



Hilltop Securities Inc. and/or Broker/Dealers for which it clears
 Hilltop Securities Inc. - Member: NYSE/ FINRA/ SIPC

New Account
 Account Update

New Account Application Addendum

A New Account Application Addendum(s) must be completed, if there are (1) more than two account applicants, (2) additional persons with trading authority, or (3) for foreign entities having additional beneficial owners with an interest of 10% or more. Please use a separate Addendum for each such person or entity.

1. Account Applicant Not Listed on Primary Application

Account Name on Primary New Account Application: _____

Individual's Capacity with Account/ Entity (i.e. Trustee, Partner, Officer Title, Director, Shareholder, etc.): _____

Percentage of Account/Entity Ownership Interest: _____

2. Customer Information

Name of Applicant/ Custodian (First, Middle, Last) or Business/ Trust/ Entity Name Social Security #/ Tax ID # Date of Birth (Month/Day/Year)

Physical/ Home Address (P.O. Box is not acceptable) City State/ Province Country Zip Years at Residence

Mailing Address (P.O. Box is acceptable if physical address provided above) City State/ Province Country Zip

Home Phone Number Cell Phone Number Fax Number Email Address

3. Customer Identification

USA PATRIOT Act - Important Information About Opening A New Account

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means to you: When you open an account, we will require your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

Driver's License Passport/Visa Other _____

Issuer: _____ ID Number: _____

Date of Issuance (If applicable): _____ Date of Expiration (If applicable): _____

4. Customer Profile

Marital Status: Single Married Divorced Widowed Number of Dependents: _____

Citizenship Status: U.S. Citizen Resident Alien Non-Resident Alien (If a Non-Resident Alien, you must provide a valid government-issued photo ID and a completed W-8BEN) Country of Citizenship if Non-U.S.: _____

Employer (If self-employed or retired, specify type of business.) Occupation/Job Title Business Telephone

Employer's Address City State/Province Country Zip

Estimated Net Worth: \$ _____ Annual Income: \$ _____

5. Customer Affiliations and Disclosures

Indicate the affiliation of yourself, your spouse, or any other immediate family members (i.e. parents, siblings, children or in-laws) with the following (Please include name and relationship as is applicable):		Self	Family Member
A. Employed by or associated with the securities industry or a financial regulatory agency? (If yes, please specify the entity name and address to which duplicate account mailings should be sent, as well as including a letter from employer approving this account.):	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
B. An officer, director or 10% (or more) shareholder in a publicly-owned company? (If yes, please specify company name and trading symbol.):	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
C. A senior military, governmental or political official in either the U.S. or a foreign jurisdiction? (If yes, identify the name of the official, office held, and country.):	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
D. Are you an accredited investor as defined in SEC Rule 501 of Regulation D?	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes

X _____
 Applicant's Signature Date

X _____
 Applicant's Printed Name

高隆股票公司

Colonial Securities, Inc.
80 Bowery Room 603
New York, NY 10013

Acknowledgment of Disclosure Statements

Account Number: _____

To: Colonial Securities Inc.

I/We acknowledge that I/We have read, understand and received copies of the following disclosures. A Registered Representative or Manager at Colonial Securities Inc. has answered all of my questions and has addressed all of my concerns regarding these disclosures. I/We am fully aware of the risks associated with my investment objectives if I choose to engage in any of these trading activities. I/We understand that copies of the Forms included in my/our New Account Package can also be found on the Firm’s website: www.colonialsecurities.com.

- Form CRS
- New Account Form (Copy)
- Customer Agreement and Information Brochure
- Privacy Policy
- Business Continuity Plan (BCP) Disclosure Summary
- Penny Stock Risk Disclosure
- Extended Hours Trading Risk Disclosure
- ETF Risk Disclosure and/or Leveraged ETF Risk Disclosure
- Margin Disclosure Document, if Margin Account was opened
- Truth in Lending, if Margin Account was opened
- Characteristics and Risk of Standardized Options, if Account was approved for Options
- Special Statement for Uncovered Option Writers, if Account was approved for Options
- Account Transfer Notice (FINRA Educational Communication), if Account was Transferred

Account Holder Name

Account Co-Holder Name

Account Holder Signature

Account Co-Holder Signature

Date

Date

For Firm Use Only:

Method of Distribution: Hardcopy Electronic/Email

Colonial Securities, Inc. (CSI) is registered with the Securities and Exchange Commission (SEC) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC). CSI provides retail investors like you only brokerage services. CSI does not provide investment advisory services. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms like CSI at <https://www.Investor.gov/CRS>, which also provides educational materials about broker-dealers, investment advisers, and investing.

WHAT INVESTMENT SERVICES AND ADVICE CAN CSI PROVIDE ME?

Brokerage Services: CSI and its financial professionals can provide you brokerage services, accounts and investments including equities, exchange-traded funds, mutual funds, fixed income and municipal securities, and options. You do not need to have a minimum amount to invest to open a brokerage account with us, but some of the investments you may purchase through us have minimum investment requirements.

There is no minimum amount required if you open an investment account with our firm. We will provide you only brokerage services and we will not monitor your account. Through its clearing firm Hilltop Securities, CSI may provide you with execution, clearing and custody services. In providing brokerage services neither your financial professional nor CSI will provide investment advice in a fiduciary capacity for special compensation. Rather, any investment advice CSI provides in conjunction with brokerage services will be incidental to CSI's primary business as a broker-dealer, which is selling, buying and exchanging securities. It is your responsibility to decide whether or not to follow any recommendation by your financial professional. Neither CSI nor your financial professional exercise discretion over any assets in your account. CSI buys sells and exchanges many kinds of securities, but your financial professional may recommend only those securities he or she is licensed to recommend.

For additional information, please see the Firm's website www.colonialsecurities.com and new customer package.

Conversation Starters: Ask your financial professional –

- ✓ **Given my financial situation, should I choose a brokerage service? Why or why not?**
- ✓ **How will you choose investments to recommend to me?**
- ✓ **What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?**

WHAT FEES WILL I PAY?

The fees you pay are based on the specific transaction conducted and the costs associated with engaging our firm. With stocks or exchange-traded funds, this fee is usually a separate commission. With other investments, such as bonds, this fee might be part of the price you pay for the investment (called a "mark-up" or "mark down"). With mutual funds, this fee (typically called a "load") reduces the value of the investment. Some investments (such as mutual funds and variable annuities) impose additional fees that will reduce the value of your investment over time. Also, certain investment such as variable annuities, have "surrender charges" to sell the investment. CSI's clearing firm, Hilltop Securities may charge additional fees, such as custodian fees, account maintenance fees, SEC fees, transfer fees, and account inactivity fees. CSI may share in some of these fees with HTS. The more transactions in your account, the more fees CSI may charge you. Therefore, CSI may have an incentive to encourage you to engage in transactions.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

For additional information, including a full list of fees charged please see Schedule A of the Correspondent Customer Information Brochure which is included in the New Customer Package.

Conversation Starter: Ask your financial professional –

- ✓ **Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be investment for me?**

WHAT ARE YOUR LEGAL OBLIGATIONS TO ME WHEN PROVIDING RECOMMENDATIONS? HOW DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO THEY HAVE?

When we provide you with a recommendation, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they affect the recommendations, we provide you. Here are some examples to help you understand what this means:

- Limited Investment Offerings: Our brokerage services and recommendations cover a limited selection of investments. Other firms could provide a wider range of choices.
- CSI has an incentive to buy and sell securities more frequently in order to increase its compensation.
- Revenue Sharing: CSI may earn additional compensation from its clearing firm when its customer use margin or have credit balances in an account.
- Third-Parties: Some mutual funds offered through CSI's clearing firm, Hilltop Securities may charge front end load and/or transaction fees. Investors should be aware that in some cases, there may be a similar mutual fund with no load or an Exchange Traded Fund (ETF) with a lower fee.

Conversation Starter: Ask your financial professional –
✓ **How might your conflicts of interest affect me, and how will you address them?**

For additional information, please see the Correspondent Customer Information Brochure which is included in the New Customer Package.

HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?

Your financial professionals receive a percentage of the fee revenue he or she generates for CSI. Fee revenue includes commissions, loads, contingent deferred sales charges and 12b-1 fees. The percentage of revenue paid to your financial professional may increase if he or she hits certain revenue thresholds. Therefore, your financial professional has an incentive to encourage you to buy and sell securities more frequently. Your financial professional also has an incentive to encourage you to move your account from another firm to CSI or from your retirement plan to CSI in order to increase his or her own compensation.

DOES YOUR FIRM OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?

Yes. CSI and some of our financial professionals have a disciplinary history.

All disclosures related to the Firm and/or its financial professionals can be reviewed on BrokerCheck which can be found at <https://finra.org> or visit <https://Investor.gov/CRS> for a free and simple search tool to research us and our financial professionals.

Conversation Starter: Ask your financial professional –
✓ **As a financial professional, do you have any disciplinary history? For what type of conduct?**

ADDITIONAL INFORMATION

You can find additional information about the services we provide, fees you pay, and conflicts of interest in your new account package. Your financial professional will provide you a copy. You may obtain a copy at <https://www.colonialsecurities.com>. You may also call (800) 272-7862 to request up-to-date information and request a copy of the CSI's relationship summary.

Conversation Starter: Ask your financial professional –
✓ **Who is my primary contact person?**
✓ **Is he or she a representative of an investment adviser or a broker-dealer?**
✓ **Who can I talk to if I have concerns about how this person is treating me**