

Robinhood Account Application

Robinhood Profile

Robinhood Username	shg047
First Name	Shicheng
Last Name	Guo
Email Address	Shicheng.Guo@hotmail.com

Contact Information

Address	3373 Lebon Dr Apt 203
City	San Diego
State	California
ZIP Code	92122-5210
Phone Number	(281) 685-5882

Additional Information

Date of Birth	1986-02-28
Social Security Number	XXX-XX-XXXX
Citizenship	China
Marital Status	Single
Number of Dependents	0
Employment Status	Employed
Control Person	No
Security-Associated Employee	No

Acknowledgements

By clicking the "Submit Application" button, I agree to this Robinhood Financial Brokerage Application Agreement (this "Application Agreement"). I also agree to the terms of the [Robinhood Terms and Conditions](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/Robinhood%20Terms%20and%20Conditions.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/Robinhood%20Terms%20and%20Conditions.pdf>), [Apex Customer Account Agreement](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/APEX%20CUSTOMER%20AGREEMENT.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/APEX%20CUSTOMER%20AGREEMENT.pdf>), [Robinhood Financial Customer Agreement](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Customer%20Agreement.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Customer%20Agreement.pdf>), [RHF Use and Risk Disclosures](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20USE%20AND%20RISK%20DISCLOSURES.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20USE%20AND%20RISK%20DISCLOSURES.pdf>), [RHF PFO Disclosure](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20PFO%20Disclosure.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20PFO%20Disclosure.pdf>), [RHF Business Continuity Plan Summary](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Business%20Continuity%20Plan%20Summary.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Business%20Continuity%20Plan%20Summary.pdf>), and [FINRA Public Disclosure Program](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20FINRA%20Public%20Disclosure%20Program.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20FINRA%20Public%20Disclosure%20Program.pdf>), which are incorporated by reference and constitute part of this Application Agreement.

In addition, I may, in the future, receive from You supplemental disclosures, terms, and agreements that pertain to certain account types, features, or services. References to this Application Agreement include such supplemental disclosures, terms, and agreements. Capitalized, undefined terms in this Application Agreement have the meaning given in the Robinhood Financial Customer Agreement. I agree to read this Application Agreement and all incorporated disclosures, terms, and agreements carefully and retain copies for My records.

☒ Instant Settlement Agreement

This Robinhood Instant Agreement (the "Instant Agreement") sets forth the terms and conditions for a Robinhood Financial LLC ("Robinhood Financial") customer ("I"), to open the type of margin account described herein as "Robinhood Instant."

Robinhood Instant is a service offering margin accounts that allow customers to trade using unsettled funds up to the amount in their Robinhood Instant account. Robinhood Instant requires a minimum deposit of \$2,000 or 100 percent of the purchase price—whichever is less—in the account before purchasing a security.

I understand that I have the option to borrow funds in my Robinhood Instant account, provided I meet the necessary requirements and receive the approval of Robinhood Financial. I acknowledge it is important that I fully understand the risks involved in trading securities on margin as described in the [Margin Disclosure Statement](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Margin%20Account%20Disclosure.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Margin%20Account%20Disclosure.pdf>).

Robinhood Financial will monitor trading activities in Robinhood Instant accounts and alert those customers at risk of qualifying as "pattern day traders". A pattern day trader, as defined under FINRA Rule 4210(f)(8)(B), is any customer who executes four or more day trades within five business days, provided the number of day trades is more than six percent of the total trades in the account during that period. All Robinhood Instant accounts designated as a pattern day trading accounts will be required to maintain \$25,000 equity at all times in order to continue day trading. I acknowledge it is important that I fully understand the risks involved in day trading securities, as described in the [Day Trading Risk Disclosure](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Day%20Trading%20Risk%20Disclosure.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Day%20Trading%20Risk%20Disclosure.pdf>).

I understand that this Instant Agreement is not a recommendation to make a specific investment or use any specific investment strategy. Robinhood Financial provides no investment, legal or tax advice. Robinhood Instant is not necessarily suitable for everyone. I agree to examine my investment objectives, financial resources and risk tolerance to determine whether Robinhood Instant meets my investment needs.

By using a Robinhood Instant account, I acknowledge that I am subject to all other terms and conditions provided in the [Apex Customer Account Agreement](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/APEX%20CUSTOMER%20AGREEMENT.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/APEX%20CUSTOMER%20AGREEMENT.pdf>), [Robinhood Financial Customer Agreement](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Customer%20Agreement.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Customer%20Agreement.pdf>), [Apex Customer Margin and Short Account Agreement](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Margin%20Agreement.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Margin%20Agreement.pdf>), [Margin Disclosure Statement](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Margin%20Account%20Disclosure.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Margin%20Account%20Disclosure.pdf>), and [Day Trading Risk Disclosure](https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Day%20Trading%20Risk%20Disclosure.pdf) (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Day%20Trading%20Risk%20Disclosure.pdf>), which are incorporated by reference and constitute part of this Instant Agreement.

By clicking the "SUBMIT APPLICATION" button to the right, I: (1) acknowledge that I have read this Instant Agreement and all incorporated disclosures, terms and agreements carefully, and retained copies for my records; (2) authorize Robinhood Financial to accept instructions to allow for trading no more than the amount held in my Robinhood Instant account; and (3) agree to open, or convert my Robinhood Financial account into, a Robinhood Instant account under all of the aforementioned terms and conditions.

MY WARRANTIES AND REPRESENTATIONS

I represent and warrant that:

1. This brokerage account is not maintained by a current or former Politically Exposed Person or Public Official (includes U.S. and Foreign Individuals).
2. This brokerage account is not maintained by a Foreign Financial Institution as defined by Title 30 of the Code of Federal Regulations.
3. This brokerage account is not a Foreign Bank organized under foreign law and located outside of the United States as defined by Title 31 of the Code of Federal Regulations.
4. I have carefully reviewed, understand and agree to the terms and provisions of the following: Robinhood Terms and Conditions (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/Robinhood%20Terms%20and%20Conditions.pdf>), Apex Customer Account Agreement (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/APEX%20CUSTOMER%20AGREEMENT.pdf>), Robinhood Financial Customer Agreement (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Customer%20Agreement.pdf>), RHF Use and Risk Disclosures (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20USE%20AND%20RISK%20DISCLOSURES.pdf>), RHF PFO Disclosure (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20PFO%20Disclosure.pdf>), RHF Business Continuity Plan Summary (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Business%20Continuity%20Plan%20Summary.pdf>) and FINRA Public Disclosure Program (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20FINRA%20Public%20Disclosure%20Program.pdf>).
5. All information provided in this application is accurate. You can rely on and are authorized to verify this information, and I will promptly notify You of any changes.
6. I consent to receive all future brokerage account information electronically.
7. Clicking the "Submit Application" button is equivalent to My written signature, and I understand that I am entering into legal agreements.
8. I HAVE READ THE APEX CUSTOMER ACCOUNT AGREEMENT (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/APEX%20CUSTOMER%20AGREEMENT.pdf>), WHICH CONTAINS A PREDISPUTE ARBITRATION CLAUSE (SECTION 8 ON PAGES 2 AND 3) AND AGREE IN ADVANCE TO ARBITRATE ANY CONTROVERSIES WHICH MAY ARISE BETWEEN OR AMONG ME, YOU, AND/OR APEX IN ACCORDANCE WITH SUCH SECTION 8.
9. I HAVE READ THE ROBINHOOD FINANCIAL CUSTOMER AGREEMENT (<https://d2ue93q3u507c2.cloudfront.net/assets/robinhood/legal/RHF%20Customer%20Agreement.pdf>), WHICH CONTAINS A PREDISPUTE ARBITRATION CLAUSE (SECTION 29).
10. THE INFORMATION I HAVE PROVIDED IN THIS APPLICATION IS ACCURATE.
11. I AGREE TO NOTIFY YOU PROMPTLY REGARDING ANY CHANGE IN THE INFORMATION PROVIDED ON THIS APPLICATION.

RULE 14b-1(c)

I acknowledge that Rule 14b-1(c) of the Securities Exchange Act, unless I object, requires You to disclose to an issuer, upon its request, the names, addresses, and securities positions of Your customers who are beneficial owners of the issuer's securities held by You in nominee name. The issuer would be permitted to use My name and other related information for corporation communication only. If I object, I will send an email to support@robinhood.com (<mailto:support@robinhood.com?subject=Rule%2014b-1%28c%29%20objection>) with "Rule 14b-1(c) objection" in the subject.

W-9 CERTIFICATE

Under penalties of perjury, I certify that: (1) the number shown on this form is My correct taxpayer identification number (or I am waiting for a number to be issued to Me), and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified Me that I am no longer subject to backup withholding, and (3) I am a U.S. citizen or other U.S. person (defined below).

If I have been notified by the IRS that I am currently subject to backup withholding because I have failed to report all interest and dividends on My tax return, I will send an email to support@robinhood.com (<mailto:support@robinhood.com?subject=Backup%20Withholding>) with "Backup Withholding" in the title.

Definition of a U.S. person. For federal tax return purposes, I am considered a U.S. person if I am: An individual who is a U.S. citizen or U.S. resident alien, a partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, an estate (other than a foreign estate), or a domestic trust (as defined in Regulations section 301.7701-7).

The Internal Revenue Service does not require My consent to any provisions of this document other than the certifications required to avoid backup withholding.

MY AUTHORIZATION AND MY AGREEMENT

I authorize You and/or Apex 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 brokerage account. Upon My written request, You and/or Apex 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 brokerage account is denied by Apex, as a result of the consumer report verification, I authorize Apex to provide to You the reason(s) for such denial.

BY CLICKING ON THE "SUBMIT APPLICATION" BUTTON, I AGREE TO THIS APPLICATION AGREEMENT.

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