



賬戶號碼

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

## Online Service Agreement 電子交易服務合約

此部份請用英文填寫

Name on Account 賬戶註冊姓名 Social Security Number 社會安全號碼

Joint Applicant's Name 賬戶共同持有人姓名 Social Security Number 社會安全號碼

Home Address 住址 (請勿填寫郵政信箱) City 城市 State 州 Zip Code 郵遞區號

Home Telephone 住家電話 Work Telephone 公司電話 E-mail Address 電子郵件地址

### Account Agreement 賬戶合約

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. 本人確認此賬戶申請表所填寫的資料準確無誤。

Applicant's Printed Name 申請人姓名(請以中文正楷填寫)

X

Joint Applicant's Printed Name 共同申請人姓名(請以中文正楷填寫)

X

Applicant's Signature 申請人簽名(請與證件相同)

Date 日期

Joint Applicant's Signature 共同申請人簽名(請與證件相同)

Date 日期

### For Office Use Only

☐ Margin☐ Cash

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

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

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

Customer ID  
Verified: \_\_\_\_\_☐ Yes☐ No