

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

The only orders eligible for execution via exchange systems are small public client market, or marketable limit orders. Eligible public client orders are defined as orders for an account in which a member or nonmember broker-dealer does not have an interest. Orders for more than the applicable contract limit are never eligible for execution via the exchange systems. Orders for broker-dealers (BDs) are never eligible for electronic execution through exchange systems; however, these may be routed into the exchange electronically.

- 1.) It is a violation of U.S. option exchange rules to transmit orders that have been created and communicated electronically without manual intervention.
- 2.) It is a violation of U.S. option exchange rules to transmit an order for a BD account or an account in which a BD has a beneficial ownership interest unless the order is properly marked as a BD order.
- 3.) It is a violation of option exchange rules for a client, acting alone or in concert with others, to send an order(s) to an exchange in order to manipulate the execution price of a separate order on the same exchange or another exchange.
- 4.) It is a violation of option exchange rules to enter multiple orders to trade the same option issue that is on the same side of the market for the same beneficial owner within any 15-second period, either in one account or multiple accounts in which the same client has a beneficial interest.
- 5.) It is a violation of option exchange rules for a client to hold himself out as a market maker essentially willing to buy and sell securities on a regular or continuous basis. For determining whether a client is operating as a market maker, the exchange will consider simultaneous or near simultaneous entry of limit orders to purchase or sell the same security, entry of multiple limit orders at different prices in the same security, and the acquisition and liquidation of positions in the same security in the same day.

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。

唯一能夠透過交易所系統執行的交易指令，為小型的公開客戶市場或市場化限價交易指令。符合公開客戶交易指令資格，是指會員或非會員證券經紀交易商對帳戶的交易指令沒有任何利益。超過適用合約限制的交易指令，絕對不符合經交易所系統執行的條件。證券經紀交易商 (BD) 的交易指令，絕對不符合經交易所系統進行電子執行的條件。但是，相關指令可能以電子方式傳遞至交易所。

- 1.) 傳送未經手動干預，以電子方式建立並傳送的交易指令，將違反美國期權交易所規則。
- 2.) 傳輸 BD 帳戶或 BD 擁有實益擁有權的帳戶交易指令，將違反美國期權交易所規則。除非，該交易指令被正確標示為 BD 交易指令。
- 3.) 客戶單獨或與他人一同向交易所發送交易指令，以便在同一或另一個交易所上操控獨立交易指令的執行價，將違反美國期權交易所規則。
- 4.) 同一位擁有單一帳戶或多個帳戶實益的客戶，在 15 秒時間內，在市場輸入同一發行期權的多筆相同方向的交易指令，將違反美國期權交易所規則。
- 5.) 客戶若自詡是莊家，願意定期或持續地買賣證券，將違反美國期權交易所規則。為了判斷客戶是否以莊家身份進行交易，交易所將考慮同時或幾乎同時輸入的購買或出售相同證券的限價交易指令，並且在同一證券中，以不同的價格輸入多筆限價單，以及在同一天針對同一證券進行買入與平倉。



TD Ameritrade Hong Kong Ltd.
CE Number BJO462
Suite 1211-13, Two Pacific Place
88 Queensway
Hong Kong

德美利證券香港有限公司
中央編號 BJO462
香港金鐘道 88 號
太古廣場二座
1211-13 室

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