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

帳戶號碼
Account Number:_____

Online Service Agreement 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

Joint Applicant's Name帳戶共同持有人姓名 | 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

Would you like your existing brokerage account transferred to Firstrade? 您是否想將您現有的證券經紀帳戶轉至第一理

☐ Yes, transfer my existing brokerage account to Firstrade.
是的，請將我現有的證券經紀帳戶轉至第一理財。(相關表格會郵寄給您，或至第一理財網站 www.firstrade.com/chinese下載)

☐ No, not at this time. 否。

Account Agreement 帳戶合約

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 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

X _____ Joint Applicant's Signature共同申請人簽名 | Date日期

第一理財專用 ☐ Margin ☐ Cash

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