



第一理財專用:

Account Number: _____

Brokerage Account Application 經紀帳戶申請表

請用正體英文填寫此表格. 所有資料必須填寫齊全方可進行開戶程序

Name of Account 帳戶名稱		E-mail Address 電子郵件信箱: _____	
Name on Account 帳戶註冊姓名		<input type="checkbox"/> Home 住家 <input type="checkbox"/> Business 公司 <input type="checkbox"/> P.O. Box 郵政信箱 Send mail to 信件寄至: _____ ()	
Joint Applicant's Name 共同持有申請人姓名	P.O. Box 郵政信箱 (如適用)	Home Telephone 住家電話	
Home Address 住址 (不可僅填寫郵政信箱)	City 城市	State 州	Zip Code 郵遞區號

Type of Account 帳戶類型

Account Registration 帳戶登記:

Individual 個人(以您的名字註冊) Joint Tenants with Rights of Survivorship 享有繼承權的共同持有
 Tenants in Common 共同持有 (請加填共同帳戶合約) Custodial 監護人 (提供未成年人的生日及社會安全號碼)

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.
 所有合格的帳戶申請表都將建立為融資帳戶，讓您用帳戶內合格證券作為抵押融資。若您不希望融資，請勾選以下方格。融資帳戶基本存款為\$2,000 股票或資金。

I decline margin privileges. Open my account as cash only. 我不希望融資，請建立現金帳戶。

Personal Information 個人資料

Your Social Security or Tax ID Number 您的社會安全號碼或稅號	Date of Birth 生日	<input type="checkbox"/> Single 單身 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 喪偶 Marital Status 婚姻狀況
Bank Reference 銀行資料	Bank Account Number 銀行帳戶號碼	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Brokerage Account Reference 其他經紀帳戶資料	Are you a U.S. citizen? If not, please specify 您是不是美國公民？若不是請註明國籍	<input type="checkbox"/> Single 單身 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 喪偶 Marital Status 婚姻狀況
Joint Applicant's Social Security or Tax ID Number 共同持有人社會安全號碼或稅號	Date of Birth 生日	Marital Status 婚姻狀況
Bank Reference 銀行資料	Bank Account Number 銀行帳戶號碼	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Brokerage Account Reference 其他經紀帳戶資料	Are you a U.S. citizen? If not, please specify 您是不是美國公民？若不是請註明國籍	

Employment Information 工作資料

Your Employer 僱主	Occupation/Position 職位	Years of Employment 工作年資	Type of Business 公司類型 ()
Business Address 公司地址	City 城市	State 州 Zip 郵遞區號	Business Telephone 公司電話
Joint Applicant's Employer 共同申請人僱主	Occupation/Position 職位	Years of Employment 工作年資	Type of Business 公司類型 ()
Business Address 公司地址	City 城市	State 州 Zip 郵遞區號	Business Telephone 公司電話

Check here if you have granted trading authorization to another party. 如果您有授權第三方交易權力請勾選此方格。
If so, request Trading Authorization Form and provide name of agent 若是，請填寫第三方姓名資料：

Check here if you, or the Joint Applicant, are a director, 10% shareholder, or policy-making officer of a publicly traded company. 如果您或共同帳戶持有人為任何公開上市公司的董事，10% 持股人或決策人，請勾選此方格。
If so, identify the company name, address, and position held 若是，請填寫該公司名稱、地址、以及職位：

Check here if you, or the Joint Applicant, are licensed or employed by a registered broker/dealer or registered investment advisor. 如果您或共同帳戶持有人本人或僱主為登記有照的經紀或投資顧問，請勾選此方格。
If so, identify the company name, address, and position held 若是，請註明公司名稱、地址、以及職位：

Check here if you, the Joint Applicant, or any member of your immediate family, is a Senior Foreign Political Figure. 如果您、共同帳戶持有人或您的直系親屬是國外高級政府官員，請勾選此方格。
If so, identify the name of the official, office held, relationship to account owner, and country 若是，請註明官員姓名、職位、國家、以及與您的關係：

Investment Profile 投資資料

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. 相關單位規定我們取得以下資料，以便提供更完善的投資服務。共同持有帳戶請用家庭為單位填寫。所有資料將慎重保密。

Investment Objectives 投資目標 (可複選) :

- Speculation/Trading 投機/交易 Growth 增值 Income 收入 Capital Preservation 資金保值

Your investment objectives must include Speculation/Trading for option trading 期權交易必須勾選投機/交易

Investing Experience 投資經驗 :

- None 無
 Limited 有限
 Good 良好
 Extensive 豐富

Annual Income 年收入(所有來源) :

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

Federal Tax Bracket 聯邦課稅級別 :

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

Estimated Net Worth 淨資產估計 :

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

Estimated Liquid Net Worth 流動資產估計(現金及流動證券) :

- \$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? 您是否想將您現有的經紀帳戶轉至第一理財?

Yes, transfer my existing brokerage account to Firsttrade. 是的，請將我現有的經紀帳戶轉至第一理財。(相關表格會郵寄給您，或您可以至第一理財網站 www.firsttrade.com/chinese 下載)

No, not at this time. 否。

Account Agreement 帳戶合約

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. 本人確認此帳戶申請表所填寫的資料準確無誤。

X

Applicant's Signature 申請人簽名

Date 日期

X

Joint Applicant's Signature 共同申請人簽名

Date 日期

第一理財專用

Margin

Cash

Approved By: _____

Date: _____

Account #: _____

Customer ID
Verified: _____

Yes

No

BAA-TW-0821