



账户号码

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

# IRA Online Service Agreement 退休账户电子交易服务合约

Name on Account 账户注册姓名		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	

## Account Agreement 账户合约

Rule 14b-1(c) of the Securities Exchange Act, requires us to disclose to an issuer, unless you object, upon their request the name, address and securities position of our customers who are beneficial owners of the issuer's securities which are held by us 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 Firstrade Securities Inc. which clears all transactions through Apex Clearing. I acknowledge, by signing this agreement, that I have received, read and understand the terms and conditions in the Firstrade Securities Inc. Account Agreement (which includes the Electronic Services Agreement, Privacy & Security Policy), and Information Guide, and agree to abide by these terms and conditions as they apply to my account. I further acknowledge that these terms and conditions may be amended from time to time and agree to abide by these changes.

I acknowledge, by signing this agreement, that I have received, read, understand and agree to the terms and conditions as described in the Apex Clearing Corporation Adoption Agreement and Custodial Agreement. I understand the eligibility requirements for the type of IRA deposit I am making and state that I do qualify to make the deposit.

I agree to participate in the FDIC sweep program. I have read and understand the sweep program terms and conditions available at [www.firstrade.com/fdicterms](http://www.firstrade.com/fdicterms) and the paragraph 6 of Firstrade Securities Inc. Account Agreement.

I agree that Firstrade 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 Firstrade 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.

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

**W-9 Certification:** under penalties of perjury, I certify that: 1. the number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and 2. 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 all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and 3. I am a U.S. citizen or other U.S. person (defined below); and 4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct. Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are: ~ An individual who is a U.S. citizen or U.S. resident alien; ~ A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States; ~ An estate (other than a foreign estate); or ~ A domestic trust (as defined in Regulations section 301.7701-7).

**E-DOCUMENTS ENROLLMENT:** I acknowledge that I will receive trade confirmations, account statements, tax-related documents, proxies, prospectuses, and other eligible account documents electronically. An e-mail notification will be sent to my e-mail address on the same day that any electronic documents become available. If a valid email address is not provided, I will receive paper copies of account documents by regular mail to my address on record. I will be responsible for any fees that may apply.

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

X

Applicant's Signature 申请人签名

Date 日期

### 第一证券专用

Approved By: \_\_\_\_\_

Date: \_\_\_\_\_

Account #: \_\_\_\_\_

Customer ID  
Verified: \_\_\_\_\_

Yes  
No



## Self-directed Trading Account Risk Disclosure

All FirstTrade Accounts are self-directed. Customers are solely responsible for any and all orders placed in their Accounts and understand that all orders entered by them are unsolicited and based on their own investment decisions or the investment decisions of their duly authorized representative or agent. Consequently, any customer of FirstTrade agrees that neither FirstTrade nor any of its employees, agents, principals or representatives:

- solicit orders;
- recommend any security, transaction orders;
- provide investment advice in relation with FirstTrade account;
- make discretionary trades;
- produce or provide research;
- act as a market maker in any security;

The research materials that are available through [www.firsttrade.com](http://www.firsttrade.com) are intended for informational and educational purposes only. They do not constitute a recommendation to place an order or engage in any investment strategies.

All securities trading is speculative in nature and involves substantial risk of loss. It is very important that Customers understand all the risk of any form of trading. The U.S. Securities and Exchange Commission websites - <https://www.sec.gov> , <https://www.investor.gov>, and FINRA - <http://www.finra.org>, provide useful information for investors.