

**帳戶類別 ACCOUNT TYPE**
 個人 Individual (非退休)     共同 Joint-WROS (自動繼承權)

**帳戶注資 FUNDING YOUR ACCOUNT**

 支票抬頭請寫 **Firstrade Securities**

附上支票 Enclosed is my check for: \$

**帳戶持有人 ACCOUNT HOLDER**

姓名 Full Legal Name	社會安全號碼 SSN		
電子郵箱 Email Address	出生日期 Date of Birth		
住址 Home Address (不可使用 P.O. Box 郵局信箱)			
城市 City	州 State	郵遞區號 ZIP	
郵寄地址 Mailing Address	城市 City	州 State	郵遞區號 ZIP
住址電話 Home Phone	公司電話 Business Phone	手機 Mobile Phone	
美國公民 U.S. Citizen <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不是 No			
如果不是, 請輸入國家 _____ 並在下一行勾選美國境內身份:			
<input type="checkbox"/> 永久居民(綠卡) Permanent Resident <input type="checkbox"/> 外籍居民 Resident Alien <input type="checkbox"/> 外籍非居民 Non-Resident Alien			
雇主 Employer (若為待業、自雇、學生或理家者請註明)	職業 Occupation		
雇主地址 Employer's Address	城市 City	州 State	郵遞區號 ZIP

**帳戶共同持有人 CO-ACCOUNT HOLDER**

姓名 Full Legal Name	社會安全號碼 SSN		
與帳戶持有人關係 Relationship to Account Holder	出生日期 Date of Birth		
住址電話 Home Phone	公司電話 Business Phone	手機 Mobile Phone	
美國公民 U.S. Citizen <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不是 No			
如果不是, 請輸入國家 _____ 並在下一行勾選美國境內身份:			
<input type="checkbox"/> 永久居民(綠卡) Permanent Resident <input type="checkbox"/> 外籍居民 Resident Alien <input type="checkbox"/> 外籍非居民 Non-Resident Alien			
雇主 Employer (若為待業、自雇、學生或理家者請註明)	職業 Occupation		
雇主地址 Employer's Address	城市 City	州 State	郵遞區號 ZIP

**聲明 AFFILIATIONS**

帳戶持有人(Account Holder)     或共同持有人(Co-Account Holder)本人為登記有照的證券經紀、或雇主為證券交易所或交易所會員。請附上雇主的同意信函。  
The Account Holder or Co-Account Holder is licensed or employed by a registered broker/dealer, securities exchange, or member of a securities exchange. Include a compliance letter.

帳戶持有人(Account Holder)     或共同持有人(Co-Account Holder)為任何公開上市公司的董事、10%及以上持股份人或決策人。請註明公司名稱地址。  
The Account Holder or Co-Account Holder is a director, 10% shareholder, or policy-making officer of a publicly traded company. Specify company name and address.

帳戶持有人(Account Holder),     共同持有人(Co-Account Holder)或直系親屬是國外政府高級官員。請註明官員姓名、職位、所屬國家。  
The Account Holder or Co-Account Holder, or a member of their immediate family or any business associate is a senior political figure. Specify the name of the political figure, political title, relationship, and country of office.

 核准 Approval (第一理財專用)     Cash     Margin    日期 Date

**投資簡況 INVESTMENT & FINANCIAL PROFILE**
**投資經驗 Investment Experience** (您必須選擇至少一項)

帳戶持有人 Account Holder  
 無 None     有限 Limited     良好 Good     豐富 Excellent

帳戶共同持有人 Co-Account Holder  
 無 None     有限 Limited     良好 Good     豐富 Excellent

**投資目標 Investment Objectives** (您必須選擇至少一項)

 收入 Income     增值 Growth     投機 Speculation     資本保值 Capital Preservation     其他 Other

**年收入 Annual Income** 若為共同持有帳戶, 請以合併總值勾選

 \$0 to \$24,999 (01)     \$50,000 to \$99,999 (03)     \$150,000 to \$249,999 (04)  
 \$25,000 to \$49,999 (02)     \$100,000 to \$149,999 (04)     \$250,000+ (04)

**流動資產 Liquid Net Worth** (現金、證券等) 若為共同持有帳戶, 請以合併總值勾選

 \$0 to \$14,999 (01)     \$50,000 to \$99,999 (02)     \$500,000 to \$999,999 (04)  
 \$15,000 to \$49,999 (01)     \$100,000 to \$499,999 (03)     \$1,000,000+ (04)

**淨資產 Total Net Worth** (不包含自住不動產) 若為共同持有帳戶, 請以合併總值勾選

 \$0 to \$14,999 (01)     \$50,000 to \$99,999 (02)     \$500,000 to \$999,999 (04)  
 \$15,000 to \$49,999 (01)     \$100,000 to \$499,999 (03)     \$1,000,000+ (04)

**帳戶月結單及交易認證 ACCOUNT STATEMENTS & TRADE CONFIRMATIONS**

您將會收到電子版帳戶月結單以及交易認證。若想收到紙張檔案請在下方做選擇。如果您所提供的無效的電子郵件地址, 您將會收到紙張帳戶月結單和交易認證。您將承擔由此產生的費用。注: 如果選擇使用電子檔案, 股東通訊文件和稅務資料將會以電子郵件方式寄給您。  
You will receive periodic account statements and trade confirmations electronically, unless you make a selection below. If a valid email address is not provided, you will receive periodic paper statements and paper trade confirmations. You will be responsible for any fees that may apply.

請寄給我紙張帳戶月結單(\$2/份)和紙張交易認證(\$1/份)。我(們)明白我(們)將承擔由紙張檔案所產生的費用。  
Please provide paper account statements (\$2 each) and paper trade confirmations (\$1 each). I understand that I will be responsible for the fees that apply.

我(們)不同意第一理財提供我(們)的姓名給我(們)帳戶內所持證券的發行人, 以便收到有關證券的重要資訊。  
Unless I check here, Firstrade Securities will provide my name to corporations whose securities I hold in my account for the purpose of corporate communications.

**帳戶合約 ACCOUNT AGREEMENT**

我(們)欲開設第一理財帳戶, 委託 Penon Financial Services, Inc. ("Penon") 交割。我(們)為合法簽約年齡。我(們)已接受、閱讀、並同意第一理財帳戶協議的規條。(該協議書可在www.firstrade.com取得)及日後所修改的規條。我(們)同意第一理財不提供投資、稅務、或法律上的建議。我(們)明白通過第一理財所進行的投資不受FDIC(Federal Deposit Insurance Corporation)保險保護。任何金融機構都不會對投資所產生的風險和損失負責。我(們)已接受、閱讀、並同意第一理財的融資交易說明書。\*有關開設新帳戶程序的重要資訊: 為了協助政府打擊恐怖組織籌款或是洗錢行為, 聯邦法律要求所有金融機構取得、證實並記錄所有開戶人的個人身份資訊。也就是, 當您開戶時, 您需要提供您的姓名、住址、出生年月和其它能夠證實您身份的資料。第一理財也將有可能使用第三方所提供的資訊來證實您的身份, 並/或要求您出示駕照或其他身份證明。在偽證的罰則下, 我(們)證明 (1)本申請書上的號碼為我(們)真實的社會安全號碼(納稅人號碼) (2)我(們)無國稅局預扣稅之責任 (3)我(們)是美國公民(永久居民); 然而如果我(們)是外籍非居民且未證明是美國公民(永久居民), 我(們)明白我(們)必須提交W-8BEN表格。如果被IRS告知由于漏報或漏報分紅或利息, 我(們)將有國稅局預扣稅之責任。因此以上第二條國稅局預扣稅免責將不適用於我(們), 我(們)明白我(們)將會被扣國稅局預扣稅。\*簽署此申請書, 我(們)明白, 配合第一理財帳戶協議書第23段, 我(們)同意以仲裁方式解決一切本人與第一理財形成的爭議。

I (We) would like to open a brokerage account with Firstrade Securities Inc. ("Firstrade") to be carried by Penon Financial Services, Inc. ("Penon"). I (We) am (are) of legal age to contract. I (We) acknowledge that I (We) have received, read and agree to be bound by the terms and conditions as set forth in the Firstrade Account Agreement, (available online at www.firstrade.com) which is incorporated by this reference, 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. I further acknowledge that I have received, read and understand the Margin Disclosure Statement provided by Firstrade Securities Inc. \*Important information about procedures for opening a new account: To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also use a third-party information provider for verification purposes and/or ask to see your driver's license or other identifying documents. \*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) I am an 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 a W-8BEN 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. \*BY SIGNING THIS APPLICATION, I (WE) ACKNOWLEDGE THAT, IN ACCORDANCE WITH PARAGRAPH 23 OF THE FIRSTRADE ACCOUNT AGREEMENT, I (WE) AGREE IN ADVANCE TO RESOLVE ANY DISPUTES ARISING OUT OF MY (OUR) ACCOUNT BY ARBITRATION.\*

我不希望取得帳戶融資功能, 請只建立現金帳戶。  
Check here to decline margin privileges. Open my account as a cash account only.

帳戶持有人簽名 Account Holder Signature	日期 Date
帳戶共同持有人簽名 Co-Account Holder Signature	日期 Date

Customer ID Verified	帳戶號碼 Account Number	日期 Date
<input type="checkbox"/> Yes <input type="checkbox"/> No		

## W-8BEN表格填寫說明

美國證券市場幾乎對全世界國家的人民開放，為獎勵投資，符合外國人身份的投資人買賣證券所得之資本利得(Capital Gain)免予扣繳美國所得稅。若您並非美國居民，開戶時請填寫美國國稅局提供的W-8BEN表，以便享受免稅優惠。然而，外國投資人所得的現金股利(Dividends)仍然必須繳交美國政府所得稅。W8BEN表請寄到第一理財而非美國國稅局。

W-8BEN是美國政府單位發行的表格，**必須以英文正楷填寫**，第一理財所提供的中文版本，僅作參考用。此表格不可傳真或掃描，請務必郵寄正本至第一理財。

請注意：

- 美國公民、持有綠卡之永久居民請勿使用W-8BEN，請使用W-9。
- 居住在美國境內之外籍人士，其身份符合美國國稅局所定義之所得稅申報義務人者，請勿使用W-8BEN，請使用W-9。
- 當年度在美國境內實際居住超過183天之外籍人士，請勿使用W-8BEN。F、J、M、Q簽證持有者除外，請在表格上註明您的簽證類別。
- 若您的身分由他國國籍變更為美國公民或永久居民，請於30天內填寫W-9通知第一理財。
- 若您的固定居住地址遷移至不同國家，請於30天內填寫新的W-8BEN表格交予第一理財。

### Part I 受益人資料

1. 姓名
2. (個人不須填寫；我們已經幫您填好N/A不適用)
3. 受益人所屬類別
4. 固定居住地址(恕不接受郵政信箱號碼或代收郵件地址)  
除少數例外，居住地址應包含門牌號碼、路(街)名、城市名、國名和郵政編碼。
5. 通訊地址(若與固定居住地址相同可不填)
6. 美國納稅人稅籍號碼。(例如社會安全號碼或個人報稅號碼ITIN，如果沒有無須填寫)
7. 國外稅籍號碼(如適用，如果沒有無須填寫)
8. 相關號碼(請填入第一理財帳戶號碼)

### Part II 稅務減免要求(如適用)

9. 若以下適用請勾選  
a：所得期間若申報人居住在美國的稅務減免互惠國內，請勾選此方塊並填寫該國家名稱。

### Part III 填寫人聲明

本人聲明以上所填資料屬實且完整。同時也聲明以下項目為實：

- 本人(或授權人)為本表格所提及的所有所得申報人。
- 受益人不是美國稅法規定的美國所得稅申報義務人(U.S. Person)。
- 本人的所得不屬美國的貿易或商業行為，且本人確實符合美國的稅務減免互惠資格。
- 證券交易受益人是免徵美國所得稅的他國申報人。

除此之外，在此聲明，美國所得稅扣繳單位有權預扣我的稅款。

### SIGN HERE 簽名欄

請受益人或授權人簽名；日期(月/日/年)；授權代理人身分。



# 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](http://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; font-size: 1.2em;">N / A</p>
3 Type of beneficial owner: <input type="checkbox"/> Individual	
4 Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. Box or in-care-of address.</b>	
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**

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

-----  
Date (MM-DD-YYYY)

-----  
Capacity in which acting