

オプション口座の開設について

オプション口座を開設希望される場合には、個人口座開設の書類に加えオプション口座開設の書類を提出して頂きます。記載事項の詳細は下記のガイドに従って下さい。

資金・手数料・プラットフォームについて

オプション取引をする際には、株式口座開設と少々異なります。

口座開設の最低資金は、\$5,000 ですが、最低資金額は戦略や経験によって変わってきます。詳細は下のチャートをご覧ください。

オプション取引は、普通の投資家が利益をあげるのがとても難しい取引です。事実、80%の投資家が利益を上げられないのが現状です。私達の顧客を保護する為、NWTファイナンシャルではオプション取引の経験の少ない方々に厳重なガイドラインを設定しております。

NWT のオプションの方針

Strategy	Required Investment Objective	Annual Income	Net Worth	Liquid Net Worth	Prior Experience
Covered Calls	Income	\$20,000	\$25,000	\$20,000	None
Purchases	Speculation	\$50,000	\$100,000	\$50,000	None
Covered Put Writing	Speculation	\$50,000	\$100,000	\$50,000	3 Years
Spreads/Straddle	Speculation	\$50,000	\$100,000	\$50,000	3 Years
Naked Writing	Speculation	\$150,000	\$500,000	\$250,000	5 Years

日本語訳

戦略	投資目標	年収	純資産	流動資産	オプション経験
カバードコール	固定された利益	\$20,000	\$25,000	\$20,000	なし
コール/プットの買い	投機	\$50,000	\$100,000	\$50,000	なし
カバード・プット	投機	\$50,000	\$100,000	\$50,000	3年
スプレッド/ストラドル	投機	\$50,000	\$100,000	\$50,000	3年
ネイキッド・オプション	投機	\$150,000	\$500,000	\$250,000	5年

株式取引は片道 \$15 ですが、オプション取引は 1 回 \$9.99 + \$1.50/コントラクトと ECN などの手数料が加算されます。

オプション取引をディレクトアクセスをご希望の場合はプラットフォーム (Real Tick か Orbis System) が必要になります。

PENSON FINANCIAL SERVICES, INC.
AND/OR BROKER DEALERS FOR WHICH IT CLEARS
CUSTOMER OPTION AGREEMENT

To open an Options Account we must obtain the following supplemental information in addition to that on the New Account form. If account is a joint account, give information as to all owners. Information concerning the customer obtained from sources other than the customer, including estimates, should be noted as such on this form. Also, the customer's refusal to provide information called for on this form should be noted on the form.

Account Name: □ 座開設者の名前 Account Number: _____
 Address: 自宅住所 Home Phone #: 自宅電話番号
 (No P.O. Boxes) _____
 No. of Dependents: _____ Marital Status: S M D W N/A
 Birth date: 生年月日 Spouse's Name: _____
 Work Phone #: 勤務先電話番号 Spouse's Birth date: _____
 Employer / Spouse's Employer
 Position: _____ / Position: _____

PREVIOUS OPTIONS EXPERIENCE: オプションの経験 PREVIOUS INVESTMENT EXPERIENCE: その他投資の経験 INVESTMENT OBJECTIVES & ANTICIPATED TYPE(S) OF OPTION TRANSACTIONS: 投資の目的
 Choose one or more

	Stock Options	Index Options		Years of Experience	Usual Size of Trades Per Year	Usual No. Of Trades Per Year	Income: _____
Buying (Includes Debit, Spreads & Straddles):			Options:				Safety or Leverage: _____
Covered Writing:			Stocks:				Speculation: _____
Spreads:			Bonds:				Covered Call Writing: _____
Uncovered Writing:			Commodities:				Purchasing Options: _____ *Only for Safety or Leverage/Calls for Leverage
None:			Other: (Specify)				Other Option Transactions: _____ *(Uncovered) Spreads, Straddles, Combinations

APPROXIMATE ANNUAL INCOME AND NET WORTH:

現金化出来る資産の合計 ↓

年収 Salary	ボーナス Bonus	その他 Other	合計 Total	Approximate net worth: (Exclusive of residence, etc.)	資産の累計	Approximate liquid net worth: (Cash, cash equivalents, marketable securities)
_____	_____	_____	_____	_____	_____	_____

BY SIGNING BELOW, THE UNDERSIGNED CERTIFIES THAT THE INFORMATION CONTAINED HEREIN IS COMPLETE AND ACCURATE. THE UNDERSIGNED AGREES TO ADVISE ITS BROKER OF ANY MATERIAL CHANGE IN THE UNDERSIGNED'S FINANCIAL STATUS AND/OR INVESTMENT OBJECTIVES. BY SIGNING BELOW, THE UNDERSIGNED AGREES TO ALL TERMS OF THE CUSTOMER OPTIONS AGREEMENT PRINTED ON THE BOTH SIDES OF THIS DOCUMENT. THE REVERSE SIDE OF THIS DOCUMENT, PARAGRAPH 9, CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE. THE UNDERSIGNED ACKNOWLEDGES THAT HE/SHE HAS RECEIVED THE DISCLOSURE DOCUMENT, "CHARACTERISTICS AND RISKS OF STANDARDIZED OPTIONS" AND IS AWARE OF THE SPECIAL RISKS INHERENT IN OPTIONS TRADING.

For use by individual, including accounts:

For use by entity customers only (i.e., corporations, partnerships, trusts)

署名 筆記体で

Signature _____
 Print Name 名前 ブロック体で _____
 Signature (Second Party, if Joint Account) _____
 Print Name _____
 Date: 日付 _____

Customer Name _____
 By: _____
 Title: _____
 Date: _____

BROKERS USE ONLY: (Must be filled in before Penson can accept)
 Please note Date of Delivery: _____
 1. Characteristics and Risks of Standard Options: _____
 2. Special Statement for Uncovered Option Writers: _____
 AE Signature: _____ Date: _____
 ROP Signature: _____ Date: _____

TO BE COMPLETED BY MANAGER PRIOR TO OPTION TRADING:
 Approved for option trading as follows:
 Covered Call Writing: _____
 Purchasing Options: _____
 Other Option Transactions: _____
 Approved Subject to the Following Limits: _____
 Manager Signature: _____ Date: _____