



Brokerage services through White Pacific Securities, Inc.
 Finance Depot, Inc. • 35485-A Dumbarton Court • Newark, CA 94560
 服務專線: 510-713-0688 or 888-366-9889
 網址: www.financepotinc.com

FOR COMPANY USE ONLY			
OFFICE	REP NUMBER	ACCOUNT NUMBER	CHECK
PAYMENT INSTRUCTION: (PAY: P, HOLD: H, PAY MONTHLY: M, PAY WEEKLY: W)			MMF Code:
Securities: _____ Money: _____ Dividends: _____ Principal & Maturity: _____ Process Check: _____			
APPROVED BY		DATE	OSJ
OPTION LEVEL	SROP 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 開戶人是否為外國銀行? 是, 否。如是, 請註明美國本地的帳戶處理者: _____
 Is This Account For A Foreign Bank? Yes, No. If yes, please list U.S. agent for service of process: _____

2 請選擇帳戶類別 WHAT TYPE OF ACCOUNT ARE YOU OPENING?
 個人帳戶 Individual 獨立經營人帳戶+ Sole Ownership+ 看管人帳戶 Custodian
 共同帳戶 Joint Tenant (JTWROS) 公司帳戶+ Corporate+ 投資會帳戶+ Investment Club+ 簡易員工退休帳戶+ SEP IRA+
 共有人共同帳戶+ Tenants in Common+ 合夥人帳戶+ Partnership+ 傳統退休帳戶+ Traditional IRA+ 簡易退休帳戶+ Simple IRA+
 信託帳戶+ Trust+ 共有財產帳戶+ Community Property+ 羅斯退休帳戶+ Roth IRA+ 教育退休帳戶+ Education IRA+
 其他 Other _____
 + 您另需填寫其他表格 Additional documents required

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	
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) 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.

20 否, 我目前不需開設融資帳戶 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。
 No, I/we don't want to open a Margin Account at this time. 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%
- ≥ 28%
- 25 銀行名稱與分行地點**
Bank Name and Branch Location
- _____
- _____
- 26 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.
- 27 投資經驗 Investment Knowledge**
- 有限 Limited
- 良好 Good
- 收入 Extensive
- 專業投資 Professional Trader
- 28 投資經驗(年數)** _____
Number of Years Investing
- 29 平均交易金額** _____
Average Size of Transaction (US Dollar Amount)
- 30 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.

- 31** 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.

To: White Pacific Securities, Inc. (including any divisions thereof) (Collectively "WPS") and Penson Financial Services, Inc. ("Penson") (Collectively "You" or "Your")

By signing below, I, individually or as a co-applicant, warrant my agreement to all of the terms of this Agreement relating to the WPS brokerage account ("Account") I am opening for purposes of the purchase and sale of securities or contracts relating hereto, and/or (if applicable) the borrowing of funds to facilitate such purchases:

- I warrant that I am of legal age of majority in my state of residence/domicile.
- All transactions for this Account shall be subject to the constitution, rules, regulations, customs and usages of the exchange or market (and its clearing house, if any) where executed.
- Any and all securities or commodities, or contracts relating thereto, and all other property of whatever kind belonging to me or in which I may have an interest, held by You or carried for any WPS account, shall be subject to a general lien for the discharge of my obligations to You, however arising and without regard to whether or not You have made advances with respect to such property, and without further notice to me, may be carried in Your general loans and may be pledged, re-pledged, hypothecated or re-hypothecated, separately or in common with other securities and commodities of any other property, for the sum due to you thereon, or for a greater sum and without retaining in Your possession and control for delivery a like amount of similar securities, commodities or other property.
- I agree that in giving orders to sell, all sale orders will be designated as "long" in my cash account, and that the designation of a sell order as "long" is a representation by me that I own the security, and that I am responsible for facilitating delivery to WPS of the negotiable certificates being sold no later than by settlement date.
- Trade confirmations and monthly statements shall reasonably be deemed accepted if not objected to by me within five days and ten days, respectively, after the date of mailing. Said objections shall be reviewed on a case-by-case basis.
- At any time, and from time to time, You may, in Your discretion, without notice to me, apply and/or transfer any securities, commodities, contracts relating thereto, or any other property or equity therein, interchangeably between any WPS account in which I may have an interest, whether individually or jointly.
- I agree that this Agreement is a legally enforceable contract and shall inure to the benefit of my successors-in-interest, beneficiaries, executors, shareholders, administrators and assigns, and shall be governed by the laws of the State of California.
- I agree that this Agreement shall be in-force and controlling whether my interaction with WPS is via an electronic on-line/phone order system, a computer system or by telephone conversation with brokers. I acknowledge that You make no warranties or guarantees, express or implied, of any kind, with respect to any of Your electronic service(s) or software, or market data provided by third-parties or otherwise. In no event shall You be liable for any damages, either direct or incidental, including, but not limited to, lost profits, trading losses, whether foreseeable or not, that result from my reliance on wrong data, delay or loss of access to my account, by use of this, or any, WPS/Penson service. (See separately WPS' "Disclaimer")
- I authorize You to record my telephone conversations with You to monitor the quality of service, transaction orders and other information. I also acknowledge Your reservation of the right to verify, by use of a credit bureau or otherwise, the financial data I have provided herein.
- If there is more than one account holder, all account holders' obligations under this Agreement shall be joint and several. Each joint account holder shall have the authority, acting alone, to take action with respect to this Account, or the securities and other property held therein.
- AGREEMENT TO ARBITRATE ALL CONTROVERSIES**
THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE. BY SIGNING AN ARBITRATION AGREEMENT THE PARTIES AGREE AS FOLLOWS:
(A) ALL PARTIES TO THIS AGREEMENT ARE GIVING UP THE RIGHT TO SUE EACH OTHER IN COURT, INCLUDING THE RIGHT TO A TRIAL BY JURY, EXCEPT AS PROVIDED BY THE RULES OF THE ARBITRATION FORUM IN WHICH A CLAIM IS FILED.
(B) ARBITRATION AWARDS ARE GENERALLY FINAL AND BINDING; A PARTY'S ABILITY TO HAVE A COURT REVERSE OR MODIFY AN ARBITRATION AWARD IS VERY LIMITED.
(C) THE ABILITY OF THE PARTIES TO OBTAIN DOCUMENTS, WITNESS STATEMENTS AND OTHER DISCOVERY IS GENERALLY MORE LIMITED IN ARBITRATION THAN IN COURT PROCEEDINGS.
(D) THE ARBITRATORS DO NOT HAVE TO EXPLAIN THE REASON(S) FOR THEIR AWARD.
(E) THE PANEL OF ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.
(F) THE RULES OF SOME ARBITRATION FORUMS MAY IMPOSE TIME LIMITS FOR BRINGING A CLAIM IN ARBITRATION. IN SOME CASES, A CLAIM THAT IS INELIGIBLE FOR ARBITRATION MAY BE BROUGHT IN COURT.
(G) THE RULES OF THE ARBITRATION FORUM IN WHICH THE CLAIM IS FILED, AND ANY AMENDMENTS THERETO, SHALL BE INCORPORATED INTO THIS AGREEMENT.
(H) NO PERSON SHALL BRING A PUTATIVE OR CERTIFIED CLASS ACTION TO ARBITRATION, NOR SEEK TO ENFORCE ANY PRE-DISPUTE ARBITRATION AGREEMENT AGAINST ANY PERSON WHO HAS INITIATED IN COURT A PUTATIVE CLASS ACTION; OR WHO IS A MEMBER OF A PUTATIVE CLASS ACTION WHO HAS NOT OPTED OUT OF THE CLASS WITH RESPECT TO ANY CLAIMS ENCOMPASSED BY THE PUTATIVE CLASS ACTION UNTIL: (I) THE CLASS CERTIFICATION IS DENIED; OR (II) THE CLASS IS DECERTIFIED; OR (III) THE CUSTOMER IS EXCLUDED FROM THE CLASS BY THE COURT. SUCH FORBEARANCE TO ENFORCE AN AGREEMENT TO ARBITRATE SHALL NOT CONSTITUTE A WAIVER OF ANY RIGHTS UNDER THIS AGREEMENT EXCEPT TO THE EXTENT STATED HEREIN.*
- Payment Order Flow Disclosure: I acknowledge that You may receive remuneration in the form of payments for directing orders to designated broker/dealers and market centers for execution. The source and amount of compensation received by you regarding any of my transactions will be disclosed upon written request.

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 underreporting, I/we must cross out (6) in this certification and initial same in the margin.

<p>▼ 開戶人簽署 Applicant's Signature: _____ 日期 Date: _____</p>	<p>▼ 共同帳戶開戶人簽署 Co-Applicant's Signature: _____ 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: _____