

MarketTrade.com<sup>SM</sup> • 231 Sansome Street • 4th Floor • San Francisco, CA 94104

如需開戶協助，請電 1.888.353.6676, 1.415.901.0311  
Client Support: 1.888.353.6676, 1.415.901.0311

FOR COMPANY USE ONLY			
OFFICE	REP NUMBER	ACCOUNT NUMBER	CHECK
APPROVED BY	DATE	OSJ	
OPTION LEVEL	SRO APPROVAL	DATE	BY

## 開戶申請書 New Account Application

請正確填寫所有開設新帳戶所需的文件。簽署並以回郵信封將申請書郵寄至本公司。並請自行保留一份影本。為協助政府打擊恐怖份子及杜絕洗錢行動，應聯邦政府要求，敬請提供您的駕照及其他身份證明文件影本，以確認您的姓名、地址、生日等資料。

**IMPORTANT: PLEASE COMPLETE THE APPLICATION ACCURATELY. FOR FASTER PROCESSING, BE SURE TO SIGN WHERE INDICATED. RETURN THIS FORM AND RETAIN A COPY FOR YOUR RECORDS. TO HELP THE GOVERNMENT FIGHT THE FUNDING OF TERRORISM AND MONEY LAUNDERING ACTIVITIES, FEDERAL LAW REQUIRES US TO OBTAIN A COPY OF YOUR DRIVER'S LICENSE OR OTHER IDENTIFYING DOCUMENTS TO VERIFY YOUR NAME, ADDRESS, DATE OF BIRTH, AND OTHER INFORMATION.**

### 1 請選擇帳戶類別 WHAT TYPE OF ACCOUNT ARE YOU OPENING?

- |  |  |   |   |
|--|--|---|---|
| <input type="checkbox"/> 個人帳戶 Individual             | <input type="checkbox"/> 獨立經營人帳戶+ Sole Ownership*    | <input type="checkbox"/> 看管人帳戶** Custodian**        | <input type="checkbox"/> 簡易員工退休帳戶** SEP IRA**     |
| <input type="checkbox"/> 共同帳戶 Joint Tenant (JTWROS)  | <input type="checkbox"/> 公司帳戶+ Corporate+            | <input type="checkbox"/> 投資會帳戶** Investment Club**  | <input type="checkbox"/> 簡易退休帳戶** Simple IRA**    |
| <input type="checkbox"/> 共有人共同帳戶+ Tenants in Common+ | <input type="checkbox"/> 合夥人帳戶+ Partnership+         | <input type="checkbox"/> 傳統退休帳戶** Traditional IRA** | <input type="checkbox"/> 教育退休帳戶** Education IRA** |
| <input type="checkbox"/> 信託帳戶+ Trust+                | <input type="checkbox"/> 共有財產帳戶+ Community Property* | <input type="checkbox"/> 羅斯退休帳戶** Roth IRA**        | <input type="checkbox"/> 其他 Other _____           |

### 2 請選擇產品類別(產品內容請參考MARKERADE手冊及網站) WHICH ACCOUNT WOULD YOU LIKE TO OPEN? (SEE OUR BROCHURE OR WEBSITE FOR PRODUCT INFORMATION)

- MarkeTrade.BASIC  MarkeTrade.ELITE, 軟體 Platform : \_\_\_\_\_
- \* 您另需填寫其他表格 Additional documents required \* MarkeTrade.ELITE的客戶無法申請此帳戶 May not be available for MarkeTrade.ELITE.

開戶人資料 APPLICANT INFORMATION	
3a 名字 Account Holder 名 First Name Middle Name 姓 Last Name	4a 出生年月日 Date of Birth
5a 如為合夥人、公司、信託請填名稱 Partnership / Corporate / Trust (If Applicable)	
6a 您的電子郵件 E-mail Address	7a 社會安全碼 Social Security/Tax ID Number
8a 住址(請填市名、州名及郵政編號) Home Address - no P.O. boxes (include street, city, state and zip)	
9a 郵寄住址(如與住址不同。請填市名、州名及郵政編號) Mailing Address (if different; include street, city, state and zip)	
10a 您的白天電話號碼 Day Phone Number	11a 您的晚上電話號碼 Evening Phone Number
12a 國籍 Citizen Status <input type="checkbox"/> 美國公民與居民 I am a U.S. Person (Including Citizen and Resident Alien) <input type="checkbox"/> 居住美國以外的外國人 Non-Resident Alien 國家名稱 Non U.S. Citizens, please specify your country of citizenship: _____	
13a 您的雇主名稱(必須填寫, 如無雇主請註明: 自雇/退休/學生/失業/家管等) Employer's Name (Required. If none, state self-employed/retired/student/unemployed/housewife/etc.)	
14a 職位 Title/Occupation	
15a 公司地址 Employer's Address	
16a 婚姻狀況 Marital Status <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 離婚 Divorced <input type="checkbox"/> 單身 Single <input type="checkbox"/> 其他 Other	17a 輔養親屬人數 Number of Dependents
18a 您是否擔任上市公司的董事、股份超過10%、或為公司決策者, 請列其名 Are you a director, 10% shareholder or officer of a publicly traded company? <input type="checkbox"/> 否 No. <input type="checkbox"/> 是 Yes. 公司名稱: Please list the companies: _____	
19a 您是否為證券公司或是NASD的員工、雇主或董事, 請列其名 Are you associated with a brokerage firm, a member of a stock exchange or the NASD? <input type="checkbox"/> 否 No. <input type="checkbox"/> 是 Yes. 公司名稱: Please list the companies: _____	

共同帳戶開戶人資料 CO-APPLICANT INFORMATION (IF ANY)	
3b 名字 Account Holder 名 First Name Middle Name 姓 Last Name	4b 出生年月日 Date of Birth
5b 如為合夥人、公司、信託請填名稱 Partnership / Corporate / Trust (If Applicable)	
6b 您的電子郵件 E-mail Address	7b 社會安全碼 Social Security/Tax ID Number
8b 住址(請填市名、州名及郵政編號) Home Address - no P.O. boxes (include street, city, state and zip)	
9b 郵寄住址(如與住址不同。請填市名、州名及郵政編號) Mailing Address (if different; include street, city, state and zip)	
10b 您的白天電話號碼 Day Phone Number	11b 您的晚上電話號碼 Evening Phone Number
12b 國籍 Citizen Status <input type="checkbox"/> 美國公民與居民 I am a U.S. Person (Including Citizen and Resident Alien) <input type="checkbox"/> 居住美國以外的外國人 Non-Resident Alien 國家名稱 Non U.S. Citizens, please specify your country of citizenship: _____	
13b 您的雇主名稱(必須填寫, 如無雇主請註明: 自雇/退休/學生/失業/家管等) Employer's Name (Required. If none, state self-employed/retired/student/unemployed/housewife/etc.)	
14b 職位 Title/Occupation	
15b 公司地址 Employer's Address	
16b 婚姻狀況 Marital Status <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 離婚 Divorced <input type="checkbox"/> 單身 Single <input type="checkbox"/> 其他 Other	17b 輔養親屬人數 Number of Dependents
18b 您是否擔任上市公司的董事、股份超過10%、或為公司決策者, 請列其名 Are you a director, 10% shareholder or officer of a publicly traded company? <input type="checkbox"/> 否 No. <input type="checkbox"/> 是 Yes. 公司名稱: Please list the companies: _____	
19b 您是否為證券公司或是NASD的員工、雇主或董事, 請列其名 Are you associated with a brokerage firm, a member of a stock exchange or the NASD? <input type="checkbox"/> 否 No. <input type="checkbox"/> 是 Yes. 公司名稱: Please list the companies: _____	

## 融資交易(保證金帳戶交易) Margin Trading

融資帳戶為一借款協議, 可讓您抵押股票並付息借款。從事融資交易需審慎。

A Margin Account is a lending agreement where you pay interest for the right to collateralize your securities. Please exercise caution when trading on margin.

- 否, 我目前不需開設融資帳戶 No, I/we don't want to open a Margin Account at this time.
- 是, 我要開設融資帳戶, 並且會將已簽署的融資交易合約書, 隨同開戶申請表格一併寄送至貴公司。 Yes, I/we would like to open a Margin Account, and a signed Margin Agreement is attached to my New Account Application Form.

## 您的個人資料 Financial Profile / Investment Objectives

(如為共同帳戶，請列總合資料。所有項目皆須填寫)

(For Joint Accounts, individual data should be combined. All questions must be answered.):

- 21 年收入 Annual Income**
- \$25,000以下 Under \$25,000  
 \$25,000 - \$80,000  
 \$80,000 - \$150,000  
 \$150,000以上 Over \$150,000
- 22 不包括您自己居住房屋以外的資產淨值**  
 Estimated Net Worth (Exclusive of Residence)
- \$50,000以下 Under \$50,000  
 \$50,000 - \$100,000  
 \$100,000 - \$500,000  
 \$500,000以上 Over \$500,000
- 23 預估流動資產淨值(如股票、有價證券等)**  
 Estimated Liquid Net Worth (Cash, Stocks...)
- \$50,000以下 Under \$50,000  
 \$50,000 - \$100,000  
 \$100,000 - \$500,000  
 \$500,000以上 Over \$500,000
- 24 聯邦課稅級別 Federal Tax Bracket**
- 15%  
 28%  
 其他 Other \_\_\_\_\_
- 25 投資目的 Investment Objectives**
- 收入 Income  
 資產增值 Growth  
 投機(偶爾) Speculation(occasional)  
 投機 Speculation  
 當日交易\*\* Day Trading\*\*
- \*\* 如您的投資目的為當日交易，您另需閱讀並簽署當日交易規定  
 \*\* Subject to acceptance of Day Trading Rule.
- 26 投資經驗 Investment Knowledge**
- 有限 Limited  
 良好 Good  
 收入 Extensive  
 專業投資 Professional Trader
- 27 投資經驗(年數)**  
 Number of Years Investing \_\_\_\_\_
- 28 平均交易金額**  
 Average Size of Transaction (US Dollar Amount) \_\_\_\_\_
- 29 一年平均交易次數**  
 Average Number of Transactions Per Year \_\_\_\_\_

## 金融市場基金 Money Market Fund

您可選擇將存款餘留在帳上，或是將其轉入金融市場基金，繼續進行短期投資賺取紅利。

You may leave your cash balance in your account or invest the balance in a money market fund to earn dividends.

- 30**  是，我要將帳戶餘額轉入金融市場基金  
 Yes. I want to transfer my cash balance to a money market fund.
- 否，請不要將我的存款餘額轉至金融市場基金  
 No. Please don't transfer my cash balance to a money market fund.

## 帳戶存款 Fund Your Account

請勾選您將以何種方式存款，存入金額須符合最低開戶金額需要

Please check how you would like to fund your account. The amount must meet the minimum deposit requirement.

- 31**  支票：支票抬頭請開 "Computer Clearing Services."  
 Check: All checks must be made payable to "Computer Clearing Services".
- 股票：您在有價證券上的背書須與正面的簽字相吻合  
 Certificate: Stock certificates must be endorsed exactly as they are registered on the face of each certificate and are subject to a hold pending legal transfer.
- 自別家證券公司轉帳至本公司：請附上轉讓書及該公司所寄給您最近一期的月結單。  
 Transfer: Please complete an account transfer form with a copy of your latest statement from the other brokerage account.
- 電匯現金：您的電匯單需註明您的名字與在本公司的帳號  
 Wire: Bank wire transfer to:  
 Bank of the West  
 One Front Street, San Francisco, CA 94111  
 Swift #: BWSTUS66  
 ABA #: 121100782  
 Account number: 756004206  
 Account name: Computer Clearing Services, Inc.  
 FTAO:(your name and your account number)

我/我們藉此申請，請求於懷德證券(White Pacific Securities, Inc. 簡稱懷德)開設一個帳戶。我/我們明白，懷德是一家折扣證券公司，因而不提供投資、稅務或法律建議，且僅接受客戶主動要求進行的證券交易訂單。並透過其清算公司交給合適的市場或市場製造者去執行。我/我們明白我們的投資決定和交易策略由我/我們自行決定，並且我/我們自己承擔個人風險和全部的責任。除有特別指示，清算公司會為我/我們保管所有證券、紅利及我的/我們的帳戶收益。除有特別指示，懷德將提供我/我們的資料給所需單位，做為公司宣傳和股東信息聯絡之用。

我/我們承認，我/我們已經收到、閱讀並且明白管理我/我們與你們帳戶的條款和條件：這些條款和條件(通稱“協議”) 在網址www.markettrade.com/termsandconditions，或致電1.415.901.0311索取。我/我們承認，這些協議共同代表我們之間必須遵守的合約合同。我/我們明白，我/我們使用您的服務，是以我們持續接受這些協議為條件的；懷德可以自行經常對協議進行修改。我/我們也明白，此協議包含一條爭議前的仲裁條款。藉此條款，我/我們放棄我/我們訴諸民事法庭向你們索賠的權力。並且會指定仲裁是我們唯一解決問題的途徑。懷德依照這些協議、法律和相關法令所採取的任何法律行為而導致的損失，我/我們同意賠償。

透過我/我們下面的簽字，我/我們在偽證刑罰的前提下，在此證明如下：(1)我/我們懂得英文，或是我/我們已經由與懷德沒有關係的翻譯者念給我聽，並向我解釋協議的內容。此外，任何翻譯僅供參考，內容皆以英文為準；(2)我/我們已經到遵守這些協議的法定年齡(我/我們已達到法定成人的年齡)；(3)就我/我們所知，我/我們在申請表上所提供的資料是真實、正確和準確的；(4)如果我們的財務狀況會投資目的有任何變動，我/我們同意會即時以書面形式進行更新；(5)此表上的社會安全號碼是我/我們的正確納稅人身份號碼；(6)我/我們沒有逆扣稅的情形；並且(7)如果由於少報紅利或利息，IRS已通知我/我們有逆扣稅的情形，我/我們必須劃掉協議中的第(6)款，並且在旁邊的空白處簽字。

I/we, by this Application, request to establish an account with White Pacific Securities, Inc. ("WPS"). I/we understand that WPS is a discount brokerage firm and as such does not provide investment, tax, or legal advice, but rather accepts only unsolicited customer orders to trade securities, and delivers them through its clearing agent to the appropriate market or market makers for execution. I/we accept full responsibility for and understand that my/our investment decisions and trading strategies are conducted at my/our sole discretion and my/our personal risk. Our clearing firm will hold all securities, dividends and proceeds for my/our account unless otherwise instructed and will provide my/our name to corporations for corporate communications and shareholder information for securities held in my/our account, unless otherwise instructed in writing.

I/we acknowledge that I/we have received, read, and understood the Terms and Conditions agreement governing my/our account with you, which is available at www.markettrade.com/termsandconditions or by calling 1-888-353-6676, and is incorporated herein by reference (collectively "Agreements"). I/we acknowledge that these Agreements together represent a binding legal contract between us. I/we understand that my/our use of your service is conditioned upon our my/our continued acceptance of these Agreements, which may be amended from time to time at WPS's sole discretion. I/we also understand that the Agreements contain a pre-dispute arbitration clause, in which I/we waive my/our right(s) to assert a claim against you in a civil court and designate binding arbitration as my/our sole source for such redress against you. I/we release and agree to indemnify and hold harmless WPS from any and all liability and claims for damages resulting from any reasonable action taken by WPS pursuant to the authority vested to it by these Agreements or by operation of law or applicable regulation.

By my/our signature(s) below, I/we attest, under penalty of perjury, to the following: (1) that I/we am/are able to understand the English language or, if not, that I/we have had an interpreter independent of WPS read and explain the Agreements to me/us, and that any Chinese translation provided by WPS is as a courtesy only, and should not be relied on by me/us as binding; (2) that I/we am/are of legal age to be bound to these Agreements (that I/we am/are of legal age of majority); (3) that the information I/we have provided you by way of this Application is true, correct, and accurate to the best of my/our knowledge; (4) that I/we also agree to timely update you in writing if any material change occurs in either my/our financial profile or investment objectives; (5) that the Social Security Number(s) and/or Tax ID number(s) shown on this form is my/our correct taxpayer identification number(s); (6) that I/we am/are not subject to backup withholding; and (7) that if I/we have been notified by the IRS that I/we am/are subject to backup withholding as a result of dividend or interest under-reporting, I/we must cross out (6) in this certification and initial same in the margin.

<p>▼ 開戶人簽署 Applicant's Signature: _____</p> <p>日期 Date: _____</p>	<p>▼ 共同帳戶開戶人簽署 Co-Applicant's Signature: _____</p> <p>日期 Date: _____</p>
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Account Introduced By: \_\_\_\_\_ (RR) Date: \_\_\_\_\_ Approved By: \_\_\_\_\_ (Branch Mgr.) Date: \_\_\_\_\_  
 ID Verified By: \_\_\_\_\_ Date: \_\_\_\_\_ Date of Issue: \_\_\_\_\_ Date of Expiry: \_\_\_\_\_