



## **E-Sign and Electronic Delivery Consent**

### **1. Introduction**

This E-Sign and Electronic Delivery Consent (the "Consent") allows Carta Capital Markets, LLC ("CCMX") to provide its customers with electronic versions of important notices and documents associated with products and services offered by CCMX. For purposes of this Consent, "CCMX" means CCMX, affiliates, successors and assigns and "Customer" means each applicant, account owner and anyone else with access to a CCMX account. If there is more than one owner, then Customer means each account owner separately, and all account owners jointly.

Customer agrees to transact business with CCMX electronically. By electronically signing an application for a CCMX Brokerage Account, Customer acknowledges and agrees that such electronic signature is valid evidence of Customer consent to be legally bound by that Agreement and such subsequent terms as may govern the use of CCMX Services. The use of an electronic version of any document fully satisfies any requirement that the document be provided to Customer in writing. Customer accepts notice by electronic means as reasonable and proper notice, for the purpose of any and all laws, rules and regulations.

### **2. Customer agrees to receive electronic Communications from CCMX**

CCMX is required by law to give Customer certain information in writing. With Customer's consent, CCMX may send that information to Customer electronically, in accordance with the federal Electronic Signatures in Global and National Commerce Act ("E-Sign Act"). By accepting this document Customer consents to receive Communications in electronic form for any CCMX products, services, and accounts that Customer applies for or obtains, either now or in the future. "Communications" includes each disclosure, notice, agreement, privacy policy, statement, record, document, and other information that may be required or otherwise provided during the business relationship between Customer and CCMX. CCMX reserves the right to provide Communications in paper form. By accepting this document, Customer also consents to electronic submission and delivery of Customer's W-8 or W-9 and all related communications, notices, information and related documentation, and Customer instructs CCMX to accept Customer's signature on CCMX's site and to treat the signature as a valid digital signature on Customer's Form W-8 or W-9.

### **3. CCMX may Deliver Electronic Communications to Customer in Several Ways**

Electronic Communications may be posted to Customer online within Customer CCMX brokerage account and/or delivered to the email address Customer provides to CCMX. It is Customer's responsibility to keep Customer contact information associated with Customer's CCMX brokerage account current so that CCMX can send Customer electronic Communications. Customer can update Customer's email address and other contact information from Customer's account settings within Customer's CCMX brokerage account, or by contacting [support@cartacapitalmarkets.com](mailto:support@cartacapitalmarkets.com).

### **4. Customer can Withdraw Consent to Receive Electronic Communications**

Customer has the right to withdraw consent to receive electronic Communications. If Customer withdraws consent, CCMX will terminate Customer's CCMX brokerage account and related services, including Customer's use of the CCMX online applications. To withdraw consent, please contact CCMX at [support@cartacapitalmarkets.com](mailto:support@cartacapitalmarkets.com).

### **5. Customer Has the Right to Request Documents Physically (on Paper)**

Customer has the right to request any Communications covered by this Consent in physical, paper form. To receive a paper copy of any document that has been previously provided to Customer, please contact [support@cartacapitalmarkets.com](mailto:support@cartacapitalmarkets.com). There may be a cost for requesting paper documents, as described in the CCMX Fee Schedule. Future Communications will continue to be delivered electronically unless the Customer withdraws its consent, as described below. CCMX reserves the right to terminate CCMX's relationship with Customer, if CCMX is unable to support certain requests for paper documents.

## **6. Minimum System requirements for Accessing Electronic Communications**

To access electronic Communications, Customer will need certain browser and encryption software that meet the following requirements: 1) a mobile device running Apple iOS 10.0+ or Android 5.0+ (Lollipop); 2) a computer capable of running a modern web browser like Internet Explorer 11, Microsoft Edge, Safari 7+, Chrome 37+, or Firefox 32+; 3) the ability to view and retain Portable Document Format (PDF) files; and 4) the ability to receive text messages to allow for two-factor authentication.

By accepting this document Customer confirms that the electronic device Customer uses to access CCMX products and services meets the minimum specifications and requirements outlined above. If a change in these hardware or software requirements creates a substantial risk that Customer will not be able to access or retain electronic Communications, CCMX will provide Customer with notice of such change. Continued use of CCMX's electronic services after any such notice constitutes Customer's acceptance of the change and reaffirmation of Customer's consent.