Personal Account Application Form 私人戶口申請書

E*TRADE FINANCIAL 億創理財

Customer Service provided by:
ETRADE Securities (Hong Kong) Limited
Suite 2401-12, Two Pacific Place,
88 Queensway, Admiralty, Hong Kong;
客戶服務提供機構：
ETRADE Securities (Hong Kong) Limited
地址：香港金鐘道88號
太古廣場2期24樓2401-12室

E*TRADE Securities LLC
P.O. Box 1542
Merrifield, VA 22116-1542

www.etrade.com

**Questions about your US Brokerage account?
Contact us at enquiry-HK@etrade.com
or call us at (852) 3191-3311 for HK and
our toll free number at 10-800-852-0968 for Northern China,
10-800-152-0968 for Southern China and
00-801-855-954 for Taiwan**
若對您的美國經紀帳戶有疑問，請電郵enquiry-HK@etrade.com
或致電 (852) 3191-3311 (香港) 與本公司聯絡。
我們設有免費長途電話號碼10-800-852-0968 (中國北方)，
10-800-152-0968 (中國南方) 和
00-801-855-954 (台灣)

To open your E*TRADE US Brokerage Account.
想開設E*TRADE美國經紀帳戶。

Please attach 請附上：

Copy of your ID card or passport.
您的身份證或護照副本。

Your residential address proof copy which can be your recent copy of monthly bank account statement, credit card statement, utility bills, or mobile phone statement.
您的住址證明，如最近的銀行月結單、信用卡月結單、水電費單或流動電話月結單的副本。

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT 開戶手續須知

To help the government fight the funding of terrorism and money laundering activities, the USA Patriot Act requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.
為協助政府打擊資助恐怖主義和洗黑錢的活動，《美國愛國法》(USA PATRIOT Act) 規定所有金融機構須取得、核實和記錄每名開戶人士的身份資料。

What this means for you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.
此規定對您的影響：在開戶時，我們將要求取得您的姓名、地址、出生日期和可識別您的身份的其他資料。我們亦可能要求查閱您的駕駛執照或其他身份證明文件。

This form must be filled in English.
本表格必須以英文填寫。

For Joint Account, each account holder has to fill in W-8BEN Form separately.
若是聯名帳戶，每名帳戶持有人必須分別填寫W-8BEN表格。

1. Choose Your Account Type 選擇您的帳戶類別

☐ Individual Account 個人帳戶
One person owns the account. 一名人士擁有帳戶

Joint Account: (choose only one) 聯名帳戶 (請選擇其一):

☐ Rights of Survivorship 生存者取得權
If one owner dies, his/her interest passes to surviving owners.
如果一名擁有人去世，其權益轉給尚存的擁有人。

☐ Tenancy in Common 分權共有
If one owner dies, his/her interest passes to his/her estate.
如果一名擁有人去世，其權益撥入其遺產。

2. Enter Your Account Holder Information (please print) 輸入帳戶持有人資料 (請用正楷填寫)

Securities industry regulations require that we collect all of the following information.證券業規定要求我們須取得以下所有資料。

Primary Account Holder 主要帳戶持有人

Name (first, middle initial, last) 姓名 (名、中間名、姓)	Date of Birth (mm/dd/yyyy) 出生日期 (月/日/年)	
Home Street Address (cannot be a P.O. box) 住宅 (街道) 地址 (不接受郵政信箱)		
	City, State, ZIP / Country 市、州、郵編/國家	
Mailing Address (if different from above; P.O. box may be used) 通訊地址 (如與以上不同，可採用郵政信箱)		
	City, State, ZIP / Country 市、州、郵編/國家	
E-mail Address (required for account updates) 電郵地址 (用於帳戶資料更新)	Social Security Number / Tax ID Number (if any) 社會安全號碼/納稅人識別號碼 (如有)	
Home Phone 住宅電話號碼	Business Phone 辦公電話號碼	Mobile Phone 流動電話號碼
Employment Status 職業狀況 ☐Employed 受僱 ☐Student 學生	☐Self-employed 自僱 ☐Not employed 無業	☐Retired 退休 ☐Homemaker 家庭主婦
Employer 僱主		Specific Occupation 職業
Business Street Address 辦公室 (街道) 地址		
	City, State, ZIP / Country only 只需填寫市、州、郵編/國家	
Are you employed by a registered securities broker/dealer, investment advisor, bank, or other financial institution? 您是否受僱於註冊證券經紀/交易商、投資顧問、銀行或其他金融機構？ ☐No 否 ☐Yes (you must submit a compliance letter with this application) 是 (遞交此申請書時須附上開戶授權書)		
Are you a director, 10% shareholder, or policymaker of a publicly held company? 您是否上市公司的董事、持有股權達10%的股東或決策者？ ☐No 否 ☐Yes (specify companies) 是 (請列明公司名稱)		

Co-Account Holder, If Applicable 聯名帳戶持有人(如適用)

Name (first, middle initial, last) 姓名 (名、中間名、姓)	Date of Birth (mm/dd/yyyy) 出生日期 (月/日/年)	
Home Street Address (cannot be a P.O. box) 住宅 (街道) 地址 (不接受郵政信箱)		
	City, State, ZIP / Country 市、州、郵編/國家	
Mailing Address (if different from above; P.O. box may be used) 通訊地址 (如與以上不同，可採用郵政信箱)		
	City, State, ZIP / Country 市、州、郵編/國家	
E-mail Address (required for account updates) 電郵地址 (用於帳戶資料更新)	Social Security Number / Tax ID Number (if any) 社會安全號碼/納稅人識別號碼 (如有)	
Home Phone 住宅電話號碼	Business Phone 辦公電話號碼	Mobile Phone 流動電話號碼
Employment Status 職業狀況 ☐Employed 受僱 ☐Student 學生	☐Self-employed 自僱 ☐Not employed 無業	☐Retired 退休 ☐Homemaker 家庭主婦
Employer 僱主		Specific Occupation 職業
Business Street Address 辦公室 (街道) 地址		
	City, State, ZIP / Country only 只需填寫市、州、郵編/國家	
Are you employed by a registered securities broker/dealer, investment advisor, bank, or other financial institution? 您是否受僱於註冊證券經紀/交易商、投資顧問、銀行或其他金融機構？ ☐No 否 ☐Yes (you must submit a compliance letter with this application) 是 (遞交此申請書時須附上開戶授權書)		
Are you a director, 10% shareholder, or policymaker of a publicly held company? 您是否上市公司的董事、持有股權達10%的股東或決策者？ ☐No 否 ☐Yes (specify companies) 是 (請列明公司名稱)		

Primary Account Holder 主要帳戶持有人		**Co-Account Holder, If Applicable 聯名帳戶持有人** (如適用)	
If you are not a U.S. resident, please provide the following 若非美國居民，請提供以下資料		If you are not a U.S. resident, please provide the following 若非美國居民，請提供以下資料	
ID No./Passport Number 身份證號碼/護照號碼	Country of Issuance 簽發國家	ID No./Passport Number 身份證號碼/護照號碼	Country of Issuance 簽發國家
Country of Legal Residence (please attach Form W-8BEN) 法定居住國 (請附上W-8BEN表格) NOTE: If you are a non-U.S. resident, please attach a photocopy of your passport or government-issued identification. We cannot open your account without this documentation. 注意：若非美國居民，請附上您的護照或由政府簽發的身份證明文件的影印本，否則我們無法為您開設帳戶。		Country of Legal Residence (please attach Form W-8BEN) 法定居住國 (請附上W-8BEN表格) NOTE: If you are a non-U.S. resident, please attach a photocopy of your passport or government-issued identification. We cannot open your account without this documentation. 注意：若非美國居民，請附上您的護照或由政府簽發的身份證明文件的影印本，否則我們無法為您開設帳戶。	
If you are not a U.S. citizen, please provide the following. 如果您不是美國公民，請提供以下資料		If you are not a U.S. citizen, please provide the following. 如果您不是美國公民，請提供以下資料	
Country of Citizenship 國籍		Country of Citizenship 國籍	
If you have been at your current address for less than six months, please provide your previous address. 如果您在目前地址居住的時間少於六個月，請提供您以前的地址。		If you have been at your current address for less than six months, please provide your previous address. 如果您在目前地址居住的時間少於六個月，請提供您以前的地址。	
Street Address街道地址		Street Address街道地址	
	City, State, ZIP/Country 市、州、郵編/國家		City, State, ZIP/Country 市、州、郵編/國家

3. Create Your Investment Profile 設定投資組合

Securities industry regulations require that we collect all of the following information. For joint accounts, please include combined amounts. 證券業規定要求我們須取得以下所有資料。若為聯名戶口，請按合併金額計算。

Investment Objective for This Account 帳戶的投資目標 (choose only one 請只選擇一項)

☐ Capital preservation 保本
Minimize the potential for any loss of principal
盡量減低令本金損失的可能性

☐ Income 收益
Provide current income rather than growth of principal
提供現時收益而非本金增長

☐ Growth 增長
Increase investment value over time while accepting price fluctuations
在一段期間內利用價格波動為投資增值

☐ Speculation 投機
Assume the highest degree of risk for potentially higher returns 承擔最高風險以爭取較高回報

Investment Experience 投資經驗

☐ None 無 ☐ Limited 有限 ☐ Good 良好 ☐ Excellent 豐富

Annual Income (in US$) **每年收入** (以美元計算)	☐ \$0-\$14,999 ☐ \$50,000-\$99,999	☐ \$15,000-\$24,999 ☐ \$100,000-\$199,999	☐ \$25,000-\$49,999 ☐ \$200,000+
Approximate Net Worth (in US$) **大約資產淨值** (以美元計算) (excluding residence 不包括住所房產)	☐ \$0-\$24,999 ☐ \$100,000-\$499,999	☐ \$25,000-\$49,999 ☐ \$500,000-\$999,999	☐ \$50,000-\$99,999 ☐ \$1,000,000+
Approximate Liquid Net Worth (in US$) **大約流動資產淨值** (以美元計算) (cash, stocks, etc. 現金、股票等)	☐ \$0-\$14,999 ☐ \$50,000-\$99,999 ☐ \$500,000-\$999,999	☐ \$15,000-\$24,999 ☐ \$100,000-\$199,999 ☐ \$1,000,000+	☐ \$25,000-\$49,999 ☐ \$200,000-\$499,999

4. Select Your Account Features 選擇您的帳戶特點

Earn Income on Your Cash Balance 利用現金結餘賺取收入
Select only ONE of the following choices for the cash balance in your account. 請為您帳戶中的現金結餘選擇下列其中一項。
For current interest yields, go to *etrade.com/rates* 想知現時的利息收益率，請進入*etrade.com/rates*查閱。

☐ International Sweep Deposit Account* ☐ Credit Interest ☐ Other 其他：______________________

* Offers daily interest and FDIC insurance up to US\$100,000. 存款每日生息, 聯邦存款保險公司提供最高達100,000美元的保障。

If you select the E*TRADE FINANCIAL Sweep Deposit Account, we will mail you a copy of the Sweep Deposit Account Agreement and the SDA Rate and Fee Schedule, which can also be found at www.etrade.com/sweeptruthinsavings and www.etrade.com/sweepdepositoryagree, respectively. If you do not check a box, you will automatically be enrolled in the E*TRADE FINANCIAL Sweep Account. You may change your selection at any time.
如果您選用E*TRADE FINANCIAL Sweep Deposit Account，我們會把Sweep Deposit Account的協議和利率收費郵寄給您，兩者也可分別在www.etrade.com/sweeptruthinsavings和www.etrade.com/sweepdepositoryagree瀏覽。如果您沒有在空格中作出選擇，便會自動加入E*TRADE FINANCIAL的Sweep Deposit Account，您也可隨時更改選擇。

Receive Your Account Documents Online 在網上收取您的帳戶文件
For your convenience, account documents such as monthly statements, trade confirmations, and tax documents will be delivered to you via a secure online file cabinet instead of by mail. We will notify you at the Primary Account Holder's e-mail address provided in Section 2 whenever a new document is available.
為方便閣下，帳戶文件(例如月結單、交易確認書和稅務文件)將透過安全的網上文件櫃而非郵寄交付給您。每當有新文件時，我們將按您在第2部份提供的主要帳戶持有人的電郵地址通知您。

This feature is provided automatically unless declined below. 除非您在下文另行選擇，否則會自動提供此項安排。
I would prefer to receive the following items by U.S. mail: 我想透過美國郵遞收取下列各項：

☐ Monthly statements 帳戶月結單 ☐ Trade confirmations 交易確認書 ☐ Prospectuses 發售章程
☐ Tax documents 稅務文件 ☐ Corporate reports, proxies, and reorganization notices 公司報告、代表委任表格及重組通知

You must provide us with your e-mail address in Section 2 to receive electronic account account documents. 要收取電子帳戶文件，您必須在第2部份提供您的電郵地址。

You may change your delivery preferences at any time. With respect to documents you select to receive electronically, you agree to all the terms of Section 13 of the E*TRADE Securities Customer Agreement at *etrade.com/custagree.*
您可隨時更改收件形式。就您選擇以電子方式收取的文件而言，您同意E*TRADE證券客戶協議書(載於網頁：*etrade.com/custagree*)第13部份的所有條款。

Add Margin Borrowing and Overdraft Protection 加入保證金借款和透支保障
A margin account gives you the flexbility to borrow from E*TRADE Securities using the assets in your account as collateral. Proceeds may be used to purchase additional securities, as overdraft protection, or for any other purpose. This feature is provided automatically unless declined below.
保證金帳戶令您週轉靈活，您可以帳戶中的資產作為抵押向E*TRADE Securities借款，用於進一步購買證券(作為透支保障)或任何其他目的。除非您在下文另行選擇，否則會自動提供此項安排。

☐ Do not add margin features to my account. 不要在我的帳戶加入保證金功能。
Margin transactions involve additional risks, including the risk that you could lose more money than you deposit in your account. For more information, including current margininterest rates and the NASD Margin Disclosure Statement, visit *etrade.com/margin.*
保證金交易涉及額外風險，當中包括您有可能損失超過您的帳戶所存款項。如想獲得更多資料，包括現時的保證金利率和NASD (美國全國證券交易商協會) 保證金披露聲明，請參閱*etrade.com/margin*。
See Section 10 of the E*TRADE Securities Customer Agreement at *etrade.com/custagree* for more information about your responsibilities.
想對您的責任了解多些，請參閱E*TRADE證券客戶協議書第10部份(載於網頁：*etrade.com/custagree*)。

5. Fund Your Account 存款入您的帳戶

Tell us how you'll provide your initial deposit. A US$1,000 minimum is required for cash accounts (US$2,000 for margin accounts).
請說明您將如何提供您的首次存款。現金帳戶至少需要1,000美元。 (保證金帳戶需2,000美元)。

Check one or more.
請在以下一個或多個方格內加上"✓"號。

☐ I have enclosed a check to be settled by any bank in Hong Kong for US$/HK$ _______________ made payable to ETRADE Securities (Hong Kong) Limited.
我已附上一張收款人為 ETRADE Securities (Hong Kong) Limited，並由香港銀行結算的______________ 美元/港元支票。

☐ I have enclosed a check to be settled by any bank in US for US$ _______________ made payable to ETRADE Securities LLC.
我已附上一張收款人為 ETRADE Securities LLC，由美國當地銀行結算的______________ 美元支票。

☐ I choose electronic transfer to the related account. (Please call (852) 3191-3311 for Hong Kong or our toll free number at 10-800-852-0968 for Northern China, 10-800-152-0968 for Southern China and 00-801-855-954 for Taiwan.)
我選擇電匯至有關帳戶。「詳情請致電 (852) 3191-3311 (香港) 或我們的免費長途電話號碼10-800-852-0968 (中國北方)、10-800-152-0968 (中國南方) 和 00-801-855-954 (台灣)。」

☐ I have enclosed a completed Account Transfer Form.
我已附上填妥的證券轉戶申請書。

6. Sign and Date Your Application 請簽署您的申請書並註明日期

I am of legal age to enter into this contract. I acknowledge that I have received, read, and agree to be bound by the terms and conditions as currently set forth in the E*TRADE Securities Customer Agreement and as amended from time to time. The E*TRADE Securities Customer Agreement is available online at *etrade.com* (select Hong Kong) or or by calling (852) 3191-3311 for Hong Kong or our toll free number at 10-800-852-0968 for Northern China, 10-800-152-0968 for Southern China and 00-801-855-954 for Taiwan. **I ACKNOWLEDGE THAT E*TRADE SECURITIES DOES NOT PROVIDE INVESTMENT, TAX, OR LEGAL ADVICE.** I understand that you will supply my name to issuers of any securities held in my account so that I might receive any important information regarding them, unless I notify you in writing not to do so.
本人已達到訂立此合約的法定年齡。本人確認本人已經收到、閱讀E*TRADE證券客戶協議書目前所列載及可不時修訂的條款及條件，並同意受這些條款及條件約束。關於E*TRADE證券客戶協議書的內容，請瀏覽我們的網址*etrade.com* (選擇"香港") 或致電 (852) 3191-3311 (香港) 或我們的免費長途電話號碼10-800-852-0968 (中國北方)、10-800-152-0968 (中國南方) 和00-801-855-954 (台灣)。**本人確認E*TRADE SECURITIES並無提供有關投資、稅務或法律的意見**。本人明白，除非本人向貴公司提出書面反對，否則貴公司將把本人的姓名提供給本人帳戶所持任何證券的發行人，以使本人能收到任何關於這些發行人的重要資料。

Under penalty of perjury, I certify (1) that my Social Security or taxpayer ID number shown on this form is my correct number, (2) that I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report interest or dividends, or (c) I have been notified by the IRS that I am no longer subject to backup withholding [cross out item 2 if you have been notified by the IRS that you are currently subject to backup withholding because you failed to report all interest and dividends on your tax returns], and (3) I am a U.S. person (including a U.S. resident alien). **The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**
在偽證有罪的情況下，本人證明(1)本表格所示本人的社會安全號碼或納稅人識別號碼正確無誤；(2)本人毋須繳納備用預扣稅，因為(a)本人獲豁免繳交備用預扣稅，或(b)本人並無因未申報利息或股息收入而接獲稅務局通知須繳納備用預扣稅，或(c)本人已接獲稅務局通知本人毋須再繳納備用預扣稅〔如果您已因未在報稅表中申報全部利息或股息收入而接獲稅務局通知須繳納備用預扣稅，請刪去第2項。〕；及(3)本人是美國人 (包括屬美國居民的外籍人士)。**除免繳備用預扣稅所需證明外，稅務局並無要求您同意本文件內任何條文。**

☐ I am not a U.S. person and have attached Form W-8BEN to this application. I have also included a copy of my passport or government-issued ID.
本人不是美國人，並已隨本申請書附上W-8BEN格，以及本人的護照或政府簽發的身份證副本。

I UNDERSTAND THAT THIS ACCOUNT IS GOVERNED BY A PREDISPUTE ARBITRATION CLAUSE. I ACKNOWLEDGE THAT I HAVE RECEIVED AND READ A COPY OF THE E*TRADE SECURITIES CUSTOMER AGREEMENT WHICH CONTAINS A PREDISPUTE ARBITRATION AGREEMENT AT SECTION 8.
本人明白，此帳戶受E*TRADE證券客戶協議書第8部份的爭議前仲裁條款的規管。本人確認已經收到並閱讀E*TRADE證券客戶協議書，當中包括第8部份的爭議前仲裁協議書。

X	X
Signature of Primary Account Holder 主要帳戶持有人簽名 Date日期	Signature of Co-Account Holder 聯名帳戶持有人簽名 Date日期
Printed Name (first, middle initial, last) 請用正楷填寫姓名 (名、中間名、姓)	Printed Name (first, middle initial, last) 請用正楷填寫姓名 (名、中間名、姓)

System response and account access times may vary due to a variety of factors, including trading volumes, market conditions, and system performance.
系統反應和帳戶登入時間可能由於多種因素而有所不同，包括成交量、市場情況和系統表現。

E*TRADE FINANCIAL 億創理財

W-8BEN 表格 —（為美國預扣稅目的）證券實益擁有人的外籍身份證明書
Form W-8BEN – Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

使用 W-8BEN 表格：妥善填寫的 W-8BEN 表格可使作為外籍人的閣下：
USE OF FORM W-8BEN: An appropriately completed Form W-8BEN enables you as a foreign person to:

1. 就美國稅務確定外籍納稅人身份；
establish your foreign taxpayer status for U.S. tax purposes,
2. 享有閣下戶口收入的實益擁有權；
claim beneficial ownership of income in your account,
3. 根據「投資組合利息豁免」規則請求豁免源於美國的大部份應課稅利息收入的預扣稅；
claim exemption from withholding on most taxable U.S. source interest payments under the "portfolio interest exemption" rules,
4. 若閣下是與美國簽有（避免雙重）所得稅條約的國家之居民，請求減免源於美國的應課稅股息的預扣稅；
claim a reduced rate or exemption from withholding on taxable U.S. source dividends of you are a resident of a foreign country with which the U.S. has an income tax treaty, and
5. 請求就以下收入豁免呈遞國內「1099表格」及繳納備用預扣稅：出售閣下投資所得的經紀（戶口）收益、短期（183天或以下）原發票據折息(OID)，例如美國國庫券、銀行或存款證(CD)利息，以及外國來源利息、股息或其他外國收入。
claim exemption from the domestic Form 1099 and backup withholding on such income as: broker proceeds from sales of your investments, short-term (183 days or less) original issue discount (OID) such as U.S. Treasury bills, banks or certificate of deposit (CD) interest, and foreign source interest, dividends, or other foreign income.

不及時呈交 W-8BEN 表格的后果：根據美國稅務法律，閣下將被視為未經核證的美國納稅人，而須就支付到閣下戶口的交易收益、應課稅股息、利息以及其他應課稅收入繳納30%的備用預扣稅。若我們未收到閣下按照美國國內稅務局的規定呈交的「W-8BEN 表格」，閣下的戶口須就支付到該戶口的所有交易收益、股息和利息繳納30%的備用預扣稅。該預扣稅一般不可退還。若要退稅，閣下須自行負責與美國國內稅務局交涉。

WHAT HAPPENS WITHOUT A TIMELY SUBMITTED FORM W-8BEN: Under U.S. tax laws, you will be deemed an uncertified U.S. taxpayer, who is subject to 30% backup withholding on your trade proceeds, taxable dividends and interest, and other taxable payments made to your account. If we do not receive your Form W-8BEN in accordance with IRS regulations, your account will be subject to 30% backup withholding on all trades, dividends, and interest payments made to your account. This withholding is not reversible and it will be your responsibility to work with the United States Internal Revenue Service for a refund.

填寫及交回 W-8BEN 表格：我們需要經閣下簽署的W-8BEN表格之正本，不能採用傳真發送。請填妥閣下的W-8BEN表格後交回下列地址：
COMPLETE AND RETURN YOUR W-8BEN FORM: We need your original executed Form W-8BEN and not a facsimile. Complete and return your W-8BEN Form to the following address:

ETRADE SECURITIES (HK) LTD
香港金鐘道88號太古廣場2期24樓2401-12室
Suite 2401-12, Two Pacific Place, 88 Queensway, Admiralty, Hong Kong

某些戶口須使用另一種表格：「W-8BEN表格」僅供其本身是實際戶口擁有人且其戶口未實際產生與美國交易或業務有關之收益的非美國納稅人填寫。若閣下是美國公民或居民，或者作為代理人、中間人或以代理或監護人的身份行事，或者閣下是非美國合伙商行或中介信托基金，**請勿呈交「W-8BEN表格」**。

SOME ACCOUNTS ARE REQUIRED TO USE ANOTHER FORM: Forms W-8BEN are to be completed only by non-U.S. taxpayers who are actual account owners and whose accounts do not produce income effectively connected with a U.S. trade or business. If you are a U.S. citizen or resident, or acting as a nominee, intermediary, or in an agency or custodial capacity, or if you are a non-U.S. partnership or pass-through trust, DO NOT SUBMIT FORM W-8BEN.

註釋：欲知有關詳細資料，請到 www.irs.gov 網址查閱美國國內稅務局的「W8 系列表格」說明。
Note: Please refer to IRS Instructions for the series of Forms W-8 at http://www.irs.gov/for further details.

「W-8BEN 表格」填寫說明
INSTRUCTIONS TO COMPLETE YOUR W-8BEN

第一部份 Part I

第 1 行 填入閣下姓名。有關「實益擁有權」的詳細資料，請到 www.irs.gov 網址查閱美國國內稅務局的「W-8BEN表格說明」。「實益擁有人」是涉稅收入的擁有人，且實益擁有該收入。作為代理人、監護人或代理而代他人收取收入的人士不是實益擁有人。一般而言，若一位人士須按美國稅法原則將其所得款額計入報稅表上的總收入中，該人士會被視為收入的擁有人。
Line 1. Enter your name. Please refer to IRS Instructions for Form W-8BEN at www.irs.gov for more information on "beneficial ownership". The "beneficial owner" is the person who is the owner of the income for tax purposes and who beneficially owns the income. A person receiving income as a nominee, custodian, or agent for another is not the beneficial owner. Generally, a person is treated as the owner of the income to the extent he or she is required under U.S. tax principles to include the amount paid in gross income on a tax return.

第 2 行 填入N/A（即「不適用」）。
Line 2. Enter N/A (for "not applicable").

第 3 行 在標有「個人」(individual)字樣的方框上加上✓。
Line 3. Check box titled "individual".

第 4 行 填入閣下的永久住址。在填寫所處國家或城市時，請填上該地方的全名，而切勿使用簡稱。例如，「HONG KONG」，而非「HK」。**註釋：**閣下的「永久住址」是閣下聲稱為該國稅務居民之國家中的地址。若閣下正根據所得稅條約呈遞「W-8BEN表格」，請求減繳預扣稅，閣下必須以該條約規定的方式確定閣下的住址。請勿填入金融機構的地址、郵箱號碼或僅供郵寄使用的地址。若閣下是在任何國家均無稅務住址的個人，閣下的永久住址應為閣下通常居住的地址。有關永久稅務住址的詳細資料，請到 www.irs.gov 網址查閱國國內稅務局的「W-8BEN表格說明」。
Line 4. Enter your permanent residence address. Please SPELL OUT all contents. Do not use abbreviation including cities and/or countries, e.g. "HONG KONG" instead of "HK". **Note:** Your "permanent residence address" is the address in the country where you claim to be a resident for purposes of that country's income tax. If you are giving Form W-8BEN to claim a reduced rate of withholding under an income tax treaty, you must determine your residency in the manner required by the treaty. Do not show the address of a financial institution, a post office box, or an address used solely for mailing purposes. If you are an individual who does not have a tax residence in any country, your permanent residence is where you normally reside. Please refer to IRS Instructions for Form W-8BEN at www.irs.gov for more information on permanent tax residency.

第 5 行 填入閣下的郵寄地址（如與第4行的地址不同）。
Line 5. Enter your mailing address if different from line 4.

第 6 行 填入（如有）。
Line 6. Provide, if any.

第 7 行 可選填。
Line 7. Optional.

第 8 行 請列出所有戶口號碼。
Line 8. Please list all account numbers.

第二部份 Part II

第 9a 行 如果閣下按照美國與閣下是其居民的國家之間的稅務條約有權獲益，請在 (a) 方框上加上 ✓。填入閣下為所得稅條約目的而聲稱為其居民之國家。**註釋：**有關實益擁有權及為條約目的之稅務住址的詳細資料，請到 www.irs.gov 網址查閱美國國內稅務局的「W-8BEN表格說明」。
Line 9a. Check box (a) if you are entitled to benefits under a tax treaty between the U.S. and the country in which you are a resident. Enter the country where you claim to be a resident for income tax treaty purposes. **Note:** Please refer to IRS Instructions for Form W-8BEN at www.irs.gov for more information on beneficial ownership and tax residency for treaty purposes.

第三部份 Part III

第 11 行 此行不適用於閣下的戶口，因此毋須填寫。
Line 11. This does not apply to your account so leave this blank.

第四部份 Part VI

簽署表格並填入日期。Sign and date form.

Form **W-8BEN**

(Rev. February 2006)

Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

► Section references are to the Internal Revenue Code. ► See separate instructions.

► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do not use this form for: — Instead, use Form:

- A U.S. citizen or other U.S. person, including a resident alien individual W-9
- A person claiming that income is effectively connected with the conduct of a trade or business in the United States W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) . . . . . W-8ECI or W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions) . . . . . W-8ECI or W-8EXP

Note: These entitles should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.

- A person acting as an intermediary W-8IMY

Note: See instructions for additional exceptions.

Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner

2 Country of incorporation or organization

3 Type of beneficial owner: ☐ Individual ☐ Corporation ☐ Disregarded entity ☐ Partnership ☐ Simple trust ☐ Grantor trust ☐ Complex trust ☐ Estate ☐ Government ☐ International organization ☐ Central bank of issue ☐ Tax-exempt organization ☐ Private foundation

4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.

City or town, state or province. Include postal code where appropriate.

Country (do not abbreviate)

5 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country (do not abbreviate)

6 U.S. taxpayer identification number, if required (see instructions) ☐ SSN or ITIN ☐ EIN

7 Foreign tax identifying number, if any (optional)

8 Reference number(s) (see instructions)

Part II Claim of Tax Treaty Benefits (if applicable)

9 I certify that (check all that apply):

a ☐ The beneficial owner is a resident of .... within the meaning of the income tax treaty between the United States and that country.

b ☐ If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).

c ☐ The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).

d ☐ The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).

e ☐ The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, $500,000.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article .... of the treaty identified on line 9a above to claim a .... % rate of withholding on (specify type of income): ....

Explain the reasons the beneficial owner meets the terms of the treaty article: ....

....

Part III Notional Principal Contracts

11 ☐ I have provided or will provide a statement that identifies those notional principal contracts from which the income is not effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

Part IV Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

1. I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates,
2. The beneficial owner is not a U.S. person,
3. The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and
4. For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

Sign Here ►

Signature of beneficial owner (or individual authorized to sign for beneficial owner) — Date (MM-DD-YYYY) — Capacity in which acting

OPTIONS TRADING APPLICATION 期權買賣申請書

E*TRADE FINANCIAL 億創理財

E*TRADE Securities LLC
P.O. Box 1542
Merrifield, VA 22116-1542

This application is optional. Complete this form if you would like to apply to add options trading capability to your account. 您可選擇是否填寫此申請書。如您想在帳戶內申請加入期權買賣功能，請填妥本表。
Visit *etrade.com/options* to learn more about the risks and rewards of options trading.如想知道更多有關期權買賣風險和回報的資料，請參閱*etrade.com/options*。

Options Activity (select only one) **期權活動**（只可選擇其一）

If no box is selected, you will be considered for the options trading level that we, at our discretion, deem suitable for you based on the other information you have provided.
若您沒有在方格作出選擇，您將被視為選擇由我們根據您已提供的其他資料酌情決定認為適合您的期權交易級別。

☐ Level One: Write Covered Calls 第一級: 沽出備兑認購期權
☐ Level Two: Level One + Purchases/Covered Puts 第二級：第一級 + 購買/備兑認沽期權
☐ Level Three: Level Two + Spreads/Uncovered Equity Puts 第三級：第二級 + 跨期式期權/無備兑股票認沽期權
☐ Level Four: Level Three + Uncovered Equity/Index Calls and Uncovered Index Puts 第四級：第三級 + 無備兑股票/指數認購期權及無備兑指數認沽期權

Primary Account Holder 主要帳戶持有人

Options Investment Knowledge 期權投資知識

☐ None 無 ☐ Limited 有限 ☐ Good 良好 ☐ Excellent 豐富

Options Trading Experience 期權買賣經驗

☐ None 無 ☐ Covered calls 備兑認購期權 ☐ Covered puts 備兑認沽期權 ☐ Purchases 購買期權
☐ Spreads 跨期式期權 ☐ Uncovered calls 無備兑認購期權 ☐ Uncovered puts 無備兑認沽期權

Any section left blank will be assumed to be zero or none. 任何部分如留空，將被假設為零或無。

Years of Experience 經驗

Stocks 股票: ____ yrs. 年 Bonds債券: ____ yrs. 年 Options 期權: ____ yrs. 年

Total Transactions per Year 每年交易次數合計

Stocks 股票	☐ 0-9	☐ 10-14	☐ 15-24	☐ 25-74	☐ 75+
Bonds 債券	☐ 0-9	☐ 10-14	☐ 15-24	☐ 25-74	☐ 75+
Options 期權	☐ 0-9	☐ 10-14	☐ 15-24	☐ 25-74	☐ 75+

Average Transaction Size (in US$) **平均交易金額**（以美元計算）

☐ $0-$9,999 ☐ $10,000-$24,999 ☐ $25,000+

Co-Account Holder, If Applicable 聯名帳戶持有人 (如適用)

Options Investment Knowledge 期權投資知識

☐ None 無 ☐ Limited 有限 ☐ Good 良好 ☐ Excellent 豐富

Options Trading Experience 期權買賣經驗

☐ None 無 ☐ Covered calls 備兑認購期權 ☐ Covered puts 備兑認沽期權 ☐ Purchases 購買期權
☐ Spreads 跨期式期權 ☐ Uncovered calls 無備兑認購期權 ☐ Uncovered puts 無備兑認沽期權

Any section left blank will be assumed to be zero or none. 任何部分如留空，將被假設為零或無。

Years of Experience 經驗

Stocks 股票: ____ yrs. 年 Bonds債券: ____ yrs. 年 Options 期權: ____ yrs. 年

Total Transactions per Year 每年交易次數合計

Stocks 股票	☐ 0-9	☐ 10-14	☐ 15-24	☐ 25-74	☐ 75+
Bonds 債券	☐ 0-9	☐ 10-14	☐ 15-24	☐ 25-74	☐ 75+
Options 期權	☐ 0-9	☐ 10-14	☐ 15-24	☐ 25-74	☐ 75+

Average Transaction Size (in US$) **平均交易金額**（以美元計算）

☐ $0-$9,999 ☐ $10,000-$24,999 ☐ $25,000+

Read and sign below to apply to trade options. 申請買賣期權，請閱讀下文並簽名。

Important: You must also sign in Section 6 of the Brokerage Application before we can open your account. You cannot use this application to upgrade an existing account. If you would like to add options trading capability to an existing account, please use the Margin/Option Account Upgrade Form, which can be found online at *etrade.com/forms*.
重要事項：您亦須在經紀帳戶申請書第6部份簽名後才可開設帳戶。您不能使用本申請書為任何現有帳戶升級。如果您想在現有帳戶加入期權買賣功能，請使用保證金/期權升級表格 (載於網頁：*etrade.com/forms*)。

I agree not to enter into any options transactions until I have received, read, and understood the disclosure document entitled Characteristics and Risks of Standardized Options, which can be found at *etrade.com/optionsagree*. I am aware of the special risks and obligations of options trading. I have read, understood, and agree to be bound by the options trading terms and conditions outlined in section 10 of the E*TRADE Securities Customer Agreement, which can be found at *etrade.com/custagree*. I also agree that I am bound by it as it is currently in effect and as it is amended from time to time.
本人同意在收到、閱讀及明白一般期權的特性和風險 (Characteristics and Risks of Standardized Options) 一節的披露文件 (載於網頁：*etrade.com/optionsagree*) 之前，不會進行任何期權交易。本人知道期權買賣的特有風險和責任。本人已經閱讀、明白E*TRADE證券客戶協議書第10部分 (載於網頁：*etrade.com/custagree*) 所概列的期權買賣條款及條件並同意受其約束，且同意本人受目前有效及可不時修訂的此等條款及條件所約束。

X
Signature of Primary Account Holder 主要帳戶持有人簽名 Date日期

X
Signature of Co-Account Holder 聯名帳戶持有人簽名 Date日期

For E*TRADE Securities Use Only: 僅供E*TRADE Securities填寫：

I have reviewed this application and believe the account is suitable for: ☐ Margin 保證金 ☐ Cash 現金 Approved 批准 ____ Date 日期 ____
本人已審閱本申請書，認為宜就此開設下列帳戶：

☐ Options Level One 第一級期權買賣 ☐ Options Level Two 第二級期權買賣 ☐ Options Level Three 第三級期權買賣 ☐ Options Level Four 第四級期權買賣 Approved 批准 ____ Date 日期 ____

System response and account access times may vary due to a variety of factors, including trading volumes, market conditions, and system performance.
系統反應和帳戶登入時間可能由於多種因素而有所不同，包括成交量、市場情況和系統表現。

Referred by ETRADE Securities (HK) Ltd.