



账户号码

Account Number: _____

Online Service Agreement 电子交易服务合约

此部份请用英文填写

Name on Account 账户注册姓名	Social Security Number 社会安全号码
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Joint Applicant's Name 账户共同持有人姓名	Social Security Number 社会安全号码
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Home Address 住址 (请勿填写邮政信箱)	City 城市	State 州	Zip Code 邮政编码
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Home Telephone 住家电话	Work Telephone 公司电话	E-mail Address 电子邮件地址
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Account Agreement 账户合约

Rule 14b-1(c) of the Securities Exchange Act, unless you object, requires us to disclose to an issuer, upon its request, the name, address, and securities position of our customers who are beneficial owners of the issuer's securities, which are held by Apex Clearing ("Apex") 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 Firsttrade Securities Inc. ("Firsttrade") which clears all transactions through Apex. I acknowledge, by signing this agreement, that I have received, read and understand the terms and conditions in the Firsttrade's [Customer Relationship Summary](#) and agree to the terms outlined in Firsttrade's [Terms and Conditions](#), including the [Self-directed Trading Account Risk Disclosure](#), [Extended Hours Trading Disclosure](#), [Firsttrade Exchange Traded Products \(ETPs\) Disclosure](#), [Fractional Share Trading Disclosure](#), [FINRA Public Disclosure Program](#), [Privacy Policy](#), and [Electronic Services Agreement](#), 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 agree that Firsttrade 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 Firsttrade 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.

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

I further acknowledge that I have received, read and understand the predispute arbitration clause located in the [Firsttrade Customer Account Agreement](#), Section 35, and agree to resolve any disputes arising out of my account by arbitration.

I further acknowledge that I have received, read and understand the [Margin Risk Disclosure Statement](#) provided by Firsttrade.

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

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

Applicant's Printed Name 申请人姓名(请以中文正楷填写)	Joint Applicant's Printed Name 共同申请人姓名(请以中文正楷填写)
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X

X

Applicant's Signature 申请人签名(请与证件相同)	Date 日期	Joint Applicant's Signature 共同申请人签名(请与证件相同)	Date 日期
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For Office Use Only

☐ Margin ☐ Cash

Approved By: _____	Date: _____	Account #: _____	Customer ID Verified: ☐ Yes ☐ No
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