FIRSTRADE®
133-25 37th Ave., Flushing, NY 11354
Tel:1-800-869-8800 Fax:1-718-961-3919
Member FINRA/SIPC

账户号码

Account Number:_____

Online Service Agreement电子交易服务合约

Name on Account帐户註册姓名 | Social Security Number社会安全号码

Joint Applicant's Name共同持有申请人姓名 | 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

Would you like your existing brokerage account transferred to Firstrade? 您是否想将您现有的经纪帐户转至第一理财？

☐ Yes, transfer my existing brokerage account to Firstrade.
是的，请将我现有的经纪帐户转至第一理财。(相关表格会邮寄给您，或至第一理财网站 www.firstrade.com/china下载)

☐ No, not at this time. 否。

Account Agreement帐户合约

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 Penson Financial 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 Penson Financial. 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 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 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 that may exceed the principal invested.

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

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 account by arbitration.

I further acknowledge that I have received, read and understand the Margin Disclosure Statement provided by Firstrade Securities Inc.

W-9 Certification: Under penalties of perjury, I certify (1) that the number shown on this application is my correct taxpayer identification number and (2) that I am not subject to backup withholding and (3) that I am a U.S. person (including a resident alien); provided, however, if I am a nonresident alien as disclosed in this application, I do not certify that I am a U.S. person and I understand that I must submit the appropriate W-8 Form. If I have been notified by the IRS that I am subject to backup withholding as a result of dividend or interest underreporting, I must cross out the text contained in clause (2) of this section and I understand I will be subject to backup withholding. I understand that the IRS does not require my consent to any further provisions of this Agreement.

I authorize Penson Financial and/or Firstrade 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, Penson Financial 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 Penson Financial to provide to Firstrade the reason(s) for such denial.

I acknowledge that the information provided in the Account Application is accurate and correct. 本人确认此帐户申请表所填写的资料準确无误。

X | X

Applicant's Signature申请人签名 | Date日期 | Joint Applicant's Signature共同申请人签名 | Date日期

第一理财专用 ☐ Margin ☐ Cash

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