



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	
Joint Applicant's Name 账户共同持有人姓名		Social Security Number 社会安全号码	
Home Address 住址 (请勿填写邮政信箱)	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, 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 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 Firstrate 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 Firstrate Securities Inc. Account Agreement (which includes the Electronic Services Agreement and Margin Agreement), and agree to be bound by these terms and conditions as they apply to my account as amended from time to time. I agree that Firstrate 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 Firstrate 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 that may exceed the principal invested.

In accordance with the Firstrate Securities Account Agreement, I agree that all debts and other obligations owed to Firstrate 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 Firstrate accounts, whether individually or jointly held with others, or in any other Firstrate account in which I have an interest.

**I further acknowledge that I have received, read and understand the predispute arbitration clause located in the Firstrate Securities Inc. Account Agreement, paragraph 23, 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 Disclosure Statement provided by Firstrate Securities Inc.

**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 authorize Apex Clearing and/or Firstrate 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 Firstrate 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)	
<b>X</b>		<b>X</b>	
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

### 第一证券专用

Margin  Cash

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.