



账户号码

Account Number: \_\_\_\_\_

## Online Service Agreement 电子交易服务合约

Name on Account 帐户注册姓名 _____		Social Security Number 社会安全号码 _____	
Joint Applicant's Name 共同持有申请人姓名 _____		Social Security Number 社会安全号码 _____	
Home Address 住址 (不可填写邮政信箱) _____		City 城市 _____	State 州 _____ Zip Code 邮递区号 _____
( ) _____	( ) _____		
Home Telephone 住家电话 _____	Work Telephone 公司电话 _____	E-mail Address 电子邮件地址 _____	

**Would you like your existing brokerage account transferred to Firstrate? 您是否想将您现有的经纪帐户转至第一理财?**

Yes, transfer my existing brokerage account to Firstrate.  
是的，请将我现有的经纪帐户转至第一理财。(相关表格会邮寄给您，或至第一理财网站 [www.firstrate.com/china](http://www.firstrate.com/china) 下载)

No, not at this time. 否。

### Account Agreement 帐户合约

Rule 14b-1(c) of the Securities Exchange Act, unless you object, requires us to disclose to an issuer, upon its request, the name, address, and securities position of our customers who are beneficial owners of the issuer's securities, which are held by Person Financial in nominee name. The issuer would be permitted to use your name and other related information for corporate communication only. If you object to this disclosure, check this box:

I would like to establish a brokerage account with Firstrate Securities Inc. which clears all transactions through Person Financial. I acknowledge by signing this agreement that I have received, read and understand the terms and conditions in the Firstrate Securities Inc. Account Agreement (which includes the margin agreement), and agree to be bound by these terms and conditions as they apply to my account as amended from time to time. I agree that Firstrate Securities Inc. does not provide legal or tax advice, and will not advise me concerning the nature, potential value, or suitability of any particular security, transaction, or investment strategy. I understand that investments purchased through Firstrate Securities are not insured by the FDIC (Federal Deposit Insurance Corporation), are not obligations of or guaranteed by any financial institution and are subject to investment risk and loss that may exceed the principal invested.

In accordance with the Firstrate Securities Account Agreement, I agree that all debts and other obligations owed to Firstrate and any party to the Account Agreement will be secured by a lien on all securities and other property now or hereafter held or maintained in any of my present or future Firstrate accounts, whether individually or jointly held with others, or in any other Firstrate account in which I have an interest.

**I further acknowledge that I have received, read and understand the predispute arbitration clause located in the Firstrate Securities Inc. Account Agreement, paragraph 23, and agree to resolve any disputes arising out of my account by arbitration.**

I further acknowledge that I have received, read and understand the Margin Disclosure Statement provided by Firstrate Securities Inc.

**W-9 Certification:** Under penalties of perjury, I certify (1) that the number shown on this application is my correct taxpayer identification number and (2) that I am not subject to backup withholding and (3) that I am a U.S. person (including a resident alien); provided, however, if I am a nonresident alien as disclosed in this application, I do not certify that I am a U.S. person and I understand that I must submit the appropriate W-8 Form. If I have been notified by the IRS that I am subject to backup withholding as a result of dividend or interest underreporting, I must cross out the text contained in clause (2) of this section and I understand I will be subject to backup withholding. I understand that the IRS does not require my consent to any further provisions of this Agreement.

I authorize Person Financial and/or Firstrate Securities to obtain a consumer report at the time of application to verify my creditworthiness and to obtain a consumer report from time to time for updates, renewals, extensions, and collection activity on any approved account. Upon my written request, Person Financial will disclose to me whether it obtained a report, and if so, the name and address of the consumer-reporting agency that provided it. In the event that my account is denied, as a result of the consumer report verification, I authorize Person Financial to provide to Firstrate the reason(s) for such denial.

I acknowledge that the information provided in the Account Application is accurate and correct. 本人确认此帐户申请表所填写的资料准确无误。

<b>X</b>	<b>X</b>
Applicant's Signature 申请人签名 _____	Date 日期 _____
Joint Applicant's Signature 共同申请人签名 _____	Date 日期 _____

<b>第一理财专用</b>		<input type="checkbox"/> Margin	<input type="checkbox"/> Cash
Approved By: _____	Date: _____	Account #: _____	Customer ID Verified: <input type="checkbox"/> Yes <input type="checkbox"/> No