



# BROKERAGE ACCOUNT APPLICATION

## 經紀帳戶申請表

**Select Account Type:**

- 選擇帳戶類型:
- Custodian (Use Minor's SS#)  
監管人帳戶(使用未成年人的社安號)
- Investment Club  
投資俱樂部
- Non-Corporate Organization  
非公司組織
- Individual  
個人帳戶
- Coverdell ESA  
教育儲蓄帳戶
- Trust  
信託帳戶
- Estate  
遺產帳戶
- Joint - type: \_\_\_\_\_  
共同帳戶- 種類: \_\_\_\_\_
- IRA - type: \_\_\_\_\_  
個人退休帳戶- 種類: \_\_\_\_\_
- Guardianship/Conservatorship  
監護/託管帳戶
- Corporate - type: \_\_\_\_\_  
公司帳戶- 類型: \_\_\_\_\_
- Qualified Plan - type: \_\_\_\_\_  
合格退休計劃- 種類: \_\_\_\_\_
- Partnership - type: \_\_\_\_\_  
合夥人帳戶 - 種類: \_\_\_\_\_
- Update Account# \_\_\_\_\_  
更新現有帳戶# \_\_\_\_\_

How did you hear about us? (Select one)  
你如何知道史考特證券?(請選擇一項)

- Web Site or Search Engine 網站或搜索引擎
- TV or Radio Advertising 電視廣播廣告
- Magazine/Newspaper Ad 雜誌/報紙廣告
- News Article 新聞文章
- Friend Referral/Promotion Code  
朋友介紹/優惠號碼
- I am an Existing Scottrade Customer  
我已經是史考特客戶



SF1000/4-09

**Please complete in English 請用英文填寫**

APPLICANT 申請人				CO-APPLICANT (IF ANY) 共同申請人 (若適用)			
Title of Account (If applicable, name of corporation/partnership/trust/etc.) 帳戶名稱 (如果適用, 請填寫公司/合夥人/信託等名稱.)							
Mr. 先生 NAME 姓名 FIRST 名 MIDDLE 中間名 LAST 姓				Mr. 先生 NAME 姓名 FIRST 名 MIDDLE 中間名 LAST 姓			
Mrs. 太太				Mrs. 太太			
Ms. 女士				Ms. 女士			
Street Address (PO Box or c/o Address Not Permitted) 住家地址 (不可使用郵局信箱或轉交地址)				Street Address (PO Box or c/o Address Not Permitted) 住家地址 (不可使用郵局信箱或轉交地址)			
City 城市	State 州	Zip 郵編	Plus4 延長 4 位號	City 城市	State 州	Zip 郵編	Plus4 延長 4 位號
Home Phone Number 住家電話 ( )	Work Phone Number 工作電話 ( )	Cell Phone Number 手機電話 ( )		Home Phone Number 住家電話 ( )	Work Phone Number 工作電話 ( )	Cell Phone Number 手機電話 ( )	
Mailing Address (If different from home address: P.O.BOX may be used) 通訊地址 (如果不同於住家地址:可使用郵政信箱)							
Social Security or Tax ID Number 社會安全號碼或稅號				Social Security or Tax ID Number 社會安全號碼或稅號			
Date of Birth 出生日期				Date of Birth 出生日期			
Are you a U.S. Citizen? 您是美國公民嗎? <input type="checkbox"/> YES - Skip to "Occupation" 是 - 請直接跳到 "職業" 部分 <input type="checkbox"/> NO - Please complete the section below 否 - 請填寫下一部分				Are you a U.S. Citizen? 您是美國公民嗎? <input type="checkbox"/> YES - Skip to "Occupation" 是 - 請直接跳到 "職業" 部分 <input type="checkbox"/> NO - Please complete the section below 否 - 請填寫下一部分			
Non-U.S. Citizens: 非美國公民: Country of Citizenship: 國籍: _____				Non-U.S. Citizens: 非美國公民: Country of Citizenship: 國籍: _____			
Are you a U.S. Permanent Resident? 您是美國永久居民嗎? <input type="checkbox"/> YES 是 - Alien Registration Number 綠卡號碼 _____ <input type="checkbox"/> NO 否 - Please indicate your visa type _____ AND complete and sign the U.S. Visa Holder Statement(form number SF1039)* 請述明簽證類型並請附上您簽署的持有美國簽證聲明書(編號為 SF1039 的表格) * *If you plan on staying in the US 183 days or less, please contact our International Department to apply for an account. *如果您計劃在美國停留少於或等於 183 天, 請聯係我們國際部門申請帳戶。				Are you a U.S. Permanent Resident? 您是美國永久居民嗎? <input type="checkbox"/> YES 是 - Alien Registration Number 綠卡號碼 _____ <input type="checkbox"/> NO 否 - Please indicate your visa type _____ AND complete and sign the U.S. Visa Holder Statement(form number SF1039)* 請述明簽證類型並請附上您簽署的持有美國簽證聲明書(編號為 SF1039 的表格) * *If you plan on staying in the US 183 days or less, please contact our International Department to apply for an account. *如果您計劃在美國停留少於或等於 183 天, 請聯係我們國際部門申請帳戶。			
Occupation 職業 <input type="checkbox"/> Employed 在職(specify occupation) (請說明職業) _____ <input type="checkbox"/> Self-Employed <input type="checkbox"/> Un-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student 自營業 失業 退休 家管 學生				Occupation 職業 <input type="checkbox"/> Employed 在職(specify occupation) (請說明職業) _____ <input type="checkbox"/> Self-Employed <input type="checkbox"/> Un-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student 自營業 失業 退休 家管 學生			
Employer (If self-employed, please specify job function) 雇主 (如果自營業, 請註明工作性質)				Employer (If self-employed, please specify job function) 雇主 (如果自營業, 請註明工作性質)			
Employer Address 雇主地址				Employer Address 雇主地址			

**Please answer the following: 請回答下列問題**

<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	Is any applicant or member of immediate family employed by or affiliated with a securities firm, a stock exchange, or the FINRA? 申請人或直系親屬是否受聘或附屬於某證券公司、交易所或 FINRA? (If yes, please provide name and address of Compliance Dept 如果是, 請提供法檢部門聯係人名稱及地址)
<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	Is any applicant a "control person" or "affiliate" of a public company as defined by the SEC? This would generally include 10% shareholders, member of the Board of Directors and policy-making officers. 申請人是否為證券交易管理局 (SEC) 所定的 "控股人員" 或 "附屬人員"。這總體包括持股10%的股東, 董事會成員和制定條規的執行官。 (If yes, please provide trading symbol and company) (如果是, 請提供證券代號及公司名稱) _____
<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	Is any applicant or member of immediate family or close associate a senior foreign political official? 任一申請人或直系親屬或生意夥伴是否為國外高級政府官員?

**Type of Account (Choose A or B) 帳戶種類 (選擇 A 或 B) :**

**A) Internet Trading (Requires E-mail Address) E-mail Address Referred by: (Name and/or Referral number)**  
網路交易 (需要提供電子郵件地址) 電子郵件地址 介紹人: (姓名和/或介紹號碼)

Internet: All Securities & proceeds held in Account.

網路: 證券及賣出所得存於帳戶內

Trade confirmations and monthly account statements will be posted to your online account free of charge.

交易確認和月結單會免費在您的網路帳戶公佈。

To receive paper copies for a fee, check one or both of the following:  Mail trade confirmation(\$1 each)  Mail account statement(\$2 each)

如果要收取紙質文件要收取費用, 請選擇以下一項或兩項都選: 郵寄交易確認 (每份\$1) 郵寄月結單 (每份\$2)

**B) Non-Internet Trading . (Be advised that Non-Internet Commission Rates apply).**

非網路交易。(注意會收取非網路交易的佣金)

Safekeeping 安全保管

Indicate Instructions  
請註明指示:

Hold proceeds 保留賣出所得

or 或  Mail Proceeds 郵寄賣出所得

Hold dividends & Interest 保留股利股息及利息

or 或  Mail dividends & interest 郵寄股利股息及利息

**Additional Services: 其它服務項目**

Margin: (IRA Accounts excluded) 融資融券(退休帳戶除外)  
Please sign Margin Agreement below.  
請簽署下面融資融券合約。

Option: 期權

Please send me an Option Agreement and Disclosure Document. 請郵寄期權合約及公開說明書給我。

Transfer of Account to Scottrade. Please send me the transfer forms.  
轉帳戶至 Scottrade.請郵寄表格給我。

Under penalties of perjury, I certify that: (1) the number shown on this form is the correct taxpayer identification number (or I am waiting for a number to be issued to me), and (2) I am not subject to backup withholding either because: (a) I am exempt from backup withholding, (b) I have not been notified by the Internal Revenue Service(IRS) that I am subject to backup withholding as a result of failure to report all interest or dividends, or (c) the IRS has notified that I am no longer subject to backup withholding; and (3) I am a U.S. person(including U.S. resident alien).The IRS does not require my consent to any provision of this document other than the certification required to avoid backup withholding. *Applicants who are subject to backup withholding must cross out item (2).*

如屬偽證甘願受罰, 本人證明: (1) 上文所示的納稅人身份號碼是正確的 (或我正在等待發給我的號碼), 和 (2) 我不受預扣稅規定的限制因為 (a) 我被免除預扣稅, (b) 我尚未從國稅局 (IRS) 收到因沒有申報全部利息或分紅而必須受預扣稅規定限制的通知, 或 (c) 國稅局已通知我不再受預扣稅規定的限制。以及 (3) 我是美國人 (包括在美國居住的外國人)。除了要求提供避免稅務預扣的證明外國稅局不需要我同意此文件的任何條款。需受預扣稅務限制的申請人必須要在第 (2) 項上劃綫以示刪除。

BY SIGNING THIS AGREEMENT I ACKNOWLEDGE THAT I HAVE RECEIVED, READ AND AGREE TO ABIDE BY THE TERMS OF THE ACCOMPANYING BROKERAGE ACCOUNT AGREEMENT WHICH CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE AT PARAGRAPH 29.

經簽署本合約, 本人確認已經收到、閱讀並同意遵守隨附的經紀帳戶合約的條款, 該合約第29款包含有預爭議仲裁條款。

**X**

**X**

DATE  
日期

APPLICANT'S/AUTHORIZED PERSON'S SIGNATURE  
申請人 / 授權人簽字

CO-APPLICANT'S/AUTHORIZED PERSON'S SIGNATURE  
共同申請人 / 授權人簽字

**MARGIN PRIVILEGES - SIGN BELOW ONLY IF YOU DESIRE A MARGIN ACCOUNT**

融資融券帳戶 - 只有意圖申請融資融券帳戶時方須在下欄簽字。

By signing this agreement I acknowledge that I have received and read, and agree to abide by the terms of the accompanying *Brokerage Account Agreement*, including the *Margin Account* section starting at Paragraph 53.

經簽署本合約, 本人確認已經收到並閱讀, 且同意遵守隨附的經紀帳戶合約, 包括第53段起的融資融券章節。

**X**

**X**

DATE  
日期

MARGIN APPLICANT'S SIGNATURE  
融資融券申請人簽字

MARGIN CO-APPLICANT'S SIGNATURE  
融資融券共同申請人簽字

**FOR SCOTTRADE USE ONLY**

Online Application Entry

Registered Rep

Registered Principal

New Account Rep

SSNAP Approved

**Disclaimer免責條款**

The information found on our website, forms, all correspondences and agreements is provided in the Chinese Language for convenience and informational purposes only. The website, forms, correspondences and agreements, although not in its entirety, were translated from Scottrade's English Language version. Although we have attempted to provide a clear interpretation, some of the content may differ due to differences in language translation and conversion processes. Our customers are bound to the English Language provisions.

本公司的中文網站、表格、所有信函和合約所載資訊的僅為方便理解而提供。網站、表格、信函和合約所載資訊的中文部分乃從史考特公司的英文版本翻譯而來。雖然我們盡力提供與英文版本含義一樣清楚的中文版本, 但因語言翻譯和轉換過程中的差異, 可能存在不盡相同之處。本公司客戶須以合約之英文版本為標準。

# LIMITED LIABILITY PARTNERSHIP CERTIFICATION

PARTNERSHIP INFORMATION	
Name of Limited Liability Partnership:	
State of Organization:	
Please specify one of the following: (A Partnership is either a Limited Liability Partnership or a Limited Liability Limited Partnership.)	
<input type="checkbox"/> Limited Liability Partnership (LLP) Name of Designated General Partner:  <div style="text-align: center;">_____</div> (Print Name)	<input type="checkbox"/> Limited Liability Limited Partnership (LLLLP) Name of Designated General Partner:  <div style="text-align: center;">_____</div> (Print Name)

1. The undersigned is the Designated General Partner of the limited liability partnership or limited liability limited partnership whose name and state of organization are set forth above. All general partners' signatures are also set forth below.
2. The undersigned represents that the undersigned is duly authorized and empowered to execute this certification on behalf of the Partnership.
3. The undersigned acknowledges that for the purposes of this certification the following terms have the meaning specified:
  - "Account" means a brokerage account with Scottrade for the execution of transactions in securities and such other services as Scottrade may provide from time to time.
  - "Broker" means Scottrade, an Arizona corporation.
  - "Partnership" means the limited liability partnership or the limited liability limited partnership whose name and state of organization are set forth above.
  - "Designated General Partner" means the General Partner designated herein which the General Partner of the Partnership has duly authorized and empowered to deal with the Broker and the Account in accordance with the representations, warranties, and certifications contained herein.
  - "Organizational Documents" means the Partnership Agreement and any other documents memorializing the decisions of or resolutions adopted by the General Partners of the Partnership.
4. The undersigned represents, warrants and certifies that:
  - a. Nothing in any of the Organizational Documents limits or purports to limit the ability of the Partnership to purchase, hold, sell or otherwise deal in securities of any kind.
  - b. Nothing in any Organizational Documents limits the authority or power of the Designated General Partner for the account of, and on behalf of, the Partnership without limitations to:
    - Open and maintain an Account in the name of the Partnership and enter into and execute agreements and do all things which are necessary to open and maintain such account with Broker;
    - Direct the purchase, sale, or transfer of stocks, bonds, put and call options and other securities, to borrow money secured by assets in the account (margin), and to issue such other instructions as are necessary for the operation of the account;
    - Receive notices, demands, confirmations, statements of account and communications of any kind relating to the operation of or assets in the Account;
    - Direct that the securities be transferred to another account for, or transferred into the name of the Partnership or any third party, including an account for, or in the name of, any General Partner. To direct that funds and other assets be distributed from the Account to the Partnership or any third party, including any General Partner, or an account for any of them and otherwise to manage or exercise control over the Account or the assets thereof.

**• ALL GENERAL PARTNERS MUST SIGN BELOW.**

In witness whereof all of the General Partners of the Partnership have executed this certificate.

_____ DATE	<b>X</b> _____ DESIGNATED GENERAL PARTNER SIGNATURE		
<b>X</b> _____ GENERAL PARTNER SIGNATURE	<b>X</b> _____ GENERAL PARTNER SIGNATURE	<b>X</b> _____ GENERAL PARTNER SIGNATURE	<b>X</b> _____ GENERAL PARTNER SIGNATURE



# GUARANTY AGREEMENT

## GUARANTY APPLICANT

This Guaranty Agreement dated \_\_\_\_\_ is made by \_\_\_\_\_  
 \_\_\_\_\_ (the "Guarantor") in favor of Scottrade, Inc. an Arizona  
 corporation ("Scottrade"). Guarantor is the \_\_\_\_\_ of  
(describe relationship to Client)  
 \_\_\_\_\_, the "Client".  
(fill in the name of the Client)

The Client has entered into a Brokerage Account Agreement ("Brokerage Agreement"), with Scottrade and Scottrade has or will establish an account (the "Account") for the Client. In order to induce Scottrade to provide brokerage services to the Client in accordance with the Brokerage Agreement, and in consideration of Scottrade providing such brokerage services as Scottrade in its sole and absolute discretion, provides to Client, Guarantor hereby personally, absolutely, unconditionally, and irrevocably guarantees Scottrade, its successors and assigns that the Client shall perform each and every obligation under the Brokerage Agreement arising in connection with the Client's brokerage activities including, without limitation, the delivery of securities sold and the payment of any debit balance in the Client's Account at Scottrade. With respect to any debit balance in the Client's Account, this is a guaranty of payment and not merely of collection. In addition, Guarantor shall and agrees to be liable to and to pay Scottrade all costs and expenses including, without limitation, attorney's fees and expenses, incurred by Scottrade (a) in obtaining specific performance by the Client of any of the Client's obligations under the Brokerage Agreement or (b) attempting or effecting collection hereunder or under the Brokerage Agreement.

The obligations of the Guarantor under this Guaranty Agreement (the "Agreement") shall be continuing, absolute and unconditional under any and all circumstances and performance of any of the Client's obligations and payment of any moneys due Scottrade hereunder shall be paid by the Guarantor regardless of (a) the validity or enforceability of the Brokerage Agreement, (b) any defense, offset, or counterclaim which may at any time be available to or be asserted by the Client or the Guarantor against Scottrade, or (c) any other event or circumstance whatsoever which may constitute, or might be construed to constitute, an equitable or legal discharge of a surety or guarantor.

Guarantor agrees (a) that any moneys and securities in any account which Guarantor may have with Scottrade, are pledged to secure the Account and any indebtedness therein due Scottrade, Inc. and, to that end, that Scottrade has a lien (the "Lien") on such money, securities, or other property of any kind that Scottrade may, from time to time, hold in the account or accounts of the Guarantor, (b) that Scottrade may proceed at any time, in its sole discretion and without prior demand or notice to the Guarantor, to enforce the Lien by the sale of such securities or property of the Guarantor, (c) that enforcement by Scottrade of such Lien shall not in any way affect the continuing personal liability of the Guarantor under this Agreement, (d) that at all times the Guarantor shall remain personally liable for performance of the obligations hereunder, and (e) that enforcement of the Lien and the Guarantor's personal liability may be pursued by Scottrade concurrently, and (f) that Scottrade may obtain credit reports to verify your credit worthiness, contact employers, financial institutions, and make any other inquiries we feel necessary. Scottrade may also provide account information to others, including credit-reporting agencies.

Guarantor hereby represents and warrants (a) that the Guarantor has full legal capacity and right to execute, deliver and perform this Guaranty, (b) that the Guarantor has received a copy of this Agreement, (c) that this Guaranty has been duly executed and delivered by the Guarantor and constitutes a legal, valid, and binding obligation of the Guarantor exercisable in accordance with its terms, (d) that the guarantor is not in default under any indenture, mortgage, contract or other agreement to which it is a party or by which the Guarantor or any of its assets may be bound and no such default is presently alleged by any party with respect to such obligations of the Guarantor, and (e) the Guarantor will, upon request by Scottrade, provide a signed personal financial statement and such other financial information as Scottrade may reasonably request.

Notice of the death or legal incapacity of the Guarantor shall terminate this Agreement with respect to any transactions in the Account after the date such notice is received by Scottrade. This Agreement shall be binding on the heirs, administrators, representatives and successors of the Guarantor as to all obligations of the Guarantor hereunder prior to the termination of this agreement.

Notice of the acceptance of this Agreement and presentment, demand for payment, notice or dishonor, protest and notice of protest and of default by the Client are hereby waived by the Guarantor who agrees (a) that the obligations of the client may be enforced directly against the Guarantor independently of and without proceedings against the Client, (b) that Scottrade in its sole and absolute discretion may sell, exchange, release, surrender and otherwise deal with any collateral in the Client's account in accordance with the Brokerage Agreement, and (c) that Scottrade may from time to time exercise or refrain from exercising any rights against the Client and otherwise act or refrain from acting with respect to the Client, and may from time to time settle or compromise any claims of Scottrade against the Client, all without notice or consent of the Guarantor and without releasing the Guarantor from any of its obligations under this Agreement.

Except as otherwise provided herein, none of the terms of this Agreement may be amended, waived, altered, modified, or terminated except by an instrument in writing signed by the party against which enforcement of such amendment, waiver, alteration, modification or termination is sought. This Agreement shall be governed by and construed in accordance with the substantive laws of the State of Missouri (without reference to conflict of law principles), and shall inure to the benefit of the successors and assigns of Scottrade.

In witness whereof, the Guarantor has duly executed and delivered this Agreement as of the day and year first written above.

GUARANTOR INFORMATION				
NAME			SOCIAL SECURITY #	
HOME ADDRESS		STREET		HOME PHONE
CITY	STATE	ZIP	PLUS 4	WORK PHONE
			—	

**• THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE**

\_\_\_\_\_  
DATE

**X**  
\_\_\_\_\_  
GUARANTOR SIGNATURE