

ACCOUNT TRANSFER FORM 帳戶轉移表格

隨表請附上該金融機構最近的帳戶明細單影本

表格請用英文填寫

1. Information about your account 您的帳戶資料:

Person Financial #0158

Account Title 帳戶註冊姓名 (必須與轉入的帳戶註冊姓名相同.)

Firstrade Account Number 第一理財帳戶號碼

Social Security Number 社會安全號碼

Information about the firm from which you are transferring 轉入帳戶資料:

Name of the Institution 金融機構名稱 (證券商, 共同基金公司, 或銀行)

Account Number 帳戶號碼

Address of the Institution 金融機構地址

Institution Clearing Number (Person Financial 填寫)

2. If you are transferring from another Brokerage Firm, please complete this section 若您是從另一家證券商轉入帳戶, 請填寫本項目:

- Transfer all assets in my account 轉移帳戶內所有資產 (若您選擇此項目, 不需填寫下欄)。
 Transfer only those assets listed below 只轉移以下著名之資產項目 (請在下方著名哪些證券應該變現或轉移)。
 若您需要更多空間, 請將以下所需資料填寫於一張空白的紙上。

Security 證券

Quantity 數量

Liquidate/Transfer in Kind 清戶/轉移

*您在其他證券商所持有的貨幣市場基金以及許多的業權共同基金 (PROPRIETARY MUTUAL FUNDS) 可能不能夠直接轉移。請先將這些證券變現。

3. If you are transferring assets from a Mutual Fund Company, please complete this section 若您是從共同基金公司轉入資產, 請填寫本項目:

若您需要更多空間, 請將以下所需資料填寫於一張空白的紙上。

Name of Fund 基金名稱

Person Omnibus Account
(Person 填寫)

TYPE OF TRANSFER 轉移種類 (選一項)

Transfer Shares in Kind* 資產轉移 或 Liquidation 清戶

For In-Kind Transfer 資產轉移 (選一項)

Transfer ALL shares 全部轉移 或 Transfer _____ shares only 指定轉移股數

For Liquidation 清戶選項 (選一項)

Reinvest my dividends 股利再投資 或 Issue dividends in cash. 發現金股利

For Liquidation 清戶選項 (選一項)

Liquidate ALL shares 全部結清 或 Liquidate _____ shares only 指定結清股數

*您在其他證券商所持有的貨幣市場基金以及許多的業權共同基金 (PROPRIETARY MUTUAL FUNDS) 可能不能夠直接轉移。請先將這些證券變現。

4. If you are transferring from a Bank, please complete this section 若您是從銀行轉入資產，請填寫本項目:

FOR CASH TRANSFERS 現金轉移:
(請選一項)

- Transfer all cash in my account 轉移帳戶內所有現金
 Transfer only 指定轉帳金額 \$ _____

FOR CD TRANSFERS 定期存款轉移:
(請選一項)

- Liquidate AT MATURITY 到期後結清 (Maturity date 到期日為 _____)
 Liquidate immediately. I am aware of and acknowledge the penalty I will incur from any early withdrawal 立即結清，我了解提前支取必須支付罰金。

5. If you are transferring to an IRA account, please check one of the following 若您是將資產轉入一個 IRA 退休帳戶，請勾選以下一個項目:

- IRA transfer (將您現有的 IRA 退休帳戶從其他金融機構轉至第一理財)。
 Keogh Transfer (將您現有的 Keogh 退休帳戶從其他金融機構轉至第一理財)。
 Direct Rollover (將您雇主所贊助的合格退休計畫資產提出直接滾存至第一理財)
 此提款手續必須與美國國稅局申報。

6. Please read this section and sign below 請詳讀並在下方簽名:

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 客戶簽名

Date 日期

X _____

Customer's Signature (共同帳戶簽名，若適用)

Date 日期

X _____

Letter of Authorization (Penson Financial 填寫)

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 _____

隨表請附上該金融機構最近的帳戶明細單影本