



帳戶號碼

Account Number: _____

IRA Online Service Agreement 退休帳戶電子交易服務合約

| | | | |
|----------------------------|---------------------|-------------------------------|---------|
| Name on Account 帳戶註冊姓名 | | Social Security Number 社會安全號碼 | |
| Home Address 住址 (不可填寫郵政信箱) | | 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 帳戶合約

Rule 14b-1(c) of the Securities Exchange Act, requires us to disclose 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 Firstrate 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 Firstrate Securities Inc. Account Agreement 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 Penson Financial Services, Inc. "Disclosure Statement" 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 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.

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 IRA account by arbitration.

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) I am an U.S. Person (including a resident alien). 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 acknowledge that the information provided in the Account Application is accurate and correct. 本人確認此帳戶申請表所填寫的資料準確無誤

X

Applicant's Signature 申請人簽名

Date 日期

第一理財專用

Approved By: _____

Date: _____

Account #: _____

Customer ID Verified:

Yes

No