

**TRADING AUTHORIZATION LIMITED  
TO PURCHASES AND SALES OF SECURITIES,  
OPTIONS AND COMMODITIES**

帐户证券交易权力许可

TO: FIRSTRAD SECURITIES INC.

AND

TO: PENSON FINANCIAL SERVICES, INC.



133-25 37th Ave., Flushing, NY 11354

Tel:1-800-869-8800 Fax:1-718-961-3919

Member FINRA/SIPC

Account No. 帐户号码 \_\_\_\_\_

SS or ID No. 社会安  
全卡号码 \_\_\_\_\_

Gentlemen:

The undersigned hereby authorizes \_\_\_\_\_ (被授权人，请在下方签名 whose signature appears below) as his agent and attorney in fact to buy, sell (including short sales) and trade in stocks, bonds and any other securities and/or commodities and/or contracts relating to the same on margin or otherwise in accordance with your terms and conditions for the undersigned's account and risk in the undersigned's name, or number on your books. \*Said agent is specifically authorized to effect options transactions or to uncover a covered option position for my account, as such terms are defined in the Options Clearing Corporation disclosure document entitled "Characteristics and Risks of Standardized Options", a copy of which I have received. The undersigned hereby agrees to indemnify and hold you harmless from and to pay you promptly on demand any and all losses arising therefrom or debit balance due thereon.

In all such purchases, sales or trades you are authorized to follow the instructions of the above named agent in every respect concerning the undersigned's account with you, and he is authorized to act for the undersigned and in the undersigned's behalf in the same manner and with the same force and effect as the undersigned might or could do with respect to such purchases, sales or trades as well as with respect to all other things necessary or incidental to the furtherance or conduct of such purchases, sales or trades.

The undersigned hereby ratifies and confirms any and all transactions with you heretofore or hereafter made by the aforesaid agent or for the undersigned's account.

This authorization and indemnity is in addition to (and in no way limits or restricts) any rights which you may have under any other agreement or agreements between the undersigned and your firm.

This authorization and indemnity is also a continuing one and shall remain in full force and effect until revoked by the undersigned by a written notice addressed to you and delivered to your main office, but such revocation shall not effect any liability in any way resulting from transactions initiated prior to such revocation. This authorization and indemnity shall inure to the benefit of your present firm and of any successor firm or firms irrespective of any change or changes at any time in the personnel thereof for any cause whatsoever, and of the assigns of your present firm or any successor firm, and shall be binding on the undersigned, his heirs, executors, administrators and assigns and shall be governed by the laws of the State of New York.

\*Cross Out If Not Applicable

Very truly yours 帐户持有人签名,

**X** \_\_\_\_\_ Age 年龄 \_\_\_\_\_ Date 日期 \_\_\_\_\_

**X** \_\_\_\_\_ Age 年龄 \_\_\_\_\_ City 城市 \_\_\_\_\_ State 州 \_\_\_\_\_

Signature of Authorized Agent 被授权人签名:

Relation to Clients(s) 与帐户持有人关系:

**X** \_\_\_\_\_

Swore to before me this (以下请由公证人填写)

\_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

Seal of Notary Public 公证人章印:

<b>Authorized Agent/ Attorney-In-Fact</b> 被授权人资料	Name 姓名		Phone Number 电话号码
	Address 地址		
	City 城市	State 州	ZIP Code 邮递区号
	U.S. Citizen 美国公民 <input type="checkbox"/> Yes是 <input type="checkbox"/> No否	If No, Country of Citizenship 若否请註明国籍	Social Security Number 社会安全号码
<b>Bank Account Reference</b> 被授权人银行帐户 参考资料	Name of Bank 银行名称		
	Address 地址		
	City 城市	State 州	ZIP Code 邮递区号
	Account Number 帐户号码	Account Type 帐户类型 <input type="checkbox"/> Checking 支票 <input type="checkbox"/> Savings 储蓄 <input type="checkbox"/> Money Market 货币市场	
<b>Employment Information</b> 被授权人工作资料	Name of Company 公司名称		
	Position 职位		
	Do you or the owner on this account work for or are affiliated with a securities firm, bank, insurance or trust company? If Yes, please specify. 您或帐户持有人是否与证券行、银行、保险公司或信用公司有关联？若是，请註明。		
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Are you or the owner on this account a director, officer, or 10% shareholder of any publicly owned company? If Yes, please specify. 您或帐户持有人是否为上市公司的董事、管理阶层、或持有10%上股份？若是，请註明。			
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