



800 E. Colorado Blvd., Suite 100, Pasadena, CA 91101  
Tel: (626) 796-9888; Fax: (626) 792-6888; Toll Free: (888) 268-7999  
[www.etchsecurities.com](http://www.etchsecurities.com) Member NASD ♦ SIPC

**Acknowledgement of the Customer(s)**

I/we, by this Application, request to establish an account with Etech Securities, Inc.(ESI). I/we understand that ESI is a fully disclosed broker-dealer delivers all trades through its clearing agent to the appropriate market or market makers for execution. I/we accept full responsibility for and understand that my/our investment decisions and trading strategies are conducted at my/our sole discretion and my/our personal risk. Our clearing firm will hold all securities, dividends and proceeds for my/our account unless otherwise instructed and will provide my/our name to corporations for corporate communications and shareholder information for securities held in my/our account, unless otherwise instructed in writing.

I/we acknowledge that I/we have received, read, and understood the terms and conditions agreement governing my/our account with ESI, which is available at [www.etchsecurities.com](http://www.etchsecurities.com) or by calling 626-796-9888, and is incorporated herein by reference (collectively "Agreements"). I/we acknowledge that these Agreements together represent a binding legal contract between us. I/we understand that my/our use of your service is conditioned upon my/our continued acceptance of these Agreements, which may be amended from time to time at ESI's sole discretion.

**By signing this application, I/we also accept a pre-dispute arbitration clause**, in which I/we waive my/our right(s) to assert a claim against ESI and any other affiliated persons and companies in a civil court and designate binding arbitration as my/our sole source for such redress against ESI and affiliated persons or companies. I/we release and agree to indemnify and hold harmless ESI from any and all liability and claims for damages resulting from any reasonable action taken by ESI pursuant to the authority vested to it by these Agreements or by operation of law or applicable regulation. I/we further warrant my/our understanding of: (1) Arbitration is final and binding on the parties; (2) Pre-arbitration discovery is generally more limited than, and different from, court proceedings; (3) The arbitrator's award is not required to include factual findings or legal reasoning, and any party's right to appeal or to seek modification or rulings by the arbitrators is strictly limited. (4) The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

By my/our signature(s) below, I/we attest, under penalty of perjury, to the following: (1) that I/we am/are able to understand the English language or, if not, that I/we have had someone independent of Etech Securities, Inc. read and interpret any such account opening documents for you prior to signing same. (2) That I/we am/are of legal age to be bound to these Agreements; (3) that the information I/we have provided your by way of this application is true, correct, and accurate to the best of my/our knowledge; (4) that I/we also agree to timely update you in writing if any material change occurs in either my/our financial profile or investment objectives; (5) that the Social Security Number and/or Tax ID number shown on this form is my/our correct taxpayer ID number(s); (6) that I/we am/are not subject to backup withholding; and (7) that if I/we have been notified by the IRS that I/we am/are subject to backup withholding as a result of dividend or interest underreporting, I/We must cross out (6) in this certification and initial same in the margin.

For Use by individuals, including joint accounts:

For use by entity accounts only

\_\_\_\_\_ Date \_\_\_\_\_  
Account Holder's Signature

\_\_\_\_\_ Customer Name

\_\_\_\_\_ Print Name

\_\_\_\_\_ Signature & Date

\_\_\_\_\_ Date \_\_\_\_\_  
Joint Account Holder's Signature

\_\_\_\_\_ Name & Title of Signatory

\_\_\_\_\_ Print Name