

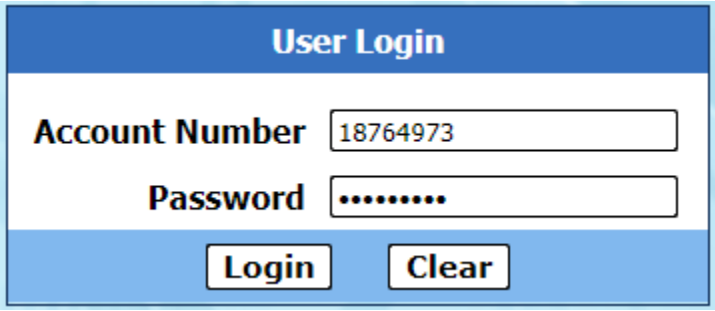
Hong Kong Stock Options User Guide

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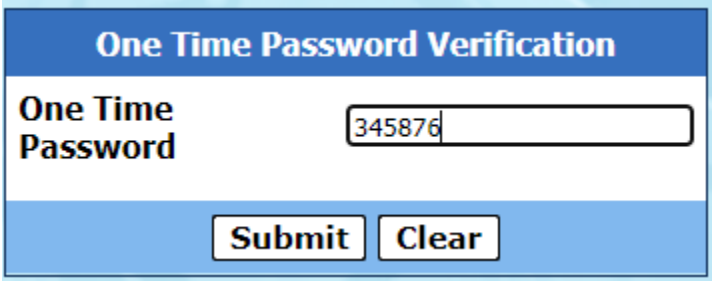
1. LOGIN PAGE

Input the Account Number and Password by using your keyboard. (Figure 1.1) Then, Click the "**Login**" button to go to the One Time Password Verification page.



(Figure 1.1)

"GTJAI Stock Option Mobile OTP" App will display a 6-digit one-time password (OTP) (new OTP is generated every 30 seconds). Enter the 6-digit OTP into web page, and then click " **Submit** " to log in Online Trading Platform. (Figure 1.2)



(Figure 1.2)

2. ONLINE TRADING PLATFORM

The Online Trading Platform allows you to transact online and access to your portfolio. (Figure 2.1)



(Figure 2.1)

3. ORDER TYPES AND VALIDITY

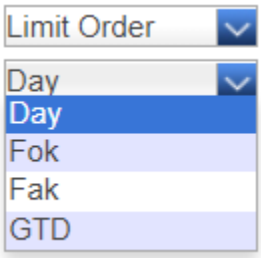
3.1 Order Types

3.1.1 Limit Order

A limit order is an order that entered with a specific price. The order is to be matched at the price or better, depending on what is best available in the market.

3.2 VALIDITY

3.2.1 Layout explanations on Good Till Order Choice.(Figure 3.1)



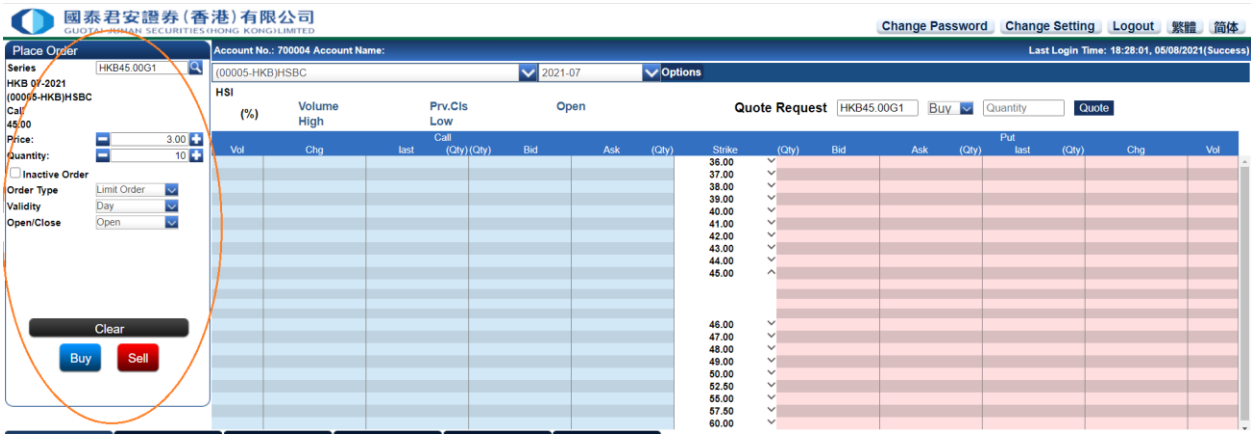
(Figure 3.1)

3.2.2 Choices Explanations

Choice	Choices Detail	Description
DAY	Today Order	Day orders are intended to be active only during that trading day. Day orders automatically expire at the end of the day and do not carry over to the next trade date.
FOK	Fill Or Kill Order	Order to be executed in its entirely ; if not so executed, the order is to be cancelled
FAK	Fill And Kill Order	A FAK is an order type that is commonly used for bulk orders. This allows you to place a buy or sell order at your preferred price (limit price) and any unfilled amount or portion will be cancelled after the order has been executed.
GTD	Good Till Day Order	GTD Order remains in effect until the market close of specified date, after that order will remove as today order

4. Place Order

You can place orders through the "**Place Order**" function. (Figure 4.1)

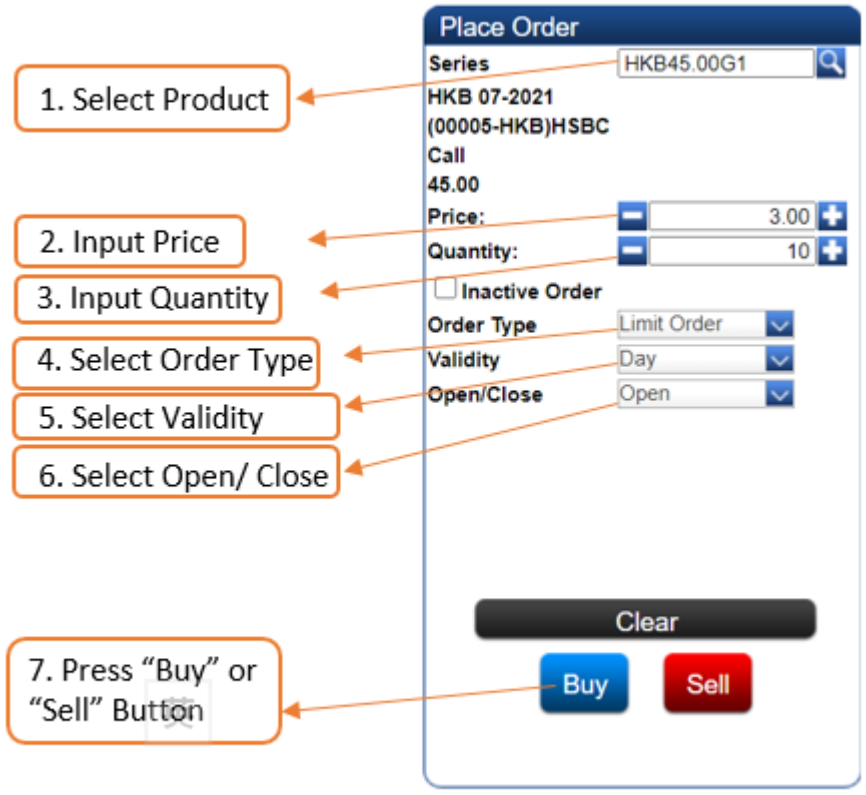


(Figure 4.1)

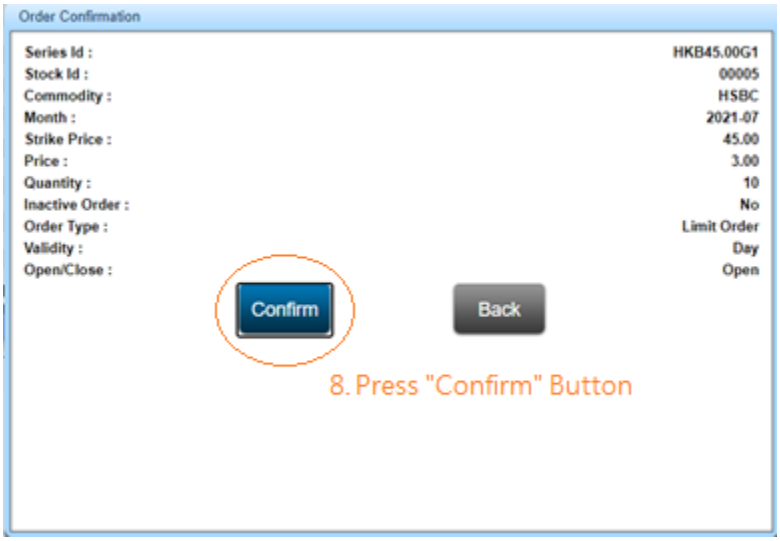
After entering the price and quantity, select the corresponding buying and selling direction. When confirm pressed, the order will be executed and the order will be created in the system.

Steps of placing a new order (Figure 4.2)

1. Select Product type
2. Input price and quantity
3. Select the Order Type/ Validity and Open /Close
4. Press "**Buy**" or "**Sell**" button
5. Press "**Confirm**" button (Figure 4.3)



(Figure 4.2)

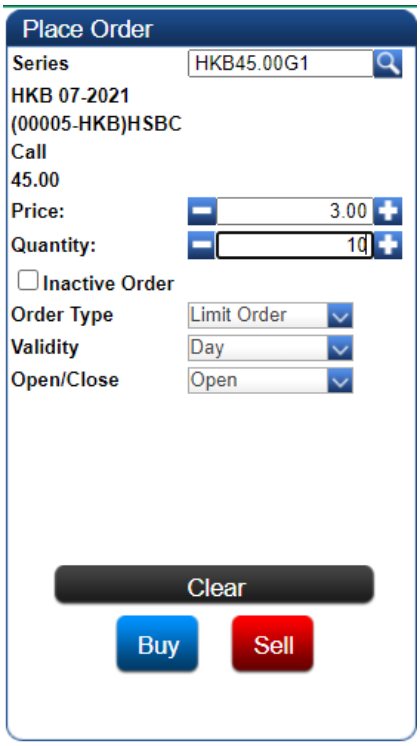


(Figure 4.3)

Example： Input the Market Order

Series ID	HKB45.00G1
Stock ID	00005
Contract Month	2021-07
Price	3.00
Quantity	10
Order Type	Limit Order
Validity	Day
Open/Close	Open

Input the order details shown as below: (Figure 4.4)

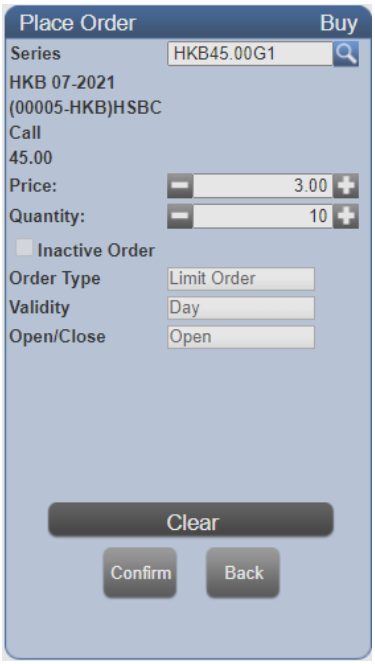


(Figure 4.4)

- Press 

After that, confirmation of order is required. The "**Place Order**" screen turns blue in color for buy order and red in color for sell order. (figure 4.5)

- If the details are correct, press "**Confirm**" button to submit the order.
- If amendment or cancellation is required, press "**Back**".



(figure 4.5)



(figure 4.6)

After order submission, "**Order Confirmation**" screen appears in which the order details are displayed. (Figure 4.6)

- Press "**Back**" and return to "**Order Place**" screen.
- Press "**Confirm**" the order will be executed and the order will be created in the system.

5. ORDER STATUS – MODIFY/CANCEL

5.1 Order Status

In the bottom of the Online Trading Platform is the "**Order Status**" tab. This page shows the status of all submitted orders. You can use the function of "**Filter**" in the upper right corner of the page to check the status of your submitted orders.

1. Refresh
2. Filter

* Remember to press the "**Refresh**" button to obtain the most updated transaction status.





(Figure 5.1)

5.1 You can obtain the following information through the "**Order Status**":

1) Order ID: A unique number for each submitted order.

2) Action: Cancel / Modify for unexecuted order

3) Market: The exchange market of stock option

4) Prod: Abbreviation of the instruments

5) Commodity: Full name of the instrument

6) Month: Contract month of the order

7) Call/Put: Call or Put Option

8) Strike: Strike price of the underlying

9) Order Type: Type of the order

10) Buy/Sell: Buy order or Sell order

11) T+1: T+1 order or not

12) Price: Input price of the order

13) Qty: Quantity of the order

14) O/S: Outstanding quantity, i.e. the number of the unexecuted contracts

15) Filled: Number of the executed contracts

16) Avg Price: Average price of the executed contracts

17) Until: Validity of order type

18) Status: Status of the order

19) Reject Reason: reason of reject (if any)

20) Input Time: Input Time of the order

5.2 Modify Order

For any unexecuted outstanding order, you can click "**Modify**" to change its price and quantity. For modifying orders, increase (+) or reduce (-) in price is allowed; but for quantity, only reduce (-) is allowed.

Example of Modifying an Order ：

Modify an outstanding buy order: "buy 20 contracts of HKB 01-2021(00005 - HKB) HSBC " to "buy 15 contracts of HKB 01-2021(00005 - HKB)HSBC". (Figure 5.2)



（Figure 5.2）

Steps of modifying an order

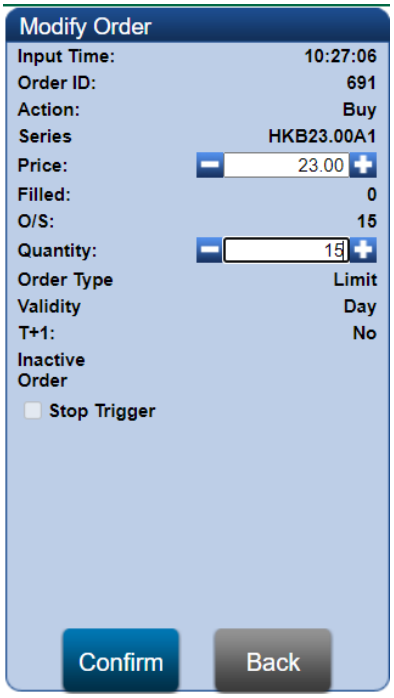
1. Click the "**Modify**" button beside the unexecuted order;

2. After that, the "**Place Order**" screen (Figure 5.2) in the above will turn into the "**Modify Order**" screen (Figure 5.3);

3. Enter new quantity; **(Remark: quantity cannot be increased)**

4. Confirm order: a. If the details are correct, press "**Confirm**" button b. For cancellation of the amendment, press "**Back**" button

5. After the order is successfully modified, you will see the latest order status in the Order Status panel below (Figure 5.4)



(Figure 5.3)



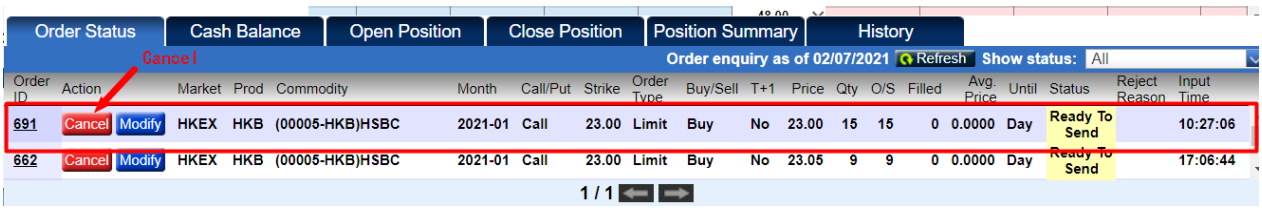
(Figure 5.4)

5.3 Cancel Order

For any unexecuted outstanding order, you can click "**Cancel**" to cancel it.

Example of Cancel order :

Cancel an outstanding sell order: "buy 15 contracts of HKB 01-2021(00005 - HKB)HSBC". (Figure 5.5)



(Figure 5.5)

Steps of canceling an order

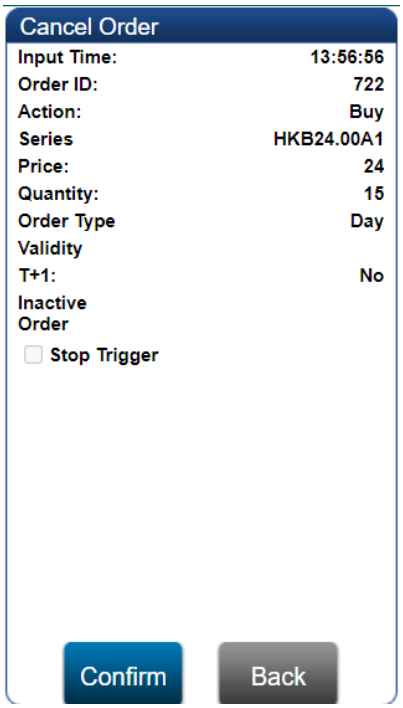
1. Click the "**Cancel**" button beside the unexecuted order;

2. After that, the "**Place Order**" screen in the above will turn into the "**Cancel Order**" screen; (Figure 5.6)

3. Press "**Confirm**" button to transmit the cancellation request;

4. Press "**Back**" button to discontinue the cancellation request;

5. After transmission of the cancellation request, you will see the latest order status in the Order Status panel below (Figure 5.7)



(Figure 5.6)



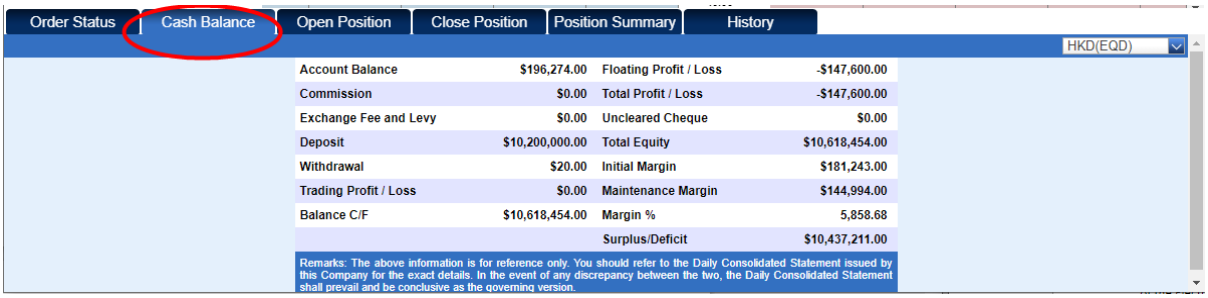
(Figure 5.7)

6. Order Status and Description

Status	Description
Queued	Order is being queued up in Hong Kong Exchanges and Clearing Limited ("HKEX")
Partial Filled	Order is partially filled
Fully Filled (Partial Cancelled)	Order is partially filled and partially cancelled because the unfilled part: 1) is cancelled by client; 2) is cancelled due to expiration; or 3) is rejected by HKEX
Fully Filled	Order is fully filled
Rejected	Order is rejected: 1) by HKEX due to expiration; 2) by HKEX due to other reasons; 3) by GTJA to insufficient fund; or 4) by GTJA due to exceeded position limit.
Cancelled	Order is being cancelled by client;
Waiting Approval	Order is waiting for credit approval due to insufficient fund or exceeded position limit.

7. Cash Balance

You can view cash balance of your trading account with GTJA by pressing "**Cash Balance**" tab in the bottom of the Online Trading Platform (Figure 7.1).



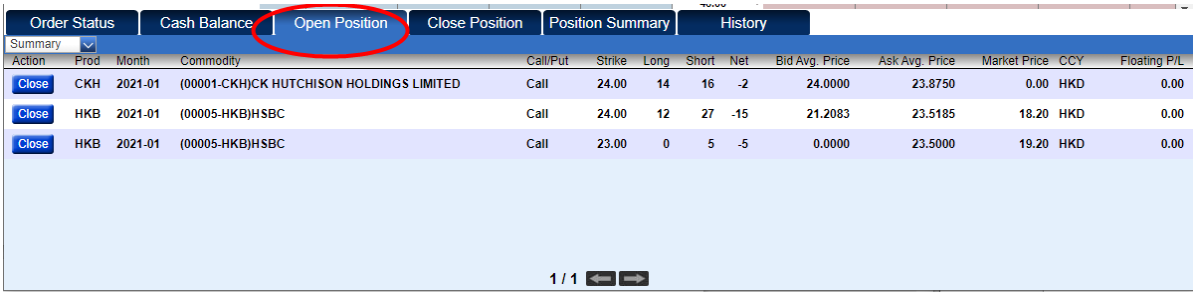
(Figure 7.1)

In the "Cash Balance" page, you can view the following information:

- Account Balance
- Commission Paid
- Trading Fees & Levy
- Deposit
- Withdrawal
- Trading Profit/Loss
- Balance C/F
- Floating Profit/Loss
- Total Profit/Loss
- Uncleared Cheque
- Total Equity
- Initial Margin
- Maintenance Margin
- Margin%
- Surplus/ Deficit

8. Open Position

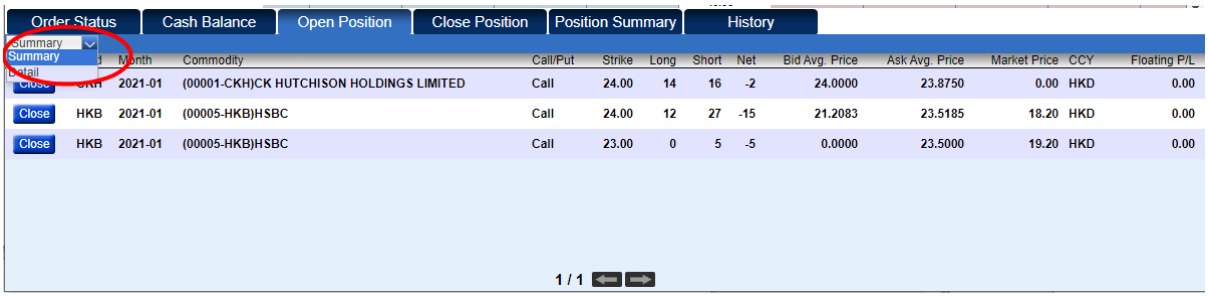
You can view your open position status of your account by pressing "**Open Position**" tab in the bottom of the Online Trading Platform. (Figure 8.1)



(Figure 8.1)

Inside page of "**Open Position**", you can view your open position summary and the details of your portfolio. (Figure 8.2)

- Summary
- Detail

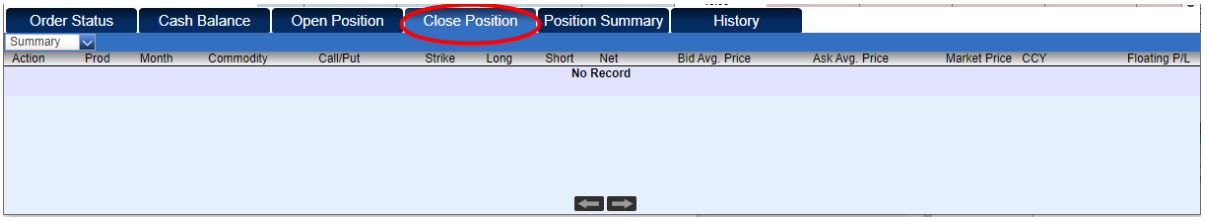


(Figure 8.2)

9. Close Position

You can view your open position status of your account by pressing "**Close Position**" tab in the bottom of the Online Trading Platform. (Figure 9.1)

Inside page of "**Close Position**", you can view your close position summary and the details of your portfolio.



(Figure 9.1)

10. Position Summary

You can view your open position status of your account by pressing "**Position Summary**" tab in the bottom of the Online Trading Platform. (Figure 10.1)

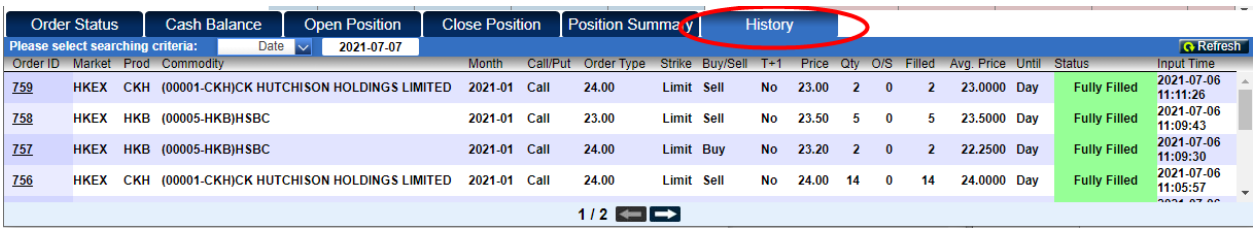
Inside page of "**Close Position**", you can view your close position summary and the details of your portfolio.



(Figure 10.1)

11. History

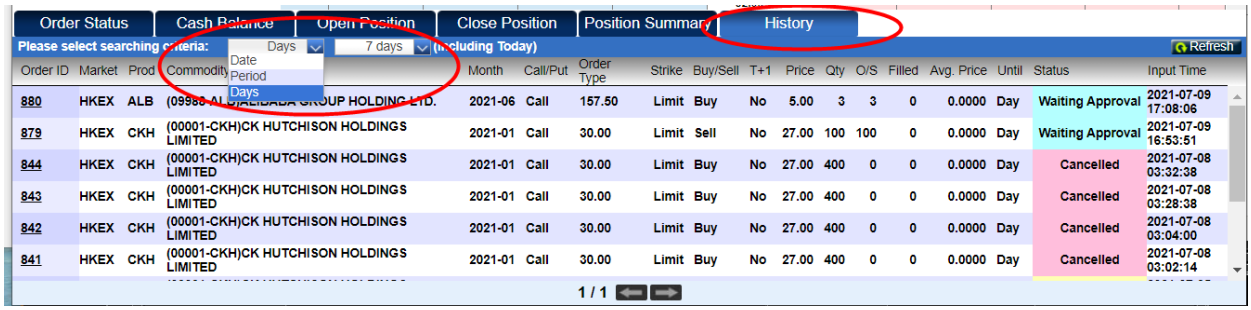
You can view the order history of your account by pressing "**History**" tab in the bottom of the Online Trading Platform. (Figure 11.1）



(Figure 11.1)

In this section, all the order entries within one month are available. There are 3 types of searching methods. (Figure 11.2)

- Date: By selecting a specific date, you can view the order entries in that day.
- Period: you can view the order entries within the specific period that you defined.
- Days: By selecting the number of days (7 days, 14 days or 30 days), you can view the order entries in the past 7 days, 14 days or 30 days being selected.



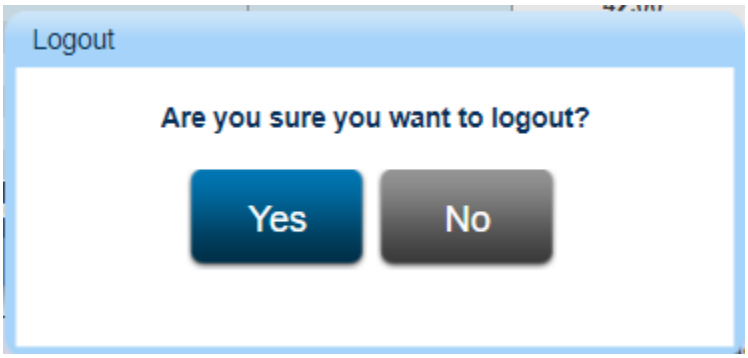
(Figure 11.2)

12. LOGOUT

You are advised to logout immediately after using our system for security reason. You could use the below methods to logout the system:

1. Click "**Logout**" button (Figure 12.1) and choose "**Yes**" button to logout or

2. Close the Browser



(Figure 12.1)

-The End-