



第一理财专用:

Account Number: _____

Brokerage Account Application 经纪帐户申请表

请用正体英文填写此表格. 所有资料必须填写齐全方可进行开户程序

Name of Account 帐户名称		E-mail Address 电子邮件信箱: _____	
Name on Account 帐户注册姓名		<input type="checkbox"/> Home 住家 <input type="checkbox"/> Business 公司 <input type="checkbox"/> P.O. Box 邮政信箱 Send mail to 信件寄至: _____ ()	
Joint Applicant's Name 共同持有申请人姓名	P.O. Box 邮政信箱 (如适用)	Home Telephone 住家电话	
Home Address 住址 (不可仅填写邮政信箱)	City 城市	State 州	Zip Code 邮递区号 Country 国家

Type of Account 帐户类型

Account Registration 帐户登记:

Individual 个人(以您的名字注册) Joint Tenants with Rights of Survivorship 享有继承权的共同持有
 Tenants in Common 共同持有 (请加填共同帐户合约) Custodial 监护人 (提供未成年人的生日及社会安全号码)

All qualified accounts are opened as margin accounts, allowing you to borrow against the value of certain marginable securities. To decline margin privileges, check the box below. \$2,000 minimum equity is required to establish a margin account.

所有合格的帐户申请表都将建立为融资帐户, 让您用帐户内合格证券作为抵押融资。若您不希望融资, 请勾选以下方格。融资帐户基本存款为\$2,000 股票或资金。

I decline margin privileges. Open my account as cash only. 我不希望融资, 请建立现金帐户。

Personal Information 个人资料

Your Social Security or Tax ID Number 您的社会安全号码或税号	Date of Birth 生日	<input type="checkbox"/> Single 单身 <input type="checkbox"/> Divorced 离婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 丧偶
Bank Reference 银行资料	Bank Account Number 银行帐户号码	
Brokerage Account Reference 其他经纪帐户资料	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Are you a U.S. citizen? If not, please specify 您是不是美国公民? 若不是请註明国籍	
Joint Applicant's Social Security or Tax ID Number 共同持有人社会安全号码或税号	Date of Birth 生日	<input type="checkbox"/> Single 单身 <input type="checkbox"/> Divorced 离婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 丧偶
Bank Reference 银行资料	Bank Account Number 银行帐户号码	
Brokerage Account Reference 其他经纪帐户资料	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Are you a U.S. citizen? If not, please specify 您是不是美国公民? 若不是请註明国籍	

Employment Information 工作资料

Your Employer 雇主	Occupation/Position 职位	Years of Employment 工作年资	Type of Business 公司类型
------------------	------------------------	--------------------------	-----------------------

()

Business Address 公司地址	City 城市	State 州	Zip 邮递区号	Country 国家	Business Telephone 公司电话
-----------------------	---------	---------	----------	------------	-------------------------

Joint Applicant's Employer 共同申请人雇主	Occupation/Position 职位	Years of Employment 工作年资	Type of Business 公司类型
------------------------------------	------------------------	--------------------------	-----------------------

()

Business Address 公司地址	City 城市	State 州	Zip 邮递区号	Country 国家	Business Telephone 公司电话
-----------------------	---------	---------	----------	------------	-------------------------

Check here if you have granted trading authorization to another party. 如果您有授权第三方交易权力请勾选此方格。
If so, request Trading Authorization Form and provide name of agent 若是, 请填写第三方姓名资料:

Check here if you, or the Joint Applicant, are a director, 10% shareholder, or policy-making officer of a publicly traded company. 如果您或共同帐户持有人为任何公开上市公司的董事, 10% 持股人或决策人, 请勾选此方格。

If so, identify the company name, address, and position held 若是, 请填写该公司名称、地址、以及职位:

Check here if you, or the Joint Applicant, are licensed or employed by a registered broker/dealer or registered investment advisor. 如果您或共同帐户持有人本人或雇主为登记有照的经纪或投资顾问, 请勾选此方格。

If so, identify the company name, address, and position held 若是, 请注明公司名称、地址、以及职位:

Check here if you, the Joint Applicant, or any member of your immediate family, is a Senior Foreign Political Figure. 如果您、共同帐户持有人或您的直系亲属是国外高级政府官员, 请勾选此方格。

If so, identify the name of the official, office held, relationship to account owner, and country 若是, 请注明官员姓名、职位、国家、以及与您的关系:

Investment Profile 投资资料

Regulations require us to ask for the following information in order to properly service your investment needs. For joint accounts, please provide us with information for your household. All information will be kept strictly confidential. 相关单位规定我们取得以下资料，以便提供更完善的投资服务。共同持有帐户请用家庭为单位填写。所有资料将慎重保密。

Investment Objectives 投資目標 (可複選) :

Speculation/Trading 投机/交易 Growth 增值 Income 收入 Capital Preservation 资金保值

Your investment objectives must include Speculation/Trading for option trading 期权交易必须勾选投机/交易

Investing Experience 投资经验 :

- None 无
 Limited 有限
 Good 良好
 Extensive 丰富

Annual Income 年收入(所有来源) :

- \$0 - \$24,999
 \$25,000 - \$49,999
 \$50,000 - \$74,999
 \$75,000 - \$99,999
 Over \$100,000

Federal Tax Bracket 联邦课税级别 :

- Under 15%
 15% - 25%
 Over 25%

Estimated Net Worth 淨資產估计 :

- \$0 - \$49,999
 \$50,000 - \$99,999
 \$100,000 - \$249,999
 \$250,000 - \$499,999
 Over \$500,000

Estimated Liquid Net Worth 流动資產估计(现金及流动证券) :

- \$0 - \$49,999
 \$50,000 - \$99,999
 \$100,000 - \$249,999
 \$250,000 - \$499,999
 Over \$500,000

Would you like your existing brokerage account transferred to Firsttrade? 您是否想将您现有的经纪帐户转至第一理财?

Yes, transfer my existing brokerage account to Firsttrade. 是的，请将我现有的经纪帐户转至第一理财。(相关表格会邮寄给您，或您可以至第一理财网站 www.firsttrade.com/china 下载)

No, not at this time. 否。

Account Agreement 帐户合约

Rule 14b-1(c) of the Securities Exchange Act, unless you object, requires us to disclose to an issuer, upon its request, the name, address, and securities position of our customers who are beneficial owners of the issuer's securities, which are held by Ridge Clearing in nominee name. The issuer would be permitted to use your name and other related information for corporate communication only. If you object to this disclosure, check this box:

I would like to establish a brokerage account with Firstrade Securities Inc. which clears all transactions through Ridge Clearing. I acknowledge by signing this agreement that I have received, read and understand the terms and conditions in the Firstrade Securities Inc. Account Agreement (which includes the margin agreement), and agree to be bound by these terms and conditions as they apply to my account as amended from time to time. I agree that Firstrade Securities Inc. does not provide legal or tax advice, and will not advise me concerning the nature, potential value, or suitability of any particular security, transaction, or investment strategy. I understand that investments purchased through Firstrade Securities are not insured by the FDIC (Federal Deposit Insurance Corporation), are not obligations of or guaranteed by any financial institution and are subject to investment risk and loss that may exceed the principal invested.

In accordance with the Firstrade Securities Account Agreement, I agree that all debts and other obligations owed to Firstrade and any party to the Account Agreement will be secured by a lien on all securities and other property now or hereafter held or maintained in any of my present or future Firstrade accounts, whether individually or jointly held with others, or in any other Firstrade account in which I have an interest.

I further acknowledge that I have received, read and understand the predispute arbitration clause located in the Firstrade Securities Inc. Account Agreement, paragraph 23, and agree to resolve any disputes arising out of my account by arbitration.

I further acknowledge that I have received, read and understand the Margin Disclosure Statement provided by Firstrade Securities Inc.

Under penalties of perjury, I certify (1) that the number shown on this application is my correct taxpayer identification number and (2) that I am not subject to backup withholding and (3) that I am a U.S. person (including a resident alien); provided, however, if I am a nonresident alien as disclosed in this application, I do not certify that I am a U.S. person and I understand that I must submit the appropriate W-8 Form. If I have been notified by the IRS that I am subject to backup withholding as a result of dividend or interest underreporting, I must cross out the text contained in clause (2) of this section and I understand I will be subject to backup withholding.

I authorize Ridge Clearing and/or Firstrade Securities to obtain a consumer report at the time of application to verify my creditworthiness and to obtain a consumer report from time to time for updates, renewals, extensions, and collection activity on any approved account. Upon my written request, Ridge Clearing will disclose to me whether it obtained a report, and if so, the name and address of the consumer-reporting agency that provided it. In the event that my account is denied, as a result of the consumer report verification, I authorize Ridge Clearing to provide to Firstrade the reason(s) for such denial.

I acknowledge that the information provided in the Account Application is accurate and correct. 本人确认此帐户申请表所填写的资料准确无误。

X

Applicant's Signature 申请人签名

Date 日期

X

Joint Applicant's Signature 共同申请人签名

Date 日期

第一理财专用

Margin

Cash

Approved By: _____

Date: _____

Account #: _____

Customer ID
Verified:

Yes
 No

FBA-CN-0821

W-8BEN 表格填写说明

美国证券市场几乎对全世界国家的人民开放，为奖励投资，符合外国人身份的投资人买卖证券所得之资本利得(Capital Gain)免于扣缴美国所得税。若您并非美国居民，开户时请填写美国国税局提供的 W-8BEN 表，以便享受免税优惠。然而，外国投资人所得的现金股利 (Dividends) 仍然必须缴交美国政府所得税。W8BEN 表请寄到第一理财而非美国国税局。

W-8BEN 是美国政府单位发行的表格，必须以英文正楷填写，第一理财所提供的中文版本，仅作参考用。

请注意：

- 美国公民、持有绿卡之永久居民请勿使用 W-8BEN，请使用 W-9。
- 居住在美国境内之外籍人士，其身份符合美国国税局所定义之所得税申报义务人者，请勿使用 W-8BEN，请使用 W-9。
- 当年度在美国境内实际居住超过 183 天之外籍人士，请勿使用 W-8BEN。F、J、M、Q 签证持有者除外，请在表格上註明您的签证类别。
- 若您的身分由他国国籍变更为美国公民或永久居民，请於 30 天内填写 W-9 通知第一理财。
- 若您的固定居住地址迁移至不同国家，请於 30 天内填写新的 W-8BEN 表格交予第一理财。

Part I 受益人资料

1. 姓名
2. (个人不须填写；公司组织请填写成立所在地国名)
3. 受益人所属类别
4. 固定居住地址〔恕不接受邮政信箱号码或代收邮件地址〕
除少数例外，居住地址应包含门牌号码、路(街)名、城市名、国名和邮政编码。
5. 通讯地址(若与固定居住地址相同可不填)
6. 美国纳税人税籍号码(例如社会安全号码 SSN 或个人报税号码 ITIN)
7. 国外税籍号码(如适用)
8. 相关号码(如第一理财帐户号码)

Part II 税务减免要求(如适用)

9. 若以下适用请勾选
a：所得期间若申报人居住在美国的税务减免互惠国内，请勾选此方块并填写该国家名称。

Part III 填写人声明

本人声明以上所填资料属实且完整。同时也声明以下项目为实：

- 本人(或授权人)为本表格所提及的所有所得申报人。
- 受益人不是美国税法规定的美国所得税申报义务人(U.S. Person)。
- 本人的所得不属美国的贸易或商业行为，且本人确实符合美国的税务减免互惠资格。
- 证券交易受益人是免徵美国所得税的他国申报人。

除此之外，在此声明，美国所得税扣缴单位有权预扣我的税款。

SIGN HERE 签名栏

请受益人或授权人签名；日期(月/日/年)；授权代理人身分。



Substitute Form W-8BEN

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

Department of the Treasury Internal Revenue Service

- Section references are to the Internal Revenue Code.
- For complete instructions or more information on the W-8 forms, please refer to the Internal Revenue Service (IRS) website at www.irs.gov.
- Give this form to the withholding agent or payer. Do not send to the IRS.

Do not use this form for:

Instead, use Form:

- A U.S. citizen or other U.S. person, including a resident alien individual.....W-9
 - A person claiming an exemption from U.S. withholding on income effectively connected with the conduct of a trade or business in the United States.....W-8ECI
 - A U.S. nonresident alien physically present in the U.S. for 183 days or more during the present calendar year.
- Exception:** Individuals holding an "F", "J", "M" or "Q" visa should use this form. If yes, please indicate visa type here: _____.
- Note:** See IRS instructions for additional exceptions.

Part I Identification of Beneficial Owner (See Instructions.)

1 Name of individual that is the beneficial owner	2 Country of incorporation or organization <p style="text-align: center;">N / A</p>
3 Type of beneficial owner: <input type="checkbox"/> Individual	
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. Box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country (do not abbreviate)
5 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country (do not abbreviate)
6 U.S. taxpayer identification number, if required (see instructions)	7 Foreign tax identifying number, if any (optional)
8 Reference number(s) (see instructions)	

Part II Claim of Tax Treaty Benefits (if applicable)

- 9 I certify that (check all that apply):
- a. The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
 - b. If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
 - c. The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates,
 - The beneficial owner is not a U.S. person,
 - The income to which this form relates is not effectively connected with the conduct of a trade or business in the United States or is effectively connected but is not subject to tax under an income tax treaty, **and**
 - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income which I am the beneficial owner. The Internal Revenue Service does not require your consent to any provisions of this document other than the certifications required to establish your status as a non-U.S. person and, if applicable, obtain a reduced rate of withholding.

Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Capacity in which acting