

SOLO 401(K) PARTICIPANT ACCOUNT ADDENDUM

This form must be accompanied by the New Account Form (NEWF)

You have selected the option to open a Solo 401(k) Participant account. A Solo 401(k) Participant account is for the use of a business owner, business partner(s), and a spouse of these who is involved in the business. The business must not have any common law employees.

Who is opening this Solo 401(k) Participant account:

- Business Owner
 Eligible Spouse of Business Owner

There are three parties associated with a Solo 401(k) Plan: 1) the adopting employer (also referred to as the “Plan Sponsor”), 2) the plan administrator, and 3) the plan participant (also referred to as the “Solo 401(k) participant”). The business owner may represent all three parties. This addendum represents certain acknowledgements and certifications from the Solo 401(k) participant, named in the New Account Form attached to this addendum, regarding the Solo 401(k) Plan Adoption Agreement established by the Plan Sponsor named below.

ADOPTING EMPLOYER INFORMATION				
Name of Adopting Employer			Adopting Employer Federal Tax ID Number	
Business Address	City	State	Zip Code	Telephone Number

PLAN INFORMATION	
Name of Plan	
Plan Effective Date	Plan Administrator

PROTOTYPE DOCUMENT SPONSOR				
Prototype Document Sponsor				
Apex Clearing Corporation				
Business Address	City	State	Zip Code	Telephone Number
350 North St. Paul Street, Suite 1300	Dallas	Texas	75201	(214) 765-1300

SIGNATURE		
Please read the following Solo 401(k) Participant Account Terms and sign where indicated		
By opening this Solo 401(k) Participant account, I acknowledge and certify that I have reviewed and meet all eligibility requirements listed in the Plan identified above and the related Plan Adoption Agreement. I further acknowledge that the Plan Sponsor, is solely responsible for administering the plan in accordance with the provisions of the Plan and Plan Adoption Agreement. In no circumstance shall the Prototype Document Sponsor or the custodian of the assets for this account, Apex Clearing Corporation be construed as having been given, or having accepted any of this responsibility. I certify that all of the Adopting Employer, Plan Administrator and Plan information I have provided above is true and can be relied on by Apex Clearing Corporation to open this Solo 401(k) Participant account as an exempt, tax advantaged account, and I understand that if any information above is missing or incomplete, the account will not be opened. I further agree to provide Apex Clearing Corporation with a copy of the Plan and Plan Adoption Agreement promptly upon request. I indemnify and hold harmless Apex Clearing Corporation, its officers, directors, employees, agents, heirs, executors, successors, and assigns, from and against any and all liabilities, damages, judgments, settlements, losses, costs, charges, or expenses (including legal expenses) at any time arising out of or incurred in connection with any action taken by it in the performance of its duties with respect to this Plan.		
Signature of Participant	Name of Participant	Date