



华泰金融美国公司

HUATAI FINANCIAL USA INC

Account Opening System Tutorial – Web version

华泰金融美国公司开户系统培训

Huatai Financial USA Inc | 201805

TRADING FUTURES AND OPTIONS INVOLVES SIGNIFICANT DEGREE OF RISK AND IS NOT SUITABLE FOR ALL INVESTORS. Only investors who can assume the risk of loss in excess of their margin deposits should carefully consider whether such trading is appropriate for you, taking into account your investment experience, financial resources, trading objectives, the uncertainty of the markets and other relevant circumstances. Past performance is not indicative of future results.

期货期权交易风险较高，不适合所有投资者。能够承担超过保证金损失风险的投资者，应仔细考虑期货期权交易是否适合您，同时应考虑到您的投资经验、资金情况、交易目标、市场的不确定性以及其他相关情况。过去的投资表现并不预示未来的结果。



关于华泰金融美国公司 ABOUT HUATAI FINANCIAL USA INC.

Founded in 2015 and based in Chicago, Huatai Financial USA Inc. (Huatai USA) is registered as a Futures Commission Merchant (FCM) with the Commodity Futures Trading Commission (CFTC) and a member of the National Futures Association (NFA). As a member of Huatai group, Huatai USA is approved by the Chinese Securities Regulatory Commission (CSRC). Huatai USA emphasizes on introducing qualified Chinese investors to international market and introducing international investors to Chinese market.

华泰金融美国公司(华泰美国)成立于2015年，总部位于美国芝加哥，是美国商品期货交易委员会（CFTC）的注册期货经纪商（FCM）和美国期货协会（NFA）的会员。作为华泰集团的一员，华泰美国获得了中国证券监督管理委员会（CSRC）的批准。华泰美国致力于将中国合格投资者引入国际市场，并协助国际投资者进入中国市场。



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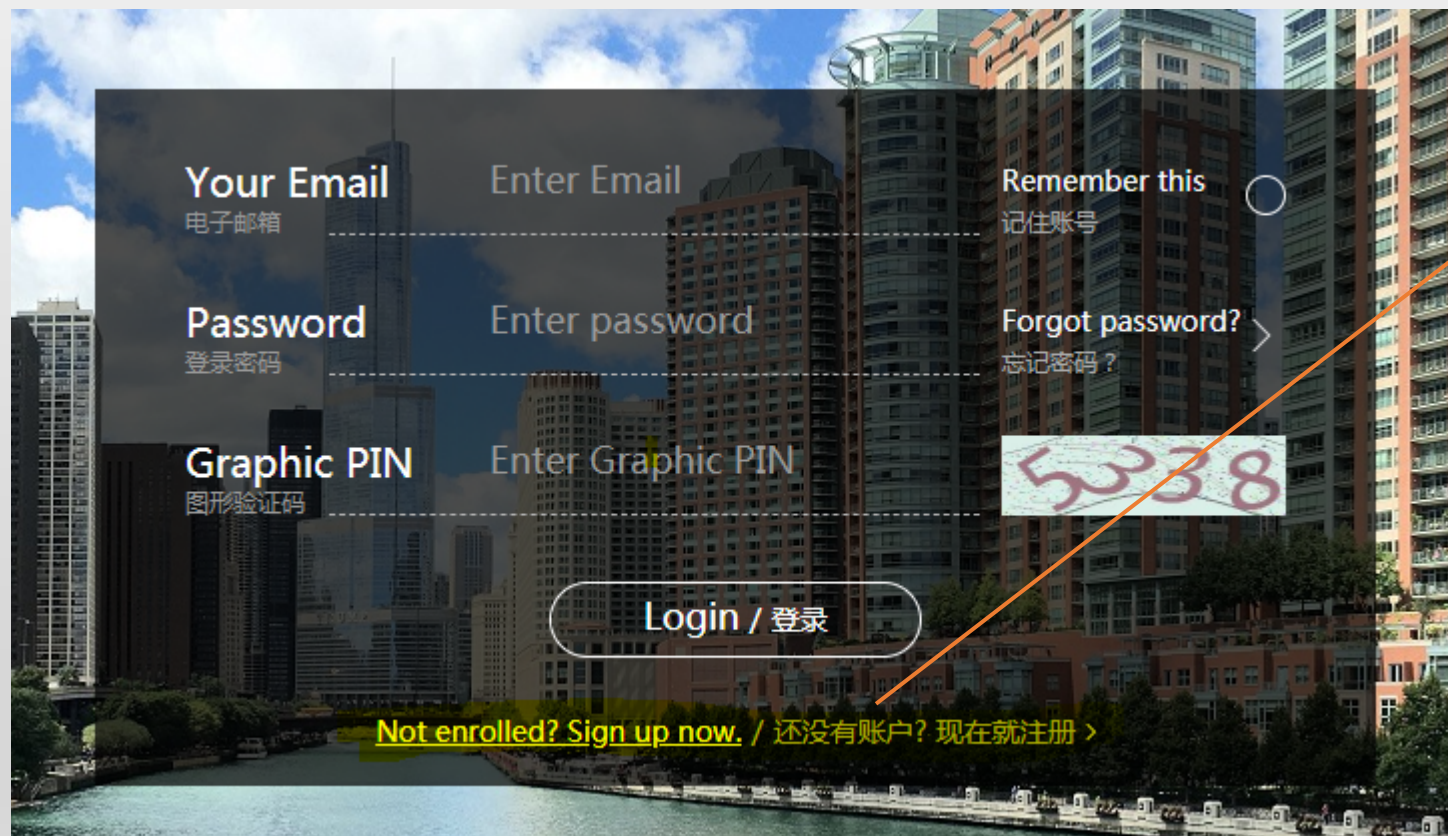
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ACCOUNT REGISTRATION 注册账户

Account Opening Website

网上开户网址: <https://openaccount.huataiusa.com/soa/views/login.html?r=0.1280116673760603>



This is the login page. First, you need to register an account.

左图为登录页面。开户前需先用电子邮箱在该开户网站注册一个账户，以供后续的开户信息填写。

ACCOUNT REGISTRATION 注册账户



华泰金融美国公司
HUATAI FINANCIAL USA INC



Sam@Gmail.com >
个人中心

CONTACT US
帮助中心

Account Registration

注册账户

Your Email 电子邮箱	chendawen1111@gmail.com	Get PIN
Verification PIN 邮箱验证码	Enter Verification PIN	
New Password 登录密码	Enter New Password	
Confirm 再次输入	Enter Confirm Password	

< Cancel / 取消

Submit / 提交

Fill in 'Your Email' to get the **PIN**; then set your password to finish the account registration. Once finished this step, you can return to the login page to login.

填入电子邮箱，点击“Get PIN”获取验证码；填入验证码与设定密码，点击“Submit提交”完成注册。完成后，请返回登陆页面，使用您的邮箱及密码进行登录操作。

*Due to area restriction, for now it is not available to get the PIN number through cell phone.

受地域限制的缘故，目前暂时无法提供通过手机获取验证码的方式，对此带来的不便我们深表歉意。

Step 1 Choose the Referrer 第一步 选择引荐机构



After login, you will be led to Step 1 – Referrer Selection. It is defaulted as Huatai USA.

第一步是选择引荐机构，系统默认为“华泰金融美国”。

Step 1. REFERRER SELECTION / 选择营业部 Step 2. ACCOUNT TYPE / 选择申请账户类型 Step 3. FILL IN INFORMATION / 信息填写

Referrer Selection

选择引荐机构

CURRENT REFERRER
当前引荐机构

Huatai Financial USA Inc.
华泰金融美国

Huatai Financial USA Inc. / 华泰金融美国

[Continue / 继续](#)



Step 2 Choose the Account Type 第二步 选择账户类型

Additional Application Documents:

List the documents needed for the application. Please note that if you choose a different account type, the list will change. Please prepare the needed documents based on the actual account type.

其他补充文件：

提示您在开户过程中所需要的文件。请注意，当您选择不同的账户类型时，补充文件会有变化，因此请您务必根据您的账户类型准备相应的补充文件。

华泰金融美国公司
HUATAI FINANCIAL USA INC

Sam@Gmail.com > 个人中心
CONTACT US 帮助中心

Step 1. REFERRER SELECTION / 选择营业部 Step 2. ACCOUNT TYPE / 选择申请账户类型 Step 3. FILL IN INFORMATION / 信息填写

Account Type

请选择申请账户类型

PRODUCT TYPE
产品类型 期货/Futures

Individual Brokerage / 个人

Joint Tenants with Rights of Survivorship / 联名

Sole proprietorship company / 独资公司

Company / 公司

Partnership / 合伙制

Limited Company / 有限责任公司

APPLICATION DOCUMENTS
其他补充文件

- Identification (Government issued, copy of front and back)
身份证明 (政府签发, 正反面副本, 所有申请者)
- Proof of Address (For example a bank statement, cell phone or utility bill)
地址证明 (例如银行结单, 手机或水电费账单, 所有申请者)
- Bank Account Monthly Statement (Account owner is the same as applicant)
银行结单证明 (户主姓名必须与申请者一致, 账户信息与表格填写内容一致)
- Chinese applicant: Credit Report (Optional but assist evaluation process; can be generated from People's Bank of China)
中国申请者: 信用证明 (可选项, 但可协助评估申请。可在中国人民银行信用中心申请)
- Recent Client Statement if trading through Huatai Futures or Huatai (Hong Kong) Futures (Optional but help expedite evaluation process)
如果是华泰期货或者华泰香港期货的客户, 请提供最近账户结单 (可选项, 但可协助评估申请)

← Previous / 上一步 Submit / 提交

Step 3 Fill in the Information 第三步 填写信息

I.	Individual 个人	P9
II.	Joint 联名	P19
III.	Sole Proprietorship 独资公司	P24
IV.	Corporate 公司	P26
V.	Partnership 合伙制	P36
VI.	Limited Liability Company 有限责任公司	P39

This step would be slightly different when choosing different account types. For your convenience, we will present the following contents based on different account types. Since Individual and Corporate account types are the most typical ones, they will be discussed in great details.

对于不同类型的账户，此步骤的填写内容及要求会有一些小区别。为了您的方便，接下来将按照不同账户类型为您介绍此步骤的填写流程。其中，个人 / 公司类型最具代表性，会进行详细介绍，其它账户类型请参考此二类。



INDIVIDUAL 个人账户



Step 3 Fill in the Information 第三步 填写信息

*Application Documents for Individual Account
个人账户补充文件

- Identification (Government issued, copy of front and back)
身份证明 (政府签发, 正反面副本, 所有申请者)
- Proof of Address (For example a bank statement, cell phone or utility bill)
地址证明 (例如银行结单, 手机或水电费账单, 所有申请者)
- Bank Account Monthly Statement (Account owner is the same as applicant)
银行结单证明 (户主姓名必须与申请者一致, 账户信息与表格填写内容一致)
- Chinese applicant: Credit Report (Optional but assist evaluation process; can be generated from People's Bank of China)
中国申请者: 信用证明 (可选项, 但可协助评估申请。可在中国人民银行信用中心申请)
- Recent Client Statement if trading through Huatai Futures or Huatai (Hong Kong) Futures (Optional but help expedite evaluation process)
如果是华泰期货或者华泰香港期货的客户, 请提供最近账户结单 (可选项, 但可协助评估申请)

*Huatai USA suggests you to use English or PINYIN to fill out the information, in order to facilitate the approval process. If you use Chinese, it might take extra processing time.

为了加快审核过程, 华泰美国建议您在填写信息时使用英文或拼音。如果您使用中文, 我们可能需要更长的审核时间。

*You may be asked to sign additional docto download the documents, and then sign and submit the English version documents in the system. Please notice that for the signing, you can use either Chinese characters or PINYIN.uments according to the provided information. If so, you need

在申请过程中, 可能会需要您填写附加的声明, 请根据要求下载空白声明, 签署完成后再上传到本系统。所有附加声明请签署并上传英文版本, 中文版本只作为填写时的参考。签名本身可以是中文或者汉语拼音。

Personal Information

请填写个人资料

APPLICANT
申请人

- + APPLICANT INFORMATION
申请人信息
- + INVESTMENT EXPERIENCE
投资经验
- + ACCOUNT USAGE
账户用途
- + FINANCIAL INFORMATION
财务信息
- + BANK INFORMATION
银行信息
- + TAX INFORMATION
税务信息

01
02
03
04
05
06

< Previous / 上一步 Continue / 继续



Individual – Applicant Information
个人 – 申请人信息

Personal Information

请填写个人资料

APPLICANT
申请人

APPLICANT INFORMATION
申请人信息

Last Name 姓氏	First Name 名字	MI (if applicable) 中间名(如适用)
陈 Chen	大文 Dawen	Please enter
Date of Birth 出生日期	Nationality 国籍	Social Security Number (if applicable) 美国社保号(如适用)
07/01/1980	中国 China	Please enter
Type of ID provided 身份证件类型	ID Number 证件号码	Tax ID(if applicable) 美国纳税号(如适用)
身份证 - Government ID	440****19800701****	Please enter
Marital Status 婚姻状况	Number of Dependents 供养人数	
<input checked="" type="checkbox"/> Single / 单身 <input type="checkbox"/> Married / 已婚	2	

Residential Address (no P.O. Boxes)
住宅地址 (请勿填写邮政信箱)

Country / 国家 China/中国 City / 城市 广州 Guangzhou State / 省/州 Guangdong/广东
Street / 街道 广州市越秀区东风东路761号丽丰中心
No.761 East Dongfeng Road, Lifung Center, Yuexiu District
ZipCode / 邮编 510030

Mailing Address is same as Residential Address
邮寄地址与住宅地址相同

Country / 国家 Please enter City / 城市 Please enter State / 省/州 Please enter
Street / 街道 Please enter ZipCode / 邮编 Please enter

Preferred Phone(with country and area code)
首选电话(含国号区号)

+86 1391111****

Alternate Phone (optional)
备用电话(选填)

+86 20-8333****

Preferred Email
首选电子邮箱

chendawen111@***.com

Alternate Email (optional)
备用电子邮箱(选填)

Please enter

*Put number of close relatives for Number of Dependents.

“供养人数”一栏填上您需要在财务上进行支持的个人的数量。

*If you choose the “the mailing address is same as Residential Address”, there is no need to the provide a new address.

若邮寄地址与住宅地址一致，您可以选择“邮寄地址与住宅地址相同”，从而免于书写新的邮寄地址。

*We suggest that you use your mobile number as the “Preferred Phone”.

首选电话，建议使用常用电话，便于我司就紧急事务能及时联系，因此推荐您填写手机号码。

*Huatai USA suggests you to use English or PINYIN to fill out the information, in order to facilitate the approval process. If you use Chinese, it might take extra processing time.

为了加快审核过程，华泰美国建议您在填写信息时使用英文或拼音（如图中红字所示）。如果您使用中文，我们可能需要更长的审核时间。



Individual – Applicant Information

个人 – 申请人信息

Retired (if applicable, please indicate prior occupation) 已退休 (若适用, 请填写退休前岗位)

! If retired, Need to fill out [Additional risk statement](#) 若已退休, 需要填写 [附加风险声明](#)

Position 职位	Nature of Business 业务性质	Employer Name 雇主名称
Client Service Representative	Banking/Finance - 银行/金融	***Company
Country / 国家	City / 城市	State / 省/州
China/中国	广州市	Guangdong/广东
Street / 街道	ZipCode / 邮编	
No.100 ***Road, ***District, Suite***	510510	

*If you are retired, you are required to fill out <Additional Risk Statement>, please note that the English version would prevail and you are required to sign the English version. Same logic applies to other additional documents you might encounter.

若您已退休则需要额外填写《附加风险声明》。请注意声明以英文版为准，中文版只作为填写过程中的参考，你需要签署的版本为英文版。接下来您可能遇到其他的附加文件，同理，请您签署的是英文版。

HUATAI FINANCIAL USA INC 200 West Monroe Suite 1675, Chicago, IL 60606
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ADDITIONAL RISK DISCLOSURE STATEMENT

As a result of the following information on your Account Application, Huatai Financial USA Inc. ("Huatai USA") is providing you with their additional risk disclosure. (Please check all applicable boxes)

Your annual income is less than \$25,000.

Your liquid net worth is less than \$25,000.

You are retired.

You do not have at least six (6) months of futures investment experience.

You are under the age of 21 or over the age of 65.

While Huatai USA is prepared to open your account, it is required to advise you to consider the risks involved with trading commodity futures and options. The risk of loss in trading commodity futures and options can be substantial, in many cases in excess of the funds deposited, and may be inappropriate for you. Please consider whether such trading is proper in light of your financial condition. Only **Risk Capital** (money that you are able to lose without adversely affecting your standard of living) should be invested. Huatai USA recommends that you review the Risk Disclosure Statement and/or discuss any concerns with your broker before finalizing your decision.

ACKNOWLEDGEMENT
I have read the Risk Disclosure Statements and I have considered the financial risks involved in commodity trading with regard to my experience, age and financial position, and I wish to proceed with opening an account.

Individual, Joint and Sole Proprietor Account

Print Customer Name	Print Joint Customer Name (If applicable)
Customer Signature	Joint Customer Signature (If applicable)
Date	Date

Ver1.2018 Account Application Forms

Click to get EN version
点击英文获取英文版声明

Click to get CH version
点击中文获取中文版声明

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附加风险披露声明

由美国公司 ("华泰美国") 在您开立商品期货和期权交易账户前向您提

您考虑交易商品期货及期权时会涉及到的风险。交易商品期货和期权会超过您所存的资金，所以该交易可能不适合您。请谨慎考虑该类交易在保证不对您的生活标准产生不利影响的情况下可承受损失的金额) 决定前阅读风险披露声明和 / 或与您的经纪商讨论任何顾虑。

财务状况和交易经验，我希望继续开户。

联名方正楷签名 (如适用) 日期

联名方正楷签名 (如适用)

开户申请表格

Individual – Investment Experience

个人 – 投资经验



INVESTMENT EXPERIENCE

投资经验

02

1. Do you have experience trading futures?
您是否有期货交易经验？

Yes/ 是 No/ 否

6个月以下/Less than 6 months Years / 年限

If this option is selected, you will need to fill out the [《Additional Risk Disclosure Statement》](#)
若选择此项，则需要填写《附加风险声明》

2. Are you a "Non-Professional Trader"?
您是否为“非专业交易者”？

Yes/ 是 No/ 否

If this option is selected, you will need to fill out the [《Non-Professional Self-Certification Form》](#)
若选择此项，则需要填写《自我认证表格》

3. Do you have experience trading commodity/equity options?
您是否有商品期权交易经验？

Yes/ 是 No/ 否

Years / 年限 6

4. Do you have experience trading commodity funds?
您是否有商品基金交易经验？

Yes/ 是 No/ 否

Years / 年限 6

5. Do you have experience trading stocks/bonds?
您是否有股票 / 债券交易经验？

Yes/ 是 No/ 否

Years / 年限 6

*If you are not sure about whether you are qualified as Non-Professional Trader, please download and refer to the [《Non-Professional Self-Certification Form》](#).

关于定义您是否为“非专业交易者”，详情请点击下载并参考《非专业交易者自我认证表格》。

6. Do you have current Futures account open?
您现在是否拥有期货账户？

Yes/ 是 No/ 否

Brokerage name / 期货经纪商名字 A FUTURES

*If you currently have a futures account or security account, you need to write down the brokerage name.

7. Do you have current Security account open?
您现在是否拥有证券账户？

Yes/ 是 No/ 否

Brokerage name / 证券经纪商名字 A SECURITIES

如果您在开户时拥有其它期货或证券账户，您需要写下经纪商的名字。

8. Is futures trading suitable for you?
您是否适合期货交易？

Yes/ 是 No/ 否

9. Do you have any unsatisfied debit balance(s) with any other commodities/securities firm or Huatai?
您是否在任何其他商品 / 证券公司或华泰存在任何未偿还的负债？

Yes/ 是 No/ 否

10. Are you an employee or member of any futures or securities exchange, NFA, a member firm of any of those entities or an employee of Huatai USA?
您是美国期货或证券交易所、美国期货协会、此类实体的成员公司的员工或会员、或者华泰美国的员工吗

Yes/ 是 No/ 否

Individual – Account Usage

个人 – 账户用途



03

ACCOUNT USAGE
账户用途

1. Reason for Trading
交易原因

Hedge/ 套期保值 Speculation/ 投机

2. Are you transferring future positions from another Futures Commission Merchant ("FCM")?
是否从其他期货佣金商转移期货到此账户?

Yes/ 是 No/ 否

! If this option is selected, you will need to fill out the 《Account Transfer Form》
若选择此项, 则需要填写《账户转移表》

3. Is this account controlled by a third party?
这是一个第三方控制的账户吗?

Yes/ 是 No/ 否

! If this option is selected, please fill out the following documents:
《Exempt Third Party Controller Form》 《Managed Account Form-Power of Attorney》
若选择此项, 请填写以下文件:
《豁免第三方控制人表格》 《管理账户表格——授权书》

4. If this account is controlled by a third party, does that third-party controller have ownership or control over any other accounts at Huatai Financial USA Inc. or Huatai (Hong Kong) Futures Limited?
此第三方控制人是否拥有或控制其他华泰金融美国公司或华泰期货香港公司的账户?

Yes/ 是 No/ 否

5. Will this account conduct Exchange for Related Position ("EFRP") trades?
该账户是否会使用期转现?

Yes/ 是 No/ 否

! If this option is selected, you will need to fill out the 《Exchange for Related Positions Acknowledgement》
若选择此项, 则需要填写《期转现确认》

Yes/是 Customer hereby requests that Huatai Financial USA Inc. ("Huatai") transmit Customer Statements and Notices which may include Customer information, via the Internet by e-mail transmission and that Huatai USA will not mail such statements in hard copy form. Customer understands that this consent to electronic transmission of statements is revocable, but will remain in effect until written notice is received by Huatai USA. Customer acknowledges that Huatai USA is not responsible for any interruptions, delays, inaccuracies, errors, omissions or any faults in the e-mail service which may occur. Customer will indemnify and hold Huatai USA or any of its subsidiaries or affiliates harmless against any and all claims by parties or third parties in any way connected to or arising out of the e-mail service. Customer warrants and represents that it fully understands the risks associated with the transmission of information by use of the internet. Huatai reserves the right to modify or discontinue this service at any time without notice.

客户特此要求华泰金融美国公司 ("华泰") 通过电子邮件传输包含客户信息的账户结单和通知, 华泰美国将不以书面文件形式发送此类文件。客户明白以电子方式传输结单的许可可以撤销, 但此撤销只在华泰收到客户书面通知后有效。客户承认华泰美国对可能发生的电子邮件服务的中断, 延迟, 不准确, 错误, 遗漏或任何错误概不负责。客户承诺保护华泰及其附属公司和关联公司不受来自第三方的与电子邮件服务相关的任何索赔和起诉。客户保证并了解通过使用互联网传输信息所带来的风险。华泰保留随时修改或终止本服务的权利, 恕不另行通知。

Additional email address to receive duplicate Customer Statements and Notices
除客户前述邮箱之外, 客户可要求其它电子邮箱接收相同结单和通知

电子邮箱 / Email

*If you want an additional email address to receive duplicate Customer Statements and Notices, you can add the email address here. If you leave it blank, your preferred Email above will receive the Customer Statements and Notices.
如果您希望其他邮箱地址收到结单和通知, 可以在此处填写。如果您在此留空, 默认只有首选邮箱会收到结单及通知。



Individual – Financial Information

个人 – 财务信息

FINANCIAL INFORMATION
财务信息
04

Annual Income(\$)
年收入(美金)

Please enter

Net Worth (exclusive of primary home)(\$)
资产净值 (不包括第一套住宅)

Please enter

Liquid Net Worth(\$)
流动资产净值

Please enter

If annual income is less than \$25,000 or net worth is less than \$25,000, Need to fill out [《 Additional risk statement 》](#)
如果您的年收入小于25,000 美金或者净资产小于25,000美金，需填写《附加风险声明》

Save / 保存当前

*Please choose the 'ABA ROUTING' if you register with a US domestic Bank. If you choose an outside US bank as your registered bank, please choose 'SWIFT'.
 如果您登记的银行是美国境内银行，请选择美国境内汇；
 如果您登记的银行信息是美国境外银行，请选择国际电汇。

Individual – Bank Information

个人 – 银行信息

BANK INFORMATION
银行信息
05

THIS SECTION IS NOT REQUIRED UNTIL THE APPLICATION IS APPROVED AND CAN BE FUNDED. HUATAI FINANCIAL USA WILL KEEP THE APPLICANT'S BANK ACCOUNT INFORMATION ON FILE FOR THE FUTURE.
 以下信息为可选项。申请一旦获批，客户必须提供完整银行帐户信息。现在提供银行帐户信息有助于华泰金融美国前期收集客户相关资料。

<p>Bank Name 银行名称</p> <p>Bank of China</p>	<p>Account Holder (the same as applicant) 户主名称 (须与申请者相同)</p> <p>Dawen Chen</p>	<p>Branch Name (if applicable) 分行名称 (如适用)</p> <p>Please enter</p>
<p>Account Number 账户号码</p> <p>012-xxxxxxxxxx</p>	<p>ABA (Routing) Number or SWIFT# ABA号 (美国境内汇) 或SWIFT号 (国际电汇)</p> <p>SWIFT# / 国际电汇</p> <div style="border: 1px solid #e91e63; padding: 2px;"> <p>ABA (Routing) Number / 美国境内汇 SWIFT# / 国际电汇</p> </div>	<p>ABA (Routing) Number or SWIFT# ABA号 (美国境内汇) 或SWIFT号 (国际电汇)</p> <p>BKCHHKHH</p>
<p>Bank Address 银行地址</p> <p>Country / 国家 Hong Kong/香港</p> <p>Street / 街道 花园道1号</p>	<p>City / 城市 Please enter</p> <p>State / 省州 Hong Kong/香港</p> <p>ZipCode / 邮编 Please enter</p>	

I hereby authorizes Huatai USA to transfer funds as described herein, as requested from time to time, and to debit your account in the amount transferred. Client also authorizes Huatai USA to deduct applicable fees and expenses or to charge Client's account for such. Client further understands that Huatai USA may or may not seek additional confirmation of wire transfers (Please provide most recent account monthly statement).
 客户特此授权华泰金融美国在需要时按照上述方式转移资金并从您的账户中扣除金额。客户还授权华泰美国扣除因此产生的相应费用，或者向客户账户收取该费用。客户进一步确认，华泰金融美国可能会或可能不会要求额外电汇证明 (请提供最近银行账户月度结单)

Individual – Tax Information

个人 – 税务信息



华泰金融美国公司

HUATAI FINANCIAL USA INC

Is the applicant a U.S. customer or is the applicant a non-U.S. customer that is subject to U.S. taxes?

申请人是否为美国客户或非美国客户但服从美国税法



Yes / 是

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 correct and complete. I further certify under penalties of perjury that

1. The tax identification number on this form is my correct Taxpayer Identification Number;
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
 - c. the partner's share of the partnership's effectively connected income
4. The account holder is a resident of a treaty country within the meaning of the income tax treaty between the United States and that country
5. For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined by the Department of the Treasury, Internal Revenue Service W-8 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.

I agree that I will submit a new W-8 Form within 30 days if any certification made here becomes incorrect.

我声明已经检查了此表格信息，以我所知，所有信息正确和完整。我进一步证明：

1. 我是本表格相关的所有收入的受益人（或有权替受益人签署）
2. 受益人不是美国人
3. 该表格所涉及的收入：
 - a. 我与美国贸易或业务行为无关，
 - b. 与美国贸易或业务行为有关但不受所得税条约规定
 - c. 是合伙人在合伙企业的有效关联份额收入
4. 账户持有人是与美国签署所得税协定的条约国的居民
5. 对于经纪人交易或易货交易，受益人是财政部，国税局W-8表定义的豁免外国人。

此外，作为本账户收益人，我授权将此表格可提供给任何能控制、接收或保管我收入或可以支出或支付我收入的预扣代理人。

如果本表格的任何证明不正确，我同意在30天之内提交一份新的W-8表格。

[Learn more / 查看完整信息](#)

please reference Internal Revenue Service (IRS) W-8BEN (Individual)

<https://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

or W-8BENE(Institution)<https://www.irs.gov/pub/irs-pdf/fw8bene.pdf> for further explanation.

请点击美国国税局IRS 链接获W-8BEN (个人)

<https://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

或者 (机构) <https://www.irs.gov/pub/irs-pdf/fw8bene.pdf>.

*If you are neither a U.S. customer nor a non-U.S. customer subjecting to U.S. taxes, please download the W-8BEN/W-8BENE form from the link above for reference.

如果您此处选择“不是”，即您不是美国的客户或者需要向美国政府纳税的客户，请将鼠标放置于“？”处，您将看到W-8BEN/W-8BENE表格填写及下载链接，您可点击查看、参考。

*Please note that by clicking the “Yes” button, you agree to the following terms appeared on the W-8 form, and you don't need to upload another W-8 form.

请注意，点击“是”代表您同意了以下条款（这些条款从W-8表中摘录而来），您不需要另行向华泰美国上传提交W-8表格。



Individual – Tax Information

个人 – 税务信息

Is the applicant a U.S. customer or is the applicant a non-U.S. customer that is subject to U.S. taxes?
 申请人是否为美国客户或非美国客户但服从美国税法 ?

1. Are you exempt from backup withholding?
 你是否有备用预扣税务的豁免权?

Yes / 是 No / 否

Under penalties of perjury, by signing this document, I certify that:

- The tax identification number on this form is my correct Taxpayer Identification Number;
- I am not subject to back-up withholding because:
 - I am exempt from backup withholding
 - I have not been notified by the IRS that I am subject to backup withholding
 - the IRS has notified me that I am no longer subject to backup withholding
- I am a U.S. person (including a resident alien).

签署本文件后, 我声明:

- 此表格上纳税号是我的纳税号;
- 由于以下原因, 我不适用备用欲扣税:
 - 我被豁免缴纳 备用预扣税 b. 我没有收到IRS关于我需交纳备用欲扣税的通知 c. 国税局通知我毋庸交纳扣留预扣税
- 我是美国人 (包括合法永久居民)。

如上述信息不实, 我接受伪证处罚。

[Learn more / 查看完整信息](#) ▲

Exemption Code
豁免代码

Corporation / 公司 Broker-Dealer / 证券交易经纪商 FCM / 期货经纪商 Please enter

Other (W9 Instructions)
其他(请参见W-9表指导)

*If you are a U.S. customer or a non-U.S. customer subjecting to U.S. taxes, and you are exempt from backup withholding, please fill in the Exemption Code information required (you can click the “W9 Instruction” for reference). Please note that you don’t need to submit a separate W9 form to HTUSA.

如果此两处您均选择“是”，即您需要向美国政府纳税但是您有预扣税务豁免权，请填写相应豁免代码（您可以点击“W9 Instruction”查看您的豁免代码）。请注意您不需要另行向华泰美国上传提交W9表格。

Individual – Step 3 Finished

个人 – 第三步完成



Personal Information
请填写个人资料

APPLICANT
申请人

- APPLICANT INFORMATION
申请人信息
- INVESTMENT EXPERIENCE
投资经验
- ACCOUNT USAGE
账户用途
- FINANCIAL INFORMATION
财务信息
- BANK INFORMATION
银行信息
- TAX INFORMATION
税务信息

01
02
03
04
05
06

← Previous / 上一步 Continue / 继续

Once you have completed all the sections, please go to [next step](#).

每一部份资料填写完成后，请检查是否所有信息都已经录入完整（如左图所示，绿色小圈代表填写完整；若出现带缺口的小圈，则代表该部分缺少信息）。填写完整后，您可进入[下一步](#)。



JOINT 联名账户

JOINT 联名



Account Type

请选择申请账户类型

PRODUCT TYPE

产品类型

期货/Futures

- Individual Brokerage / 个人
- Joint Tenants with Rights of Survivorship / 联名
- Sole proprietorship company / 独资公司
- Company / 公司
- Partnership / 合伙制
- Limited Company / 有限责任公司

NUMBER OF JOINT PERSONS

请输入联名人数

1



*The default number of Joint Persons is 1. If you want to open an account with more than 1 person, please contact Huatai USA through email or phone.

选择联名类型时，系统默认联名人数为1，即最多只能有两名客户可以成为账户所有人。如果联名人数超过1，请联系华泰美国。

APPLICATION DOCUMENTS

其他补充文件

- Identification (Government issued, copy of front and back)
身份证明 (政府签发, 正反面副本, 所有申请者)
- Proof of Address (For example a bank statement, cell phone or utility bill)
地址证明 (例如银行结单, 手机或水电费账单, 所有申请者)
- Bank Account Monthly Statement (Account owner is the same as applicant)
银行结单证明 (户主姓名必须与申请者一致, 账户信息与表格填写内容一致)
- Chinese applicant: Credit Report (Optional but assist evaluation process; can be generated from People's Bank of China)
中国申请者: 信用证明 (可选项, 但可协助评估申请。可在中国人民银行信用中心申请)
- Recent Client Statement if trading through Huatai Futures or Huatai (Hong Kong) Futures (Optional but help expedite evaluation process)
如果是华泰期货或者华泰香港期货的客户, 请提供最近账户结单 (可选项, 但可协助评估申请)

Application Documents for Joint Account 联名账户所需文件

JOINT 联名



*Fill in the information of the applicant and joint person separately , including personal information, investment experience, financial information, bank information, tax information and the others.

Please refer to the personal account opening section for details. 申请联名账户，需要填写申请人信息和联名入信息。包括个人信息、投资经验、财务信息、银行信息、税务信息及其他信息都分别填写。有关填写内容与注意事项请参考[个人账户](#)部分。

Personal Information
请填写个人资料

APPLICANT 申请人 **JOINT PERSON 联名入**

JOINT PERSON 联名入 01

Last Name 姓氏	First Name 名字	MI(if applicable) 中间名(如适用)
LI	XIAOHONG	Please enter
Date of Birth 出生日期	Nationality 国籍	Social Security Number (if applicable) 美国社保号(如适用)
03/01/1993	CHINA	Please enter
Type of ID provided 身份证件类型	ID Number 证件号码	Tax ID(if applicable) 美国纳税号(如适用)
身份证 - Government ID	41000011112222	Please enter
Marital Status 婚姻状况	Number of Dependents 家属人数	
<input type="checkbox"/> Single / 单身 <input checked="" type="checkbox"/> Married / 已婚	3	
Residential Address (no P.O. Boxes) 住宅地址 (请勿填写邮政信箱)		
Country / 国家 China/中国	City / 城市 CHENGDU	State / 省州 Sichuan/四川
Street / 街道 No.23 CHUNXI STREET	ZipCode / 邮编 Please enter	
Mailing Address is same as Residential Address 邮寄地址与住宅地址相同 <input checked="" type="checkbox"/>		
Preferred Phone(with country and area code) 首选电话(含国号区号)	Alternate Phone (optional) 备用电话(选填)	
86-11122233333	Please enter	
Preferred Email 首选电子邮箱	Alternate Email (optional) 备用电子邮箱(选填)	
LIXIAOHONG@YAHOO.COM	Please enter	

Personal Information
请填写个人资料

APPLICANT 申请人 **JOINT PERSON 联名入**

JOINT PERSON 联名入 01

INVESTMENT EXPERIENCE 投资经验 02

FINANCIAL INFORMATION 财务信息 04

BANK INFORMATION 银行信息 05

TAX INFORMATION 税务信息 06

OTHERS 其他信息 07



-

BANK INFORMATION

银行信息

05

If the applicant's bank account information is different from the first owner's bank account

申请人银行帐户信息是否和第一所有者银行账户不同？

THIS SECTION IS NOT REQUIRED UNTIL THE APPLICATION IS APPROVED AND CAN BE FUNDED. HUATAI FINANCIAL USA WILL KEEP THE APPLICANT'S BANK ACCOUNT INFORMATION ON FILE FOR THE FUTURE.

以下信息为可选项。申请一旦获批，客户必须提供完整银行帐户信息。现在提供银行帐户信息有助于华泰金融美国前期收集客户相关资料。

<p>Bank Name 银行名称</p> <p>Please enter ↗</p>	<p>Account Holder (the same as applicant) 户主名称 (须与申请者相同)</p> <p>Please enter ↗</p>	<p>Branch Name (if applicable) 分行名称 (如适用)</p> <p>Please enter ↗</p>
<p>Account Number 账户号码</p> <p>Please enter ↗</p>	<p>ABA (Routing) Number or SWIFT# ABA号 (美国境内汇) 或SWIFT号 (国际电汇)</p> <p>Please select ☰</p>	<p>ABA (Routing) Number or SWIFT# ABA号 (美国境内汇) 或SWIFT号 (国际电汇)</p> <p>Please enter ↗</p>

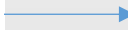
Bank Address
银行地址

<p>Country / 国家 Please enter ☰</p>	<p>City / 城市 Please enter ↗</p>	<p>State / 省州 Please enter ☰</p>
<p>Street / 街道 Please enter ↗</p>		<p>ZipCode / 邮编 Please enter ↗</p>

I hereby authorizes Huatai USA to transfer funds as described herein, as requested from time to time, and to debit your account in the amount transferred. Client also authorizes Huatai USA to deduct applicable fees and expenses or to charge Client's account for such. Client further understands that Huatai USA may or may not seek additional confirmation of wire transfers (Please provide most recent account monthly statement).

客户特此授权华泰金融美国在需要时按照上述方式转移资金并从您的账户中扣除金额。客户还授权华泰美国扣除因此产生的相应费用，或者向客户账户收取该费用。客户进一步确认，华泰金融美国可能会或可能不会要求额外电汇证明（请提供最近银行账户月度结单）。

Save / 保存当前



* The joint person can fill out the other bank information if the information is different from the first owner's bank account. 联名人的银行信息可以和第一所有者的银行不同，如果一致则不需要填写。如果不一致，则可以填写新的银行信息。

JOINT 联名



OTHERS
其他信息

Type of joint account
联名账户的类型

Tenants-In-Common / 分权共有人 Joint Tenants with Rights of Survivorship / 联权共有人

Ownership percentage (%) / 第一所有权比重 (%) Please enter

Joint applicants agree to be jointly and severally liable for any and all obligations arising out of the transactions in the account and is bound by all terms and conditions of the Customer Agreement and all related documents signed on behalf of the Joint Account. Joint applicants attest that all information is true and correct. If there are any changes to the Joint applicant information then Huatai USA will be notified immediately.
联合申请人同意对账户交易中产生的任何和所有义务承担连带责任，并接受客户协议的所有条款和条件以及代表联合账户签署的所有相关文件的约束。联合申请人证明所有信息是真实和正确的。如果联合申请人信息有任何变化，华泰美国需立即被通知有关变化。

Save / 保存当前

*Tenants-In-Common: in the event of the death of either individual, ownership interest in the account shall be allocated in the ownership percentages, as of the close of business on the date of death.
分权共有人：如果任意一方死亡，按照其死亡当日业务结束时的所有者权益百分比分配至其继承人，并由其继承人继承。

*Joint Tenants with Rights of Survivorship: in the event of the death of either individual listed below, ownership interest in the joint account shall automatically be vested in the name of the survivor.
联权共有人：如果任意一方死亡，联名账户的所有者权益自动归属于第二联名人名下。

*If this joint account type is Tenants-In-Common, the joint person should write down the ownership percentage.
如果该账户类型是分权共有人，联名人名下需要填写第一所有权的比重。

Once you have completed all the sections, please go to [next step](#).

每一部份资料填写完成后，请检查是否所有信息都已经录入完成。若此，您可进入[下一步](#)。



SOLE PROPRIETORSHIP

独资公司帐户

(公司资本由一个股东所有的股份有限公司或有限责任公司)



SOLE PROPRIETORSHIP 独资公司

*Please note that you need to provide the "Doing Business as Name" when you fill the applicant information.

请注意，在填写申请人信息时，需要提供注册经营别称。

*The other application steps are the same as opening a [individual account](#). Please refer to the individual account opening for the details.

其他申请步骤与个人账户一致，请参考[个人账户](#)的开户指引。

APPLICATION DOCUMENTS Additional Documents for Sole Proprietorship

其他补充文件

独资公司所需其它补充文件

- Identification (Government issued, copy of front and back)
身份证明 (政府签发, 正反面副本, 所有申请者)
- Proof of Address (For example a bank statement, cell phone or utility bill)
地址证明 (例如银行结单, 手机或水电费账单, 所有申请者)
- Bank Account Monthly Statement (Account owner is the same as applicant)
银行结单证明 (户主姓名必须与申请者一致, 账户信息与表格填写内容一致)
- Chinese applicant: Credit Report (Optional but assist evaluation process; can be generated from People's Bank of China)
中国申请者: 信用证明 (可选项, 但可协助评估申请。可在中国人民银行信用中心申请)
- Business Registration
商业登记证明
- Recent Client Statement if trading through Huatai Futures or Huatai (Hong Kong) Futures (Optional but help expedite evaluation process)
如果是华泰期货或者华泰香港期货的客户, 请提供最近账户结单 (可选项, 但可协助评估申请)

◀ Previous / 上一步

Submit / 提交

Once you have completed all the sections, please go to [next step](#). 每一部份资料填写完成后, 请检查是否所有信息都已经录入完成。若此, 您可进入[下一步](#)。

APPLICANT INFORMATION

申请人信息

01

<p>Last Name 姓氏</p> <p>黄</p>	<p>First Name 名字</p> <p>大明</p>	<p>MI (if applicable) 中间名(如适用)</p> <p>Please enter</p>
<p>Date of Birth 出生日期</p> <p>08/02/1990</p>	<p>Nationality 国籍</p> <p>CHINA</p>	<p>Social Security Number (if applicable) 美国社保号(如适用)</p> <p>Please enter</p>
<p>Doing Business as Name DBA 名 (注册经营别称)</p> <p>ABC CO.Ltd</p>		
<p>Type of ID provided 身份证件类型</p> <p>身份证 - Government ID</p>	<p>ID Number 证件号码</p> <p>44100000001123112</p>	<p>Tax ID(if applicable) 美国纳税号(如适用)</p> <p>Please enter</p>
<p>Marital Status 婚姻状况</p> <p><input checked="" type="checkbox"/> Single / 单身 <input type="checkbox"/> Married / 已婚</p>		<p>Number of Dependents 家属人数</p> <p>2</p>



CORPORATE 公司帐户



- **Latest Audited Financial Statement**
最近的审计财务报表
- **Letter of Good Standing**
公司状况良好说明 (可用中国企业信用信息公示系统查询代替)
- **Articles of Incorporation or Organization Documents**
公司章程或组织文件
- **Corporate/Limited Liability Company Account Agreement Resolution** (Fill out the form only if the corporation does not have its own "Resolution" authorizing the corporate signer and trader to open the account)
公司 / 有限责任公司账户协议和决议 (公司决议没有授权开户签署人、交易员时填写此表格)
- **Proof of Entity Address** (For example a bank statement, cell phone or utility bill)
企业地址的证明(例如银行账单、电话或水电费账单)
- **Identification of all individuals that own a 10% or more interest** Government issued, copy of front and back)
所有拥有10%或以上利益的个人的身份证明 (政府发行身份证明的前、后复印件或者照片页)
- **Identification of Authorized Signers** (Government issued, copy of front and back)
公司授权签署人的身份证明 (政府发行身份证明的前、后复印件或者照片页)
- **Chinese Corporation: credit report** (Optional but assist evaluation process, can be generated from the People's Bank of China)
中国公司: 公司信用证明 (非必要提交文件, 可用人民银行信征中心提供的企业信用报告 (自主查询版))
- **recent Client Statement if trading through Huatai Futures or Huatai (Hong Kong) Futures**
(Optional but help evaluation process)
如果申请人现在拥有华泰期货或华泰 (香港) 期货的账户, 请提交最近客户结单 (非必要提交文件, 但会加快公司的内部评估流程)

Application Documents for
Corporate Accounts
公司账户所需其他补充文件



Corporate – Entity Information

公司 – 申请机构信息

ENTITY INFORMATION 01 申请机构信息

Legal Account Name
法定账户名称
ABC Company

Date of Formation
成立日期
02/01/2013

Tax ID
机构纳税号
12345678

Institutional Code(if applicable)
机构代码(如适用)
12121212

Registered Address
注册地址

Country / 国家 **China/中国** City / 城市 **Hangzhou** State / 省/州 **Zhejiang/浙江**

Street / 街道 **No.100 Yan'an Road, Finance Building, #112** ZipCode / 邮编 **310000**

Mailing Address is same as Registered Address
邮寄地址与注册地址相同

Nature of Business
业务性质
Real Estate - 房地产

1. Does the entity have individual who own a 10% or more interest in the entity?
是否机构中有控股10%及以上的个人?
 Yes / 是 No / 否

1. Does the entity have individual who own a 10% or more interest in the entity?
是否机构中有控股10%及以上的个人?

Yes / 是 No / 否

Please list all individuals that own a 10% or more interest in this entity:
请列出所有对该公司控股10%及以上的个人

Name 姓名	Government or Tax ID 身份证号或美国纳税号
Dawen Chen	310000123456781234
Address 地址 No.200 Yan'an Road, Xingfu Community, Building 1, Unit 1, Room 1	

*Huatai USA suggests you to use English or PINYIN to fill out the information, in order to facilitate the approval process. If you use Chinese, it might take extra processing time.
为了加快审核过程，华泰美国建议您在填写信息时使用英文或拼音。如果您使用中文，我们可能需要更长的审核时间。

*Please note if there is an individual who own 10% or more interest in the entity, you are required to list such individual.
如果机构中有控股超过10%及以上的个人，需要单独列出。

Corporate – Contact Information

公司 – 联系人信息



CONTACT INFORMATION 联系人信息



1. Is the person completing this application the contact?
联系人是否为本申请填写人?

Yes / 是 No / 否

Contact Last Name 联系人姓氏	Contact First Name 联系人名字	Contact Position 联系人职位
Chen	Dawen	CEO
Contact Date of Birth 联系人生日	Nationality 联系人国籍	Social Security Number (if applicable) 美国社保号(如适用)
11/01/1990	China	Please enter
Type of ID provided 证件类型	ID Number 证件号码	Tax ID (if applicable) 美国纳税号(如适用)
身份证 - Government ID	310001123456781234	Please enter
Marital Status 婚姻状况	Number of Dependents 家属人数	
<input checked="" type="checkbox"/> Single / 单身 <input type="checkbox"/> Married / 已婚	2	

Residential Address (no P.O. Boxes)
住宅地址 (请勿填写邮政信箱)

Country / 国家 **China/中国** City / 城市 **Hangzhou** State / 省/州 **Zhejiang/浙江**

Street / 街道 **No.200 Yan'an Road, Xingfu Community...** ZipCode / 邮编 **310000**

Preferred Phone(with country and area code)
首选电话(含国号区号) **+86 13612345678**

Alternate Phone (optional)
备用电话(选填) **Please enter**

Preferred Email
首选电子邮箱 **songqi0627@gmail.com**

Alternate Email (optional)
备用电子邮箱(选填) **Please enter**

Save / 保存当前

*Fill in the contact information
请填写联系人信息

*Please add the country and area code for phone number
请在填写电话号码时加上国家号 / 区号

Corporate – Investing Experience

公司 – 投资经验



1. Does the entity have experience trading futures?
该机构是否有期货交易经验?

Yes/ 是 No/ 否

[Click to get the EN Version
点击获取英文版声明](#)

If this option is selected, you will need to fill out the 《Additional Risk Disclosure Statement》

若选择此项, 则需要填写《附加风险声明》

[Click to get the CH Version
点击获取中文版声明](#)

2. Is the entity a "Non-Professional Trader"?
该机构是否为“非专业交易者”?

Yes/ 是 No/ 否

If this option is selected, you will need to fill out the 《Non-Professional Self-Certification Form》

若选择此项, 则需要填写《自我认证表格》

3. Does the entity have experience trading commodity/equity options?
该机构是否有商品期权交易经验?

Yes/ 是 No/ 否

Years / 年限 10 Please enter

4. Does the entity have experience trading commodity funds?
该机构是否有商品基金交易经验?

Yes/ 是 No/ 否

Years / 年限 10 Please enter

5. Does the entity have experience trading stocks/bonds?
该机构是否有股票 / 债券交易经验?

Yes/ 是 No/ 否

Years / 年限 10 Please enter

***Please note that you are required to sign and submit the EN version; CH version is for your reference.
请注意您需要签署并提交的是英文版本的附加文件；
中文版仅供您填写时参考**

Corporate – Account Usage

公司 – 账户用途



1. Reason for Trading 交易原因

Hedge/ 套期保值 Speculation/ 投机

! If this option is selected, you will need to fill out the 《Hedge Representation Letter》
若选择此项, 则需要填写《套期保值声明书》

2. Are you transferring future positions from another Futures Commission Merchant (“FCM”)? 是否从其他期货佣金商转移期货到此账户?

Yes/ 是 No/ 否

! If this option is selected, you will need to fill out the 《Account Transfer Form》
若选择此项, 则需要填写《账户转移表》

3. Do federal or state laws or regulations or corporate policy restrict the type of trading or future contracts that m traded by the entity? 联邦或州法律法规或公司政策是否限制此机构的类型交易或期货合约?

Yes/ 是 No/ 否

4. Is this account controlled by a third party? 这是一个第三方控制的账户吗?

Yes/ 是 No/ 否

! If this option is selected, please fill out the following documents:
《Exempt Third Party Controller Form》 《Managed Account Form-Power of Attorney》
若选择此项, 请填写以下文件:
《豁免第三方控制人表格》 《管理账户表格——授权书》

5. If this account is controlled by a third party, does that third party controller have ownership or control over any other accounts at Huatai Financial USA Inc. or Huatai (Hong Kong) Futures Limited? 此第三方控制人是否拥有或控制其他华泰金融美国公司或华泰期货香港公司的账户?

Yes/ 是 No/ 否

6. Will this account conduct Exchange for Related Position (“EFRP”) trades? 该账户是否会使用期转现?

Yes/ 是 No/ 否

! If this option is selected, you will need to fill out the 《Exchange for Related Positions Acknowledgement》
若选择此项, 则需要填写《期转现确认》

Yes/是 Customer hereby requests that Huatai Financial USA Inc. (“Huatai”) transmit Customer Statements and Notices which may include Customer information, via the Internet by e-mail transmission and that Huatai USA will not mail such statements in hard copy form. Customer understands that this consent to electronic transmission of statements is revocable, but will remain in effect until written notice is received by Huatai USA. Customer acknowledges that Huatai USA is not responsible for any interruptions, delays, inaccuracies, errors, omissions or any faults in the e-mail service which may occur. Customer will indemnify and hold Huatai USA or any of its subsidiaries or affiliates harmless against any and all claims by parties or third parties in any way connected to or arising out of the e-mail service. Customer warrants and represents that it fully understands the risks associated with the transmission of information by use of the internet. Huatai reserves the right to modify or discontinue this service at any time without notice.

客户特此要求华泰金融美国公司 (“华泰”) 通过电子邮件传输包含客户信息的账户结单和通知, 华泰美国将不以书面文件形式发送此类文件。客户明白以电子方式传输结单的许可可以撤销, 但此撤销只在华泰收到客户书面通知后有效。客户承认华泰美国对可能发生的电子邮件服务的中断, 延迟, 不准确, 错误, 遗漏或任何错误概不负责。客户承诺保护华泰及其附属公司和关联公司不受来自第三方的与电子邮件服务相关的任何索赔和起诉。客户保证并了解通过使用互联网传输信息所带来的风险。华泰保留随时修改或终止本服务的权利, 恕不另行通知。

Additional email address to receive duplicate Customer Statements and Notices

除客户前述邮箱之外, 客户可要求其它电子邮箱接收相同结单和通知

电子邮箱 / Email

Save / 保存当前

***Please note that you are required to sign and submit the EN version; CH version is for your reference.
请注意您需要签署并提交的是英文版本的附加文件; 中文版仅供您填写时参考**



Corporate – Financial Information 公司 – 财务信息

FINANCIAL INFORMATION
财务信息

04

Annual Income(\$)
年收入(美金)

Please enter

Net Worth (exclusive of primary home)(\$)
资产净值 (不包括第一套住宅)

Please enter

Liquid Net Worth(\$)
流动资产净值

Please enter

! If annual income is less than \$25,000 or net worth is less than \$25,000, Need to fill out **《Additional risk statement》**
如果您的年收入小于25,000 美金或者净资产小于25,000美金，需填写《附加风险声明》

Save / 保存当前

*Please choose the 'ABA ROUTING' if you register with a US domestic Bank. If you choose an outside US bank as your registered bank, please choose 'SWIFT'.
如果您登记的银行是美国境内银行，请选择美国境内汇；
如果您登记的银行信息是美国境外银行，请选择国际电汇。

Corporate – Bank Information 公司 – 银行信息

BANK INFORMATION
银行信息

05

Optional 选填

THIS SECTION IS NOT REQUIRED UNTIL THE APPLICATION IS APPROVED AND CAN BE FUNDED. HUATAI FINANCIAL USA WILL KEEP THE APPLICANT'S BANK ACCOUNT INFORMATION ON FILE FOR THE FUTURE.
以下信息为可选项。申请一旦获批，客户必须提供完整银行帐户信息。现在提供银行帐户信息有助于华泰金融美国前期收集客户相关资料。

<p>Bank Name 银行名称</p> <p>中国银行 (香港)</p>	<p>Account Holder (the same as applicant) 户主名称 (须与申请者相同)</p> <p>陈大文</p>	<p>Branch Name (if applicable) 分行名称 (如适用)</p> <p>Please enter</p>
<p>Account Number 账户号码</p> <p>012-xxxxxxxxxxx</p>	<p>ABA (Routing) Number or SWIFT# ABA号 (美国境内汇) 或SWIFT号 (国际电汇)</p> <p>SWIFT# / 国际电汇</p> <div style="border: 1px solid #ccc; padding: 2px; margin-top: 5px;"> <p>ABA (Routing) Number / 美国境内汇 SWIFT# / 国际电汇</p> </div>	<p>ABA (Routing) Number or SWIFT# ABA号 (美国境内汇) 或SWIFT号 (国际电汇)</p> <p>BKCHHKHH</p>
<p>Bank Address 银行地址</p> <p>Country / 国家 Hong Kong/香港</p> <p>Street / 街道 花园道1号</p>	<p>City / 城市 Please enter</p> <p>State / 省州 Hong Kong/香港</p> <p>ZipCode / 邮编 Please enter</p>	

I hereby authorizes Huatai USA to transfer funds as described herein, as requested from time to time, and to debit your account in the amount transferred. Client also authorizes Huatai USA to deduct applicable fees and expenses or to charge Client's account for such. Client further understands that Huatai USA may or may not seek additional confirmation of wire transfers (Please provide most recent account monthly statement).
客户特此授权华泰金融美国在需要时按照上述方式转移资金并从您的账户中扣除金额。客户还授权华泰美国扣除因此产生的相应费用，或者向客户账户收取该费用。客户进一步确认，华泰金融美国可能会或可能不会要求额外电汇证明 (请提供最近银行账户月度结单)



Is the applicant a U.S. customer or is the applicant a non-U.S. customer that is subject to U.S. taxes?

申请人是否为美国客户或非美国客户但服从美国税法



Yes / 是

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 correct and complete. I further certify under penalties of perjury that

1. The tax identification number on this form is my correct Taxpayer Identification Number;
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
 - c. the partner's share of the partnership's effectively connected income
4. The account holder is a resident of a treaty country within the meaning of the income tax treaty between the United States and that country
5. For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined by the Department of the Treasury, Internal Revenue Service W-8 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.

I agree that I will submit a new W-8 Form within 30 days if any certification made here becomes incorrect.

我声明已经检查了此表格信息，以我所知，所有信息正确和完整。我进一步证明：

1. 我是本表格相关的所有收入的受益人（或有权替受益人签署）
2. 受益人不是美国人
3. 该表格所涉及的收入：
 - a. 我与美国贸易或业务行为无关， b. 与美国贸易或业务行为有关但不受所得税条约规定 c. 是合伙人在合伙企业的有效关联份额收入
4. 账户持有人是与美国签署所得税协定的条约国的居民
5. 对于经纪人交易或易货交易，受益人是财政部，国税局W-8表定义的豁免外国人。

此外，作为本账户收益人，我授权将此表格可提供给任何能控制、接收或保管我收入或可以支出或支付我收入的预扣代理人。

如果本表格的任何证明不正确，我同意在30天之内提交一份新的W-8表格。

[Learn more / 查看完整信息](#)

please reference Internal Revenue Service (IRS) W-8BEN (Individual)

<https://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

or W-8BENE(Institution)<https://www.irs.gov/pub/irs-pdf/fw8bene.pdf> for further explanation.

请点击美国国税局IRS 链接获W-8BEN (个人)

<https://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

或者 (机构) <https://www.irs.gov/pub/irs-pdf/fw8bene.pdf>.

*If you are neither a U.S. customer nor a non-U.S. customer subjecting to U.S. taxes, please download the W-8BEN/W-8BENE form from the link above for reference.

如果您此处选择“不是”，即您不是美国的客户或者需要向美国政府纳税的客户，请将鼠标放置于“？”处，您将看到W-8BEN/W-8BENE表格填写及下载链接，您可点击查看、参考。

*Please note that by clicking the “Yes” button, you agree to the following terms appeared on the W-8 form, and you don't need to upload another W-8 form.

请注意，点击“是”代表您同意了以下条款（这些条款从W-8表中摘录而来），您不需要另行向华泰美国上传提交W-8表格。



Is the applicant a U.S. customer or is the applicant a non-U.S. customer that is subject to U.S. taxes?
申请人是否为美国客户或非美国客户但服从美国税法 ?

1. Are you exempt from backup withholding?
你是否有备用预扣税务的豁免权?

Yes / 是 No / 否

Under penalties of perjury, by signing this document, I certify that:

- The tax identification number on this form is my correct Taxpayer Identification Number;
- I am not subject to back-up withholding because:
 - I am exempt from backup withholding
 - I have not been notified by the IRS that I am subject to backup withholding
 - the IRS has notified me that I am no longer subject to backup withholding
- I am a U.S. person (including a resident alien).

签署本文件后, 我声明:

- 此表格上纳税号是我的纳税号;
- 由于以下原因, 我不适用备用欲扣税:
 - 我被豁免缴纳 备用预扣税 b. 我没有收到IRS关于我需交纳备用欲扣税的通知 c. 国税局通知我毋庸交纳扣留预扣税
- 我是美国人 (包括合法永久居民)。

如上述信息不实, 我接受伪证处罚。

[Learn more / 查看完整信息](#)

Exemption Code
豁免代码

Other (**W9 Instructions**)
其他(请参见W-9表指导)

Corporation / 公司 Broker-Dealer / 证券交易经纪商 FCM / 期货经纪商 Please enter

*If you are a U.S. customer or a non-U.S. customer subjecting to U.S. taxes, and you are exempt from backup withholding, please fill in the Exemption Code information required (you can click the “W9 Instruction” for reference to get the code). Please note that you don’t need to submit a separate W9 form to HTUSA.

如果此两处您均选择“是”，即您需要向美国政府纳税但是您有预扣税务豁免权，请填写相应豁免代码（您可以点击“W9 Instruction”查看您的豁免代码）。请注意您不需要另行向华泰美国上传提交W9表格。



Personal Information
请填写个人资料

APPLICANT
申请人

- APPLICANT INFORMATION
申请人信息
- INVESTMENT EXPERIENCE
投资经验
- ACCOUNT USAGE
账户用途
- FINANCIAL INFORMATION
财务信息
- BANK INFORMATION
银行信息
- TAX INFORMATION
税务信息

01
02
03
04
05
06

← Previous / 上一步 Continue / 继续

Once you have completed all the sections, please go to [next step](#).

每一部份资料填写完成后，请检查是否所有信息都已经录入完整（如左图所示，绿色小圈代表填写完整；若出现带缺口的小圈，则代表该部分缺少信息）。填写完整后，您可进入[下一步](#)。



PARTNERSHIP

合伙制帐户

PARTNERSHIP 合伙制



PRODUCT TYPE
产品类型 期货/Futures

Individual Brokerage / 个人

Joint Tenants with Rights of Survivorship / 联名

Sole proprietorship company / 独资公司

Company / 公司

Partnership / 合伙制

- General Partnership / 普通合伙
- Limited Partnership / 有限合伙
- Limited Liability Partnership / 有限责任合伙

Limited Company / 有限责任公司

NUMBER OF GENERAL PARTNERS
请输入合伙人数量

2 + -

Application documents for Partnership 合伙制所需其它补充文件

APPLICATION DOCUMENTS
其他补充文件

- Signed Partnership Agreement and/or Certificate of Limited Partnership or Organization Documents
签字后的合伙合同和有限责任合伙证书或组织文件
- Proof of Entity Address (For example a bank statement, cell phone or utility bill)
企业地址的证明(例如银行账单、电话或水电费账单)
- Identification of all individuals that own a 10% or more interest (Government issued, copy of front and back)
所有控股10%或以上的个人(政府发行, 前和后副本)的身份证明
- Identification of Authorized Signers (Government issued, copy of front and back)
公司授权签署人(政府发行, 前和后)的身份证明
- Chinese Corporation: credit report (Optional but help evaluation process, report from the People's Bank of China)
中国公司: 公司信用证明 (非必要提交文件, 可用人民银行征信中心提供的企业信用报告(自主查询版))
- Chinese Corporation: recent Client Statement if trading through Huatai Futures or Huatai (Hong Kong) Futures (Optional but help evaluation process)
如果申请人现在拥有华泰期货或华泰(香港)期货的账户, 请提交最近客户结单(非必要提交文件, 但会加快公司的内部评估流程)

*Please indicate the number of General Partners.

此处应填入普通合伙人数量。有限合伙人可不用记入其中(普通合伙人对合伙企业债务承担无限连带责任, 有限合伙人以其认缴的出资额为限对合伙企业债务承担责任)。

PARTNERSHIP 合伙制



Entity 申请机构	Partner 合伙人	Partner 合伙人
----------------	----------------	-----------------------

+ ENTITY INFORMATION 申请机构信息	01
+ CONTACT INFORMATION 联系人信息	02
+ INVESTMENT EXPERIENCE 投资经验	03
+ ACCOUNT USAGE 账户用途	04
+ FINANCIAL INFORMATION 财务信息	05
+ BANK INFORMATION 银行信息	06
+ TAX INFORMATION 税务信息	07

Same as the Corporate account, you are required to fill in the following information. Besides, you also need to fill in the General Partners' information. Please refer to the [Corporate/Individual](#) account opening section for details.
与公司账户相同，您需要填写以下信息。同时您也需要填写普通合伙人信息。有关填写内容与注意事项请参考[公司账户或个人帐户](#)部分。

Entity 申请机构	Partner 合伙人	Partner 合伙人
----------------	-----------------------	----------------

+ CONTACT INFORMATION 合伙人信息
+ INVESTMENT EXPERIENCE 投资经验

Once you have completed all the sections, please go to [next step](#).

每一部份资料填写完成后，请检查是否所有信息都已经录入完成。若此，您可进入[下一步](#)。



LIMITED LIABILITY COMPANY

有限责任公司帐户



APPLICATION DOCUMENTS

其他补充文件

- **Operating Agreement**
合作经营合约书
- **Articles of Organization or Organization Documents**
组织章程或组织文件
- **Corporate/Limited Liability Company Account Agreement Resolution** (Fill out only the form if the company does not have its own "Resolution" authorizing the company signer to open the account)
公司 / 有限责任公司账户协议和决议 (公司决议没有授权开户人、交易员时填写此表格)
- **Proof of Entity Address** (For example a bank statement, cell phone or utility bill)
企业地址的证明(例如银行账单、电话或水电费帐单)
- **Identification of all individuals that own a 10% or more interest** (Government issued, copy of front and back)
所有拥有10%及以上利益的个人身份证明 (政府发行身份证明的前、后复印件或者照片页)
- **Identification of Authorized Signers** (Government issued, copy of front and back)
公司授权签署人的身份证明 (政府发行身份证明的前、后复印件或者照片页)
- **Chinese Corporation: credit report** (Optional but help evaluation process, report from the People's Bank of China)
中国公司: 公司信用证明 (非必要提交文件, 可用人民银行信征中心提供的企业信用报告 (自主查询版))
- **Chinese Corporation: recent Client Statement if trading through Huatai Futures or Huatai (Hong Kong) Futures** (Optional but help evaluation process)
如果申请人现在拥有华泰期货或华泰 (香港) 期货的账户, 请提交最近客户结单 (非必要提交文件, 但会加快公司的内部评估流程)

Application documents for Limited Liability Company
有限责任公司所需其它补充文件

*Same as the Corporate account, you are required to fill in the following information.

Please refer to the Corporate account opening section for details.

与公司账户相同, 您需要填写以下信息。有关填写内容与注意事项请参考[公司帐户](#)部分。

Entity Information

请填写机构资料

Entity
申请机构

<input type="checkbox"/>	ENTITY INFORMATION 申请机构信息	01
<input type="checkbox"/>	CONTACT INFORMATION 联系人信息	02
<input type="checkbox"/>	INVESTMENT EXPERIENCE 投资经验	03
<input type="checkbox"/>	ACCOUNT USAGE 账户用途	04
<input type="checkbox"/>	FINANCIAL INFORMATION 财务信息	05
<input type="checkbox"/>	BANK INFORMATION 银行信息	06
<input type="checkbox"/>	TAX INFORMATION 税务信息	07

Step 4 Upload the Credentials and Document 第四步 上传证件资料



Pack and download all the required documents
打包下载全部所需文档

CREDENTIALS / 证件类

 Government issued, copy of front 身份证(正面)	 Government issued, copy of back 身份证(反面)	 Proof of Address 地址证明	 Recent Client Statement 客户结单
 Latest Audited Financial Statement 最近的审计财务报表	 Letter of Good Standing 公司状况良好说明	 Articles of Incorporation or Organization Documents 公司章程或组织文件	 Chinese Corporation: credit report 中国公司: 公司信用证明
 Corporate or Limited Liability Company Account Agreement Resolution 公司或有限责任公司账户协议和决议	 Identification of all individuals that own a 10% or more interest(copy on front) 持有10%或以上利益的个人的身份证明(正面)	 Identification of all individuals that own a 10% or more interest(copy on back) 持有10%或以上利益的个人的身份证明(反面)	

ADDITIONED REQUIRED FORMS / 文档类

 ADDITIONAL RISK DISCLOSURE STATEMENT 附加风险披露表格	 NON-PROFESSIONAL SELF-CERTIFICATION FORM CME非专业人员的自我认证表格
< Previous / 上一步 Continue / 继续	

*Based on the suggestion on this screen, please upload all required files. If you miss any additional document during the application process, this is the right place to supplemental them.

您可以根据这一页的建议上传所需证明和资料。如果您在申请过程中缺失任何附加文件，可以借此补充文件（下载、签署并上传）。

*CREDENTIALS: Accept jpg, png, bmp and gif

ADDITIONED REQUIRED FORMS: Accept PDF

证件类文件上传，限制为图片类型格式文件；

文档类文件上传，限制为PDF格式。



Step 5 Sign Agreement 第五步 签署协议

*After reading and confirming the agreement, you need to upload a photocopy of all required signatures signed on a clean sheet of paper. 在阅读并确认协议内容后，您需要提供所有所需签名（请在白纸上签名并拍照上传）。

*Please note that entity should provide the signature of its authorized signer. 请注意，机构的签名必须为授权签署人的签名。

*Please note that for joint accounts, both applicant and the joint person's signatures are required; for partnership accounts, all **General Partners' signatures** are required. 请注意，如果是联名账户，申请人和联名人都需要上传签名；如果是合伙人账户，所有**普通合伙人**都需要上传签名

Download PDF / 下载PDF

All / 全选

I have read and agreed to sign the above agreement
我已阅读并同意签署以上协议内容

DECLARATION INFORMATION 声明信息

中文 | ENGLISH

Applicant agrees under penalty of perjury, that all information input during the application process is complete and accurate to the applicant's ability. Further, the Applicant agrees to submit any material changes to compliance@huataiusa.com. By signing the Electronic Signature below, the applicant acknowledges that it is authorizing Huatai Financial USA under the Fair Credit Reporting Act permission to obtain any information submitted on this application from credit reporting entities and any other third party as necessary. This information will be obtained by Huatai Financial USA to comply with Huatai Financial USA AML policies and to attempt to avoid transactions initiated as a result of identity theft. Please be advised that an Electronic Signature should be provided by the individuals in accordance with procedures outlined in the applicants formation articles/documents.

UPLOAD SIGNATURE PICTURE 上传签名图片

APPLICANT
申请人(陈大文)



Please upload a photocopy of all required signatures signed on a clean sheet of paper. This further confirms your agreement to the above documents and represents all information submitted is true and correct. We will strictly protect your privacy.
请申请人提供所有所需签名（请在白纸上签名并拍照上传）。以此方式代表您已确认签署以上您同意的各项文件，并认同此签名方式真实有效。我们会严格保护您的个人隐私。

< Previous / 上一步

Continue / 继续



Step 6 Preview Application

第六步 申请预览

Confirmation

确认开户信息

APPLICANT
申请人(陈大文)

Click the icon to preview the Application Form in both English and Chinese, if there is no need to change any thing, you can go to the next step. 点击图标下载完整的开户书，您填写的中文 / 英文版本的开户书可被自动下载。您查看并确认后，可继续至下一步。



Preview PDF / 预览PDF

< Previous / 上一步

Continue / 继续

Step 7 Complete Application

第七步 申请成功

Congratulations on the completion.

恭喜您成功申请账户

We will notify you of the result in 7 - 15 business days, via email, you will be able to access your account using your registered email address and password then

我们将在7-15个工作日内通过邮件通知您申请结果，届时您可以使用您登记的注册邮箱，登录并查看账户信息。

Futures Account with Huatai USA
华泰美国期货账户开立

Pending...
正在受理

< Finish / 完成

Continue / 继续开户



华泰金融美国公司
HUATAI FINANCIAL USA INC

更多信息请咨询华泰美国

For more information, please contact us.

联系方式 / Contact us

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电话 / Phone : US 833-213-0635 | CH 400-628-0888

电邮 / Email : service@huataiusa.com

网站 / Website : www.huataiusa.com

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期货期权交易风险较高，不适合所有投资者。能够承担超过保证金损失风险的投资者，应仔细考虑期货期权交易是否适合您，同时应考虑到您的投资经验、资金情况、交易目标、市场的不确定性以及其他相关情况。过去的投资表现并不预示未来的结果。