



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

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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。



SF1014/11-08

TRUST ACCOUNT CERTIFICATION

信託帳戶證明書

TRUST ACCOUNT INFORMATION 信託帳戶資料			
Title of Trust 信託名稱			
Tax Identification Number for the Trust: (If personal, Grantor/Trustor Social Security number may be used) 信託的稅務號碼: (如果屬於個人信託, 則可以使用授權人/委託人的社會安全號碼)			Original Effective Date of the Trust: 信託的原始生效日期:
Name of Trustee(s): 託管人姓名:			
Name of Successor Trustee(s): 後繼託管人姓名:			
If Revocable, by whom is Trust Revocable or Amendable? 若可撤銷, 則誰可以撤銷或修改此信託?		Date of Amendment or Restatement (if any) 任何修改或重新聲明的日期 (如果有):	
GRANTOR/TRUSTOR INFORMATION 授權人/委託人資料			
Name 姓名			
Social Security Number 社會安全號碼		Date of Birth 生日	
Street Address 住址	City 城市	State 州	ZIP plus 4 郵政區碼
ADDITIONAL GRANTOR/TRUSTOR INFORMATION (If applicable) 額外授權人/委託人資料 (如適用)			
Name 姓名			
Social Security Number 社會安全號碼		Date of Birth 生日	
Street Address 住址	City 城市	State 州	ZIP plus 4 郵政區碼

As Trustee(s) of the above trust, and in connection with my account application to open and maintain a securities brokerage account with Scottrade, Inc., I certify the above to be true, and hereby represent and warrant that:

擔任上述信託的託管人, 並在Scottrade開設可維護信託帳戶, 我在此陳述並證明上述內容屬實:

- The undersigned are all present Trustees of the Trust.
下面簽名者都是信託的目前託管人。
- Scottrade at its sole discretion may a) request a full copy of the trust and amendments for clarification of the grantor(s) intent with regard to the Trust b) require the written consent of any or all Trustees prior to acting upon instructions of any Trustee.
Scottrade可以自行決定 a) 要求提供一份完整的信託及修改內容的副本, 以便明確授權人對信託的意向 b) 在按照託管人的指令執行交易之前必須先獲得任何或所有託管人的書面許可。
- In consideration of Scottrade opening and maintaining an account for the Trust, executing transactions in such account, and providing such services as Scottrade shall provide from time to time, the Trustee(s) hereby agree:
為Scottrade開設和維護信託帳戶、通過帳戶執行交易、並不時地提供此類服務之故, (各) 託管人在此同意:
 - That Scottrade is authorized to follow the instructions of any Trustee authorized to execute a transaction or issue any other instruction with respect to the Trust, and to deliver funds, securities or any other assets in this account to any such Trustee or on any such Trustee's instructions, on the presumption that either (a) the Trust Agreement expressly provides that each Trustee is authorized to act individually, independently and without the consent of the other Trustee(s) for all purposes related to the Trust brokerage account, or (b) if the Trust Agreement does not contain such an express provision, the Trustee so acting as obtained the requisite consent of the other Trustees in accordance with the requirements of the Trust Agreement.
在下列任一情況下 (a) 信託合約清楚地及在每一託管人可以個別地, 獨立地和 不須其他託管人的許可下, 執行所有與此帳戶有關的行動, (b) 如果信託合約並未清楚記載在上述情況, 則託管人必須符合信託合約的要求, 在取得其他託管人的許可後, 才能執行相關的行動; Scottrade被授權依據任一託管人的指示, 執行與該信託有關的交易或發出與該信託有關的任何指示下, 交付資金, 證券或帳戶中的其他資產給該託管人。
 - That Scottrade shall be informed in writing at its corporate headquarters of any change, restatement or amendment to the Trust Agreement which would change any representation, warranty or certification contained herein, including the list of present Trustees, and that until such written notice shall have been received Scottrade may rely on such representations, warranties, and certifications.
如果信託合約發生任何修改, 重新聲明或補充, 從而可能會改變本證明書所包含的任何陳述、擔保或證明 (包括目前各託管人的名單), 則須書面通知Scottrade總公司; 只有在收到該書面通知後, Scottrade才能確信修改的陳述、擔保和證明內容。

4. Scottrade is authorized to follow such actions and instructions of the Trustee(s), with respect to the following powers authorized by the Trust Agreement:

Scottrade被授權遵守下列於信託合約中委託託管人代理執行的指示:

- Open and maintain an account in the name of the Trust and enter into and execute agreements and do all things which are necessary to open and maintain such account with Scottrade;
開設並維護信託帳戶，達成並簽署合約，並進行與Scottrade共同履行開設和維護此類帳戶的所有必要程序;
- Buy, sell, exchange, convert, tender, trade, or otherwise acquire or dispose of stocks, bonds, mutual funds, and all other securities;
買，賣，交換，兌換，償付，交易，取得或處理股票，債券，共同基金和所有其它證券。
- Engage in Margin transactions, upon Scottrade's approval of the trust account for margin transactions, and upon the presumption that the trust agreement provides for margin transactions, pursuant to the margin rules and requirements as set forth by Scottrade;
在Scottrade核准信託帳戶進行融資交易和信託合約已為融資交易做準備的情況下，依據Scottrade所設立的融資規則和要求，從事融資交易。
- Engage in Options transactions, upon Scottrade's approval of the trust account for options transactions, and upon the presumption that the trust agreement provides for options transactions, pursuant to the options rules and requirements as set forth by Scottrade;
在Scottrade核准信託帳戶進行期權交易和信託合約已為期權交易做準備的情況下，依據Scottrade所設立的期權規則和要求，從事融資交易。
- Receive notices, demands, confirmations, account statements and communications of any kind relating to the operation of or assets in the account;
接收與帳戶或帳戶中資產運作有關的通知、要求、確認、聲明以及各種書信往來;
- Direct that the securities be transferred to another account for or transferred into the name of the Trust or any third party, including an account for or in the name of the Trustee, and to direct that funds and other assets be distributed from the Account to the Trust or any third party, including any Trustee, or an account for any of them;
指示將證券轉至信託或任何第三方的另一個帳戶或者轉入信託或任何第三方名下。包括託管人的帳戶或名下，並且指示將基金和其它資產從該帳戶分配到信託或任何第三方，包括任何託管人，或者他們中的任意一個人的帳戶;
- Otherwise to manage or exercise control over the account or the assets thereof.
另外管理或行使對帳戶或其資產的控制。

I agree to indemnify and hold Scottrade, Inc., its officers, directors, employees, agents, and assigns, harmless from any loss, damage, or claim arising as a result of Scottrade's reliance on the information provided in this document, and from acting upon instructions believed by Scottrade to have originated with the Trustee(s). I agree to abide by the Scottrade Brokerage Account Agreement.

我同意賠償Scottrade 及其執行官，部門主管，雇員，代理人 受讓人 所有因Scottrade 信賴此文件上所提供的諮詢所發生的損失，損害賠償和索賠，並且不要Scottrade 因執行任何託管人的指示而負任何責任。我同意遵循Scottrade 經紀帳戶合約。

ALL TRUSTEES MUST SIGN

所有託管人必須簽名

X

Trustee Signature 託管人簽名

Date日期

X

Trustee Signature 託管人簽名

Date日期

THIS FORM IS NOT A TRUST AGREEMENT.

此表格不是一份信託合約。

Disclaimer

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免責條款

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