



30-50 Whitestone Expressway
 Ste. A301, Flushing, NY 11354
 Client Services: (800) 869-8800
 From Overseas: (718) 961-6600

PENNY FOR THE LOT 申請表

CUSTOMER INSTRUCTION & ACKNOWLEDGEMENT 客戶指示與確認書

Please fill, sign & return to your broker. 請填寫、簽署並交回您的券商。

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| ACCOUNT NO. 賬戶號碼 | |
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You hereby instruct Apex Clearing Corporation (“Apex”) and your introducing broker-dealer to sell the securities from your account to Apex for one penny for the lot. As a result, you will have no further claim to the securities. Apex makes no claims regarding future value.

Positions held in physical form (identified as being held in account type” L” on your statement) require a completed stock power in order to be processed. Please discuss with your introducing broker-dealer if you have any questions. Please use additional pages if necessary.

您特此指示 Apex Clearing Corporation (「Apex」) 及您的券商，將您帳戶中的股票以整批一分錢出售予 Apex。完成後您將不再對該等證券享有任何權利，Apex 對未來價值不作任何預測。

以實體形式持有之證券 (於對帳單中標示為帳戶類型「L」) 需提交完整填寫之股票過戶授權書 (stock power) 方可處理。如有任何疑問，請與您的券商聯繫。如有需要，請使用附加頁。

| Number of Shares 股數 | Security Description 股票名稱 | Symbol/CUSIP 股票代碼 |
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The undersigned hereby agree(s) to sell to Apex, and request(s) that Apex purchase the securities described above in the amounts stated for a purchase price of one penny (\$0.01). The undersigned represents(s) that he/she/they is/are the owner of the securities described above in the amounts stated. The undersigned is advised to check with his/her/their tax advisor to confirm this course of action will produce no unintended results to his/her/their tax return(s).

The undersigned further agrees to hold Apex harmless from and against any and all claims, demands, causes of action, obligations and liabilities of any kind which arise out of, or are in any

manner whatsoever connected with or related to this sale.

簽署人同意將上述股票依所列數量以一分錢 (\$0.01) 出售予 Apex，並請求 Apex 以該價格購買上述所列股票。簽署人聲明其為上述股票之合法持有人，且持有數量與所列一致。建議簽署人就此交易行為向其稅務顧問諮詢，以確認不會對其報稅產生任何非預期之影響。

簽署人進一步同意，就本次出售所引起或以任何方式相關之任何及所有索賠、要求、訴因、義務及責任，對 Apex 予以免責及賠償。

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|--|---|-------------------|
| Shareholder's Printed Name 股票持有人姓名 | Shareholder's Signature 股票持有人簽名 | Date 日期 |
|--|---|-------------------|

| | | |
|--|---|-------------------|
| Joint Shareholder's Printed Name 股票共同持有人姓名 | Joint Shareholder's Signature 股票共同持有人簽名 | Date 日期 |
|--|---|-------------------|