



## Non-US Person Brokerage Account Application

### 非美國居民經紀賬戶申請表

☒ Individual (Internet)

個人賬戶 (網上下單)

☐ Joint (Internet)

共同賬戶 (網上下單)

To avoid delays in processing your application, completion of all boxes required.

為了避免申請延遲，請用英文填寫每一項。

\*必填欄位

Scottrade Use Only  
內部使用欄

Registered Rep

Registered Principal

Date 276240

Lead#

|  |                                       |   |  |  |                                     |                                   |                   |
|--|---------------------------------------|---|--|--|-------------------------------------|-----------------------------------|-------------------|
| <b>*1. APPLICANT 申請人</b>   |                                       |   |  | <b>*1a. CO-APPLICANT (IF ANY) 共同申請人 (若適用)</b>  |                                     |                                   |                   |
| <input checked="" type="checkbox"/> Mr. 先生   | FIRST NAME 名                          | LAST NAME 姓                                   |  | <input type="checkbox"/> Mr. 先生  | FIRST NAME 名                        | LAST NAME 姓                       |                   |
| <input type="checkbox"/> Mrs. 太太   | Yanan                                 | Xiao  |  | <input type="checkbox"/> Mrs. 太太   |                                     |                                   |                   |
| <input type="checkbox"/> Ms. 女士  |                                       |   |  | <input type="checkbox"/> Ms. 女士  |                                     |                                   |                   |
| <b>*2. HOME ADDRESS 居住地址</b><br>Family Apartments, Building 6, Unit 4, Room 302, No.2 Middle School  |                                       |   |  | <b>*2a. HOME ADDRESS 居住地址</b>  |                                     |                                   |                   |
| <b>3. CITY 城市</b><br>Shaoyang  | <b>4. STATE/PROVINCE 州/省</b><br>Hunan | <b>5. ZIP CODE 郵區號碼</b><br>422000             |  | <b>3a. CITY 城市</b>   | <b>4a. STATE/PROVINCE 州/省</b>       | <b>5a. ZIP CODE 郵區號碼</b>          |                   |
| <b>*6. COUNTRY 國家</b><br>China   |                                       | <b>*7. CITIZENSHIP 國籍</b><br>China            |  | <b>*6a. COUNTRY 國家</b>   |                                     | <b>*7a. CITIZENSHIP 國籍</b>        |                   |
| <b>*8. PASSPORT OR RESIDENT CARD #</b><br>護照號碼或身份證字號<br>G58272672  |                                       | <b>*9. DATE OF BIRTH</b><br>出生日期<br>1991/9/23 |  | <b>*8a. PASSPORT OR RESIDENT CARD #</b><br>護照號碼或身份證字號  |                                     | <b>*9a. DATE OF BIRTH</b><br>出生日期 |                   |
| <b>10. MAILING ADDRESS (If different from home address)</b><br>通訊地址 (如果不同於以上居住地址)<br>Family Apartments, Building 6, Unit 4, Room 302, No.2 Middle Shaoyang   |                                       |   |  | <b>CITY 城市</b><br>Hunan  | <b>STATE/PROVINCE 州/省</b><br>422000 | <b>ZIP CODE 郵區號碼</b><br>China     | <b>COUNTRY 國家</b> |
| <b>*11. PRIMARY PHONE (Country Code-Area Code-Number)</b><br>主要電話 (國家碼 - 區域碼 - 電話號碼)<br>手机 971-559822753   |                                       |   |  | <b>*11a. PRIMARY PHONE (Country Code-Area Code-Number)</b><br>主要電話 (國家碼 - 區域碼 - 電話號碼)  |                                     |                                   |                   |
| <b>12. OTHER PHONE (Country Code-Area Code-Number)</b><br>其他電話 (國家碼 - 區域碼 - 電話號碼)<br>手机 0086-13607478781   |                                       |   |  | <b>12a. OTHER PHONE (Country Code-Area Code-Number)</b><br>其他電話 (國家碼 - 區域碼 - 電話號碼)   |                                     |                                   |                   |
| <b>13. OFFICE PHONE (Country Code-Area Code-Number)</b><br>工作電話 (國家碼 - 區域碼 - 電話號碼)   |                                       |   |  | <b>13a. OFFICE PHONE (Country Code-Area Code-Number)</b><br>工作電話 (國家碼 - 區域碼 - 電話號碼)  |                                     |                                   |                   |
| <b>14. FAX (Country Code-Area Code-Number)</b><br>傳真 (國家碼 - 區域碼 - 電話號碼)  |                                       |   |  | <b>14a. FAX (Country Code-Area Code-Number)</b><br>傳真 (國家碼 - 區域碼 - 電話號碼)   |                                     |                                   |                   |
| <b>*15. OCCUPATION 職業</b><br>a). EMPLOYED 在職 (Please specify occupation) (請說明職位)<br>Employer Name 任職公司名稱<br>Employer Address 任職公司地址<br>b). SELF-EMPLOYED (Please specify job function) 自營業 (請說明行業類別)<br>c). OTHERS 其它<br><input type="checkbox"/> UN-EMPLOYED <input type="checkbox"/> RETIRED <input type="checkbox"/> HOMEMAKER <input checked="" type="checkbox"/> STUDENT<br>失業 退休 家管 學生 |                                       |   |  | <b>*15a. OCCUPATION 職業</b><br>a). EMPLOYED 在職 (Please specify occupation) (請說明職位)<br>Employer Name 任職公司名稱<br>Employer Address 任職公司地址<br>b). SELF-EMPLOYED (Please specify job function) 自營業 (請說明行業類別)<br>c). OTHERS 其它<br><input type="checkbox"/> UN-EMPLOYED <input type="checkbox"/> RETIRED <input type="checkbox"/> HOMEMAKER <input type="checkbox"/> STUDENT<br>失業 退休 家管 學生 |                                     |                                   |                   |
| <b>*16. E - Mail Address 電子郵件信箱 (必須填寫)</b><br>abraham.x91@gmail.com  |                                       |   |  | <b>17. Promotion Code (優惠代碼)</b>   |                                     |                                   |                   |



\*18. Please indicate source of funds used to establish this account: 請表明開設此帳戶的資金來源:

☒ Income/Savings 收入/儲蓄 ☒ Investments 投資 ☐ Inheritance/Gifts 遺產/贈給 ☐ Retirement/Government /Legal Benefits 退休/政府/法律福利 ☐ Other 其他 \_\_\_\_\_

\*19. Please indicate number of fund transfers and amount (e.g. checks, wire transfers, etc.) you anticipate in any given year.  
請表明將在任一年中您預計資金轉移次數與金額 (例如: 支票, 電匯等等)

a). Deposits: ☒ 1-10 ☐ 11-20 ☐ 20+  
存款次數

b). Withdrawals: ☒ 1-10 ☐ 11-20 ☐ 20+  
提款次數

c). Transfer amount: ☒ \$0 - \$10,000 ☐ \$10,001 - \$25,000 ☐ \$25,001 - \$100,000 ☐ \$100,001 - \$250,000 ☐ \$250,001+  
轉移金額

\*20.

☐ Yes 是 ☒ No 否 Is any applicant employed by or affiliated with a U.S. securities firm registered in the U.S., a U.S. securities exchange, or FINRA?  
申請人是否受聘或附屬於在美國註冊的證券公司、在美國的交易所或 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) \_\_\_\_\_

☐ Yes 是 ☒ No 否 Is any applicant a "control person" or "affiliate" of a U.S. public company as defined by the U.S. Securities Exchange Commission?  
This would generally include 10% shareholders, member of the Board of Directors and policy-making officers.

申請人是否為美國證券交易管理局 (SEC) 所定的美國上市公司 "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) \_\_\_\_\_

☐ Yes 是 ☒ No 否 Are you or anyone with interest in this account either: 1) a senior military, governmental, or political official in a non-U.S. country, or 2) closely associated with an immediate family member of such an official?

您或任何在此帳戶中有利益的人: 1) 是美國以外國家的軍隊, 政府或政治高級官員? 或 2) 與此類官員的直系親屬有密切關係?

If you answer "Yes", please provide additional information below: 如果您的回答為 "是", 請在以下提供額外資料:

Name of Official \_\_\_\_\_  
官員姓名

Office Held \_\_\_\_\_  
擔任職位

Country Served \_\_\_\_\_  
任職國家

Relationship \_\_\_\_\_  
與您的關係

By signing this Application, 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 on page 11 at section VII-B.

經簽署本合約, 本人確認已收到、閱讀並遵守隨附的經紀賬戶合約的各條規定, 包括在合約第11頁 (中文版第16頁) 的有關糾紛仲裁的第VII-B章節。

NON-RESIDENT ALIEN CERTIFICATION: I CERTIFY THAT I AM NOT A U.S. CITIZEN, RESIDENT ALIEN, OR OTHER U.S. PERSON FOR U.S. TAX PURPOSES, AND I AM SUBMITTING THE APPLICABLE W-8 FORM WITH THIS FORM TO CERTIFY MY FOREIGN STATUS AND, IF APPLICABLE, CLAIM TAX TREATY BENEFITS.

外國人身份證明: 本人特此證明我不是美國公民、居民 (RESIDENT ALIEN) 或其它在美國申報稅務的個人, 並且與這個表格一起提交相關的 W-8 表格來證明我的外國人身份, 以及如果適用, 享受稅務條約的優惠政策。

11/4/2014

Date  
日期

X Yanan Xiao 肖雅楠  
Applicant's Signature  
申請人簽字

X  
Co-Applicant's Signature  
共同申請人簽字

**MARGIN AGREEMENT - ALSO SIGN BELOW ONLY IF YOU DESIRE A MARGIN ACCOUNT**

融資融券合約 - 只有在開辦融資融券帳戶時方須在下欄簽字。

By signing this agreement I acknowledge that I have received, read and agree to abide by the terms of the accompanying Brokerage Account Agreement, including the Margin Account provisions starting on page 8.

經簽署本合約, 本人確認已經收到、閱讀且同意遵守隨附的經紀賬戶合約, 包括從第8頁 (中文版第12頁) 章節開始的融資融券規定。

Date  
日期

X  
Margin Customer's Signature  
融資融券客戶簽字

X  
Margin Joint Party's Signature  
融資融券共同方簽字

**Disclaimer免責聲明**

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