



<input type="checkbox"/> Single Account	<input type="checkbox"/> Custodian Account	<input type="checkbox"/> Broker Change Only
<input type="checkbox"/> Joint Account	<input type="checkbox"/> Trust	<input type="checkbox"/> ACAT
<input type="checkbox"/> IRA	<input type="checkbox"/> Estate	<input type="checkbox"/> Non-ACAT Full
<input type="checkbox"/> Direct Rollover	<input type="checkbox"/> Corporate Account	<input type="checkbox"/> Partial
<input type="checkbox"/> Qualified/Profit sharing/ Pension	<input type="checkbox"/> Other	<input type="checkbox"/> Mutual Fund

ACCOUNT TRANSFER FORM 帐户转移表格

随表请附上该金融机构最近的帐户明细单影本
表格请用英文填写

1. Information about your account 您的第一理财帐户资料: Penson Financial #0158

Account Title 帐户注册姓名 (必须与转入的帐户注册姓名相同.)

Firstrade Account Number 第一理财帐户号码 Social Security Number 社会安全号码

Information about the firm from which you are transferring 拟转入之帐户资料:

Name of the Institution 金融机构名称 (证券商, 共同基金公司, 或银行) Account Number 帐户号码

Address of the Institution 金融机构地址

Institution Clearing Number (Penson Financial 填写)

2. If you are transferring from another Brokerage Firm, please complete this section 若您是从另一家证券商转入帐户, 请填写本项目:

Transfer all assets in my account 转移帐户内所有资产 (若您选择此项目, 不需填写下栏)。
 Transfer only those assets listed below 只转移以下所列之资产 (请在下方註明哪些证券应该结清或可直接转移)*。
 若不敷填写, 请将以下所需资料另外填写於一张空白的纸上。

Security 证券	Quantity 数量	Liquidate/Transfer in Kind 清户后转移/直接转移

*您在其他证券商所持有的货币市场基金以及某些业权共同基金 (PROPRIETARY MUTUAL FUNDS) 可能不能够直接转移。请先将这些证券变现。

3. If you are transferring assets from a Mutual Fund Company, please complete this section 若您是从共同基金公司转入资产, 请填写本项目:

若不敷填写, 请将以下所需资料另外填写於一张空白的纸上。

Name of Fund 基金名称

Penson Omnibus Account
(Penson 填写)

TYPE OF TRANSFER 转移方式 (选一项)	<input type="checkbox"/> Transfer Shares in Kind*直接转移 或 <input type="checkbox"/> Liquidation 清户后转移	
For In-Kind Transfer 直接转移方式 (选一项)	<input type="checkbox"/> Transfer ALL shares 全部转移 或 <input type="checkbox"/> Transfer _____ shares only 指定转移股数	
(选一项)	<input type="checkbox"/> Reinvest my dividends 股利再投资 或 <input type="checkbox"/> Issue dividends in cash. 发给现金股利	
For Liquidation 清户方式 (选一项)	<input type="checkbox"/> Liquidate ALL shares 全部结清 或 <input type="checkbox"/> Liquidate _____ shares only 指定结清股数	

*您在其他证券商所持有的货币市场基金以及某些业权共同基金 (PROPRIETARY MUTUAL FUNDS) 可能不能够直接转移。请先将这些证券变现。

4. If you are transferring from a Bank, please complete this section 若您是从银行转入资产，请填写本项目:

FOR CASH TRANSFERS 现金转移:
(选一项)

- Transfer all cash in my account 转移帐户内所有现金。
 Transfer only 指定转帐金额 \$ _____

FOR CD TRANSFERS 定期存款转移:
(选一项)

- Liquidate AT MATURITY 到期后结清 (Maturity date 到期日为 _____)
 Liquidate immediately. I am aware of and acknowledge the penalty I will incur from any early withdrawal 立即结清，我了解提前提款必须支付罚金。

5. If you are transferring to an IRA account, please check one of the following 若您是将资产转入一个 IRA 退休帐户，请勾选以下一个项目:

- IRA transfer (将您现有的 IRA 退休帐户从其他金融机构转至第一理财)。
 Keogh Transfer (将您现有的 Keogh 退休帐户从其他金融机构转至第一理财)。
 Direct Rollover (将您雇主所赞助的合格退休计画资产提出，直接滚存至第一理财)
 此提款手续必须向美国国税局申报。

6. Please read this section and sign below 请详读本内容后在下方签名:

Please transfer the assets specified on this form to Penson Financial which has been authorized by me to make payment to you of the debit balance or to receive payment of the credit balance in my securities account. I understand that to the extent any assets in my securities account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by the New York Stock Exchange rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority.

If this account is a qualified retirement account (such as company pension or profit-sharing plan), I have amended the applicable plan so that it names Penson Financial as successor custodian. If I am over 70 ½, I attest that none of the amount to be transferred will include the required minimum distribution for the current year pursuant to section 401(a)(9) of the Internal Revenue Code.

Unless otherwise indicated in the instructions above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my securities account and transfer the resulting credit balance to the receiving organization. I understand that you will contact me with respect to the disposition of any other assets in my securities account that are nontransferable. If certificates or other instruments in my securities account are in your physical possession, I instruct you to transfer them in good deliverable form. Including affixing any necessary tax waivers, to enable such receiving organization to transfer them in its name for the purpose of sale, when and as directed by me. I further instruct you to cancel all open orders for my securities account on your books.

I affirm that I have destroyed or returned to you any credit/debit cards and/or unused checks issued to me in connection with my securities account.

Customer's Signature 客户签名

Date 日期

X _____

Customer's Signature (共同帐户签名，若适用)

Date 日期

X _____

Letter of Authorization (Penson Financial 填写)

To the prior trustee or custodian: Please be advised that Penson Financial will accept the above-captioned account as successor custodian.

Authorized Signature of Successor Custodian

Date

Date of Trust

X

随表请附上该金融机构最近的帐户明细单影本