with us, but your request for a hearing will not suspend the CFTC's call for information unless the CFTC modifies or withdraws the call. Please consult 17 C.F.R. § 21.03 for a more complete description of the foregoing (including the type of information you may be required to provide).

海外交易員披露聲明

尊敬的客戶：

根據商品期貨交易委員會（「CFTC」）規則第 15.05 和 21.03 條，17 C.F.R. §§ 15.05 和 21.03，我們被當作您的代理人，就任何您帳戶中維持的商品期貨合約或商品期權合約，接受來自或代表 CFTC 的通訊傳遞和服務。當您身為任何其他人士的代理人或經紀商時，我們同時也被當作該人士的代理人，以及任何可能為其代理人或經紀商之人士的代理人，以接受此類通信的傳遞和服務。由 CFTC 發出或代表 CFTC 向我們提供服務或傳送的任何通信（包括任何傳票、投訴、交易指令、傳票、特別要求、資料請求、通知、信函或其他書面文件），將被當作您或您直接或間接作為代理人或經紀商之任何人士的有效服務或傳送。

您應了解規則 15.05 同時也規定您可指定除了 TD Ameritrade Futures & Forex LLC 以外的代理人。您必須向我們提供書面代理協議證明以指定任何相關代理機構。我們也必須向 CFTC 轉發該份證明。如果您希望指定除了我們之外的代理人，請以書面形式與我們聯繫。請參閱 17 C.F.R. § 15.05，以獲得有關上述內容更完整的說明。

根據 CFTC 決定，有關您帳戶的資料，可能容許 CFTC 能夠確定市場操縱、壟斷、擠壓或其他市場混亂的威脅是否存在的情況下，CFTC 可能會向我們或您發出特定的資料要求。如果 CFTC 向我們發出資料的要求，我們必須在 CFTC 規定的時間內，提供所要求的資料。如果 CFTC 透過我們向您發出資料的要求，我們必須及時向您傳送要求，而您必須在 CFTC 規定的時間內，提供被要求的資料。如果未能符合 CFTC 任何關於您帳戶資料的要求，CFTC 有權限制相關帳戶僅能進行清算交易。您有權就 CFTC 任何有關您帳戶資料的要求提出進行聆訊爭辯。但除非 CFTC 修改或撤回要求，否則您的聆訊請求，將無法中止 CFTC 的資料要求。請參閱 17 C.F.R. § 21.03，以獲得有關上述內容更完整的說明（包括您可能需要提供的資料類型）。

Certain additional regulations may affect you. Part 17 of the CFTC Regulations, 17 C.F.R. Part 17, requires each futures commission merchant and foreign broker to submit a report to the CFTC with respect to each account carried by such futures commission merchant or foreign broker which contains a reportable futures position. (Specific reportable position levels for all futures contracts traded on U.S. exchanges are established in Rule 15.03.) In addition, Part 18 of the CFTC Regulations, 17 C.F.R. Part 18, requires all traders (including foreign traders) who own or control a reportable futures or options position and who have received a special call from the CFTC to file a Large Trader Reporting Form (Form 103) with the CFTC within one day after the special call upon such trader by the CFTC. Please consult 17 C.F.R. Parts 17 and 18 for more complete information with respect to the foregoing.

Very truly yours,
TD Ameritrade Futures & Forex LLC

某些附加法規可能會對您造成影響。CFTC 法規第 17 章，17 C.F.R. 第 17 章，要求每個期貨佣金商和海外經紀商，就這類期貨佣金商或海外經紀商所持有的每個可報告的期貨持倉帳戶，向 CFTC 提交報告 (規則 15.03 制定了在美國交易所交易的所所有期貨合約的特定可報告持倉標準。) 此外，CFTC 法規第 18 章，17 C.F.R. 第 18 章，要求所有擁有或控制可報告期貨或期權持倉的交易員 (包括海外交易員)，在 CFTC 向該交易員提出特別要求後的一天內，向 CFTC 提交大額交易員報告表格 (表格 103)。請參閱 17 C.F.R. 第 17 章和第 18 章，以獲得有關上述內容更完整的資料。

謹致
TD Ameritrade Futures & Forex LLC

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