



Account Application Package

- **Equities Custodial Account
(UGMA or UTMA - U.S. Residents Only)**
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Introduction	<p>TradeStation Securities, Inc. (“we”, “our” or “us”) is registered with the U.S. 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). Brokerage and investment advisory services and fees differ and it is important for you to understand these differences.</p> <p>Free and simple tools are available to research firms and financial professionals at https://www.investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers and investing.</p>
What investment services and advice can you provide me?	<p>We provide brokerage services to retail and institutional traders and investors, including the buying and selling of equities, ETFs, options, mutual funds and bonds (“Securities”). We don’t offer any of our own Securities. We do not offer investment advice.</p> <p>We also offer the <i>TradeStation</i> Desktop Platform (the “Platform”) through TradeStation Technologies, Inc., our affiliate. The Platform is a proprietary electronic trading platform that allows you to design, test and monitor your own custom trading and investment strategies, and then automate them with electronic order placement. You may also enter and monitor orders and perform some analytics via our mobile and web-based applications. We offer certain free real-time market data packages provided you qualify as a non-professional subscriber. Other market data packages and platform features are made available to non-professional and professional subscribers at extra cost, as described at: https://www.tradestation.com/pricing/market-data-pricing.</p> <p>TradeStation is an online broker for self-directed clients. We do not make recommendations regarding Securities, investment strategies or account types. We do not provide you with investment monitoring services, nor do we accept authorization from you to trade your account. You will make all decisions regarding the purchase or sale of Securities in your account, therefore it is your responsibility to understand the risks associated with your investment decisions. To learn more about the risks associated with trading, please visit: https://www.tradestation.com/important-information.</p> <p>For additional information about the services we provide, please visit: https://www.tradestation.com.</p> <p>Conversation starters: Ask your financial professional...</p> <ul style="list-style-type: none"> • 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?	<p>Commissions: Commissions are transaction-based fees charged by brokers. We offer a variety of pricing plans. Depending on the pricing plan chosen, you may be charged more fees when you trade more. Access to, and use of, the Platform features and functions are provided to you at no additional cost on certain pricing plans. Information about all available plans, including other trade and account-related costs, can be viewed at: https://www.tradestation.com/pricing.</p> <p>Interest: Margin and day trading allow you to leverage assets to increase your buying power. Margin interest rates vary per the size of your debit balance. These rates may be adjusted at our discretion. For additional information on margin rates, please visit: https://www.tradestation.com/pricing/margin-rates.</p> <p>Other: Margin accounts may be subject to Short Debit Fees for the maintenance of short positions in securities. Short Debit Fees may be increased from time to time in light of changing market conditions without prior notice. You may incur additional fees and costs related to brokerage services and investments including, but not limited to wire fees, account transfer fees, IRA account annual fees, inactivity fees and termination fees. For a full list of additional fees and costs that you may incur, please visit: https://www.tradestation.com/pricing/service-fees.</p> <p>If you custody or plan to purchase mutual funds with us, you should review the mutual fund prospectus for applicable fees, such as management fees and 12b-1 fees.</p> <p>You will pay certain fees and costs regardless of whether you make or lose money in your account. Fees and costs will reduce any amount of money you make on your investments over time. We encourage you to learn about all of the fees and costs associated with your account and trading activity.</p>

	<p>Conversation starters: Ask your financial professional...</p> <ul style="list-style-type: none"> 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 invested for me?
<p>What are your legal obligations to me when providing recommendations?</p> <p>How else does your firm make money and what conflicts of interest do you have?</p>	<p>We do not make recommendations regarding Securities, investment strategies or account types. The way we make money may create a potential conflict with your interests. You should learn about and ask us about these conflicts, because they may affect the services we provide. Here are some examples to help explain some potential conflicts.</p> <ul style="list-style-type: none"> a. We route certain equities and options orders to exchanges, electronic communication networks, and broker-dealers during normal business hours and during extended trading sessions. Some of these market centers may provide us with payment in exchange for us sending them your orders, and might also charge you access fees, depending upon the characteristics of the order and any subsequent execution. If you trade more frequently, the payments we receive from these venues may increase. The material aspects of our relationship with each such venue, including any payment for order flow arrangements, can be found in the SEC Rule 606 Report & Rule 607 Disclosure at: https://www.tradestation.com/important-information, and further details of these payments and fees are available to you upon written request. b. In addition, if you trade using margin, that means you are borrowing money from us to conduct your equities trading. The margin interest we charge you to borrow this money is revenue to us. The more you trade using margin, the more money we may earn. Please learn about the risks of margin trading at: https://www.tradestation.com/important-information. c. We receive a portion of the revenue generated from fully paid securities lent to other institutions. d. Some of our registered representatives may be dually employed by us and our affiliate, TradeStation Crypto, Inc. We manage this potential conflict so that it does not affect your dealings with either company. <p>For additional information about potential conflicts of interest, please visit our Important Documents page: https://www.tradestation.com/important-information.</p> <p>Conversation starters: Ask your financial professional...</p> <ul style="list-style-type: none"> How might your conflicts of interest affect me, and how will you address them?
How do your financial professionals make money?	<p>Some of our registered representatives may be paid a base salary and a monthly bonus based on certain metrics, such as the number of new customer accounts they open and the commissions generated by those accounts. Our registered representatives may also receive periodic bonuses based on a combination of job performance and our overall profitability as a company. Our registered representatives have an incentive to encourage you to try various TradeStation products and services which may result in you choosing to trade more frequently and/or to consider alternative asset classes.</p>
Do you or your financial professionals have legal or disciplinary history?	<p>Yes. You may visit: https://www.investor.gov/CRS or https://brokercheck.finra.org for free and simple tools to research us and our registered representatives.</p> <p>Conversation starters: Ask your financial professional...</p> <ul style="list-style-type: none"> As a financial professional, do you have any disciplinary history? For what type of conduct?
Additional Information	<p>You can obtain additional information about us and request a copy of this relationship summary by visiting: https://www.tradestation.com/important-information or by calling one of our specialists at 800.808.9336.</p> <p>Conversation starters: Ask your financial professional...</p> <ul style="list-style-type: none"> 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?

Equities, equity options, and commodity futures products and services are offered by TradeStation Securities, Inc. (Member NYSE, FINRA, CME and SIPC).

TradeStation Securities, Inc. is an SEC-licensed broker dealer and a CFTC-licensed futures commission merchant (FCM), and a member of FINRA, SIPC, CME, NFA and several equities and futures exchanges, which offers to self-directed investors and traders Equities accounts for stocks, exchange-traded products (such as ETFs) and equity and index options, and Futures accounts for commodity and financial futures and futures options (TradeStation Securities does not offer Crypto accounts).

TradeStation Crypto, Inc. is neither a securities broker dealer nor an FCM, and offers to self-directed investors and traders cryptocurrency brokerage services under federal and state money services business/money-transmitter and similar registrations and licenses (TradeStation Crypto is not a member of FINRA, SIPC, CME, NFA or any equities or futures exchange, and does not offer Equities or Futures accounts).

TradeStation Technologies, Inc. is a software development company which offers analytics subscriptions that self-directed investors and traders can use to chart, analyze and design back-tested strategies for Equities, Options, Futures, Forex and Crypto markets (TradeStation Technologies is not a financial services company).

TradeStation Crypto accepts *only* cryptocurrency deposits, and *no* cash (fiat currency) deposits, for account funding. In order for you to purchase cryptocurrencies using cash, or sell your cryptocurrencies for cash, in a TradeStation Crypto account, you must also have qualified for, and opened, a TradeStation Equities account with TradeStation Securities so that your cryptocurrency purchases may be paid for with cash withdrawals from, and your cryptocurrency cash sale proceeds may be deposited in, your TradeStation Securities Equities account. Therefore, if you want to open a TradeStation Crypto account, you must also have an Equities account with TradeStation Securities. This cash in your TradeStation Securities Equities account may also, of course, be used for your equities and options trading with TradeStation Securities.

TradeStation account services, subscriptions and products are designed for speculative or active investors and traders, or those who are interested in becoming one. No offer or solicitation to buy or sell securities, securities derivative or futures products of any kind, cryptocurrencies or other digital assets, or any type of trading or investment advice, recommendation or strategy, is made, given or in any manner endorsed by any TradeStation Group company, and the information made available on or in any TradeStation Group company website or other publication or communication is not an offer or solicitation of any kind in any jurisdiction where such TradeStation Group company or affiliate is not authorized to do business. Past performance, whether actual or indicated by historical tests of strategies, is no guarantee of future performance or success. There is a possibility that you may sustain a loss equal to or greater than your entire investment regardless of which asset class you trade (equities, options, futures, futures options, or crypto); therefore, you should not invest or risk money that you cannot afford to lose. System access and trade placement and execution may be delayed or fail due to market volatility and volume, quote delays, system, platform and software errors or attacks,

internet traffic, outages and other factors. The trademark "TradeStation®," as well as other trademarks, domain names and other proprietary intellectual property of TradeStation Group companies, are owned by TradeStation Technologies. The proprietary *TradeStation* platform is offered by TradeStation Securities for Equities (including equity options) and Futures trading. TradeStation Crypto offers its online platform trading services, and TradeStation Securities offers futures options online platform trading services, through unaffiliated third-party platform applications and systems licensed to TradeStation Crypto and TradeStation Securities, respectively, which are permitted to be offered by those TradeStation companies for use by their customers.

Please also read carefully the agreements, disclosures, disclaimers and assumptions of risk presented to you separately by TradeStation Securities, TradeStation Crypto, and TradeStation Technologies on the TradeStation Group company site and the separate sites, portals and account or subscription application or sign-up processes of each of these TradeStation Group companies. They contain important information, rights and obligations, as well as important disclaimers and limitations of liability, and assumptions of risk, by you that will apply when you do business with these companies.

Welcome.

How to Open Your TradeStation Account

Please complete this application in its entirety by typing your answers and information in the appropriate fields. **Please list your name exactly as it appears on your government issued photo identification.** You can save your progress at any point. Once completed, simply print and sign the application before sending it to us. You will need the latest version of the free Adobe Acrobat reader (<http://get.adobe.com/reader/>) to use the interactive features on this form. Alternatively you can print then complete the entire form using blue or black ink. Please do not use white-out.

To ensure that your account is opened as quickly and easily as possible, please use the check boxes on the right to make sure you've completed all applicable forms before returning this booklet.

Visit our website to view the funding instructions.

Please return your completed application and additional documentation to TradeStation via email, fax or regular mail:

- 1) **Email: newaccounts@tradestation.com**
- 2) **Post to the following address:**
TradeStation New Accounts
8050 SW 10th Street, Suite 2000
Plantation, FL 33324, USA

REQUIRED FORMS

- ☐ **Account Application and Agreements, Disclosures, Disclaimers and Assumption of Risks**

REQUIRED

Please complete all information carefully. You are representing to TradeStation that all information you provide is true, complete and accurate. Information provided under "Trading Experience" means of the Account Custodian.

To expedite your account opening process, if you have been working with a Representative, please enter that person's name below:

Representative's Name:..... **Promotional Code:**.....

Please Select Custodial Type: ☐ **UGMA** ☐ **UTMA**

Would you like the ability to trade options with this account?

☐ **Yes**
☐ **No**

If yes, please provide the following additional information.

Investment Objectives:

☐ Income ☐ Growth ☐ Speculation

Please check one or more of the option strategies you may wish to employ:

- | | |
|--|---|
| <input type="checkbox"/> 1. Covered call writing, Protective puts | <input type="checkbox"/> 4. Put writing (speculative), Cash-covered puts (cash accounts only) |
| <input type="checkbox"/> 2. Put/call buys, Collars, Covered puts (speculative) | <input type="checkbox"/> 5. Uncovered call writing (this is a highly speculative activity) |
| <input type="checkbox"/> 3. Put/call spreads (speculative) | |

Options trading is not suitable for all investors. If you would like the ability to trade options through a TradeStation account, you should first read the disclosure document titled [Characteristics and Risks of Standardized Options](#).

FOR INTERNAL USE ONLY (APPROVAL OF EQUITY OPTIONS TRADING)

Date approved	R.R. Signature	Approved option levels: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5
Date approved	ROP Signature	
CID#	Account #	

Minor's Information

Minor's First Name	Middle	Last
Minor's Home Address		
City	State	Zip
Country	Province	
Minor's Date of Birth	Minor's Citizenship	Minor's U.S. Social Security #
Minor's Source of Wealth <input type="checkbox"/> Salary <input type="checkbox"/> Gift <input type="checkbox"/> Inheritance <input type="checkbox"/> Insurance Proceeds <input type="checkbox"/> Legal Settlement <input type="checkbox"/> Investment/Real Estate <input type="checkbox"/> Other _____		
Minor's Source of Assets on Deposits <input type="checkbox"/> Salary <input type="checkbox"/> Gift <input type="checkbox"/> Inheritance <input type="checkbox"/> Insurance Proceeds <input type="checkbox"/> Legal Settlement <input type="checkbox"/> Investment/Real Estate <input type="checkbox"/> Other _____		

REQUIRED

Account Custodian's Information

Custodian's First Name (Legal)	Middle	Last
Custodian's Home Address		
City	State	Zip
Country	Province	

If you have moved within the past 2 years, please include a copy of a utility bill or your driver's license with your current address.

Custodian's Home Phone Number	Custodian's Business Phone Number		
Custodian's Mobile Phone Number	Custodian's E-Mail Address		
Custodian's Citizenship	Custodian's U.S. Social Security #		
Custodian's Date of Birth	Custodian's Current Occupation		
Custodian's Type of Business/Industry	Name of Custodian's Employer		
Employer's Address			
City	State/Province	Zip	Country

Financial Information

Annual Net Income in USD:

- ☐ If under \$50,000 specify _____
☐ \$100,000-\$249,999
☐ \$250,000-\$999,999
☐ \$50,000-\$99,999
☐ Over \$1 million

Total Net Assets in USD:

This includes all assets, minus all obligations, debts and liabilities.

- ☐ If under \$75,000 specify _____
☐ \$200,000-\$499,999
☐ \$500,000-\$999,999
☐ \$75,000-\$99,999
☐ \$1,000,000-\$4,999,999
☐ \$100,000-\$199,999
☐ Over \$5 million

Liquid Net Assets in USD:

This includes cash and marketable securities, minus all obligations, debts and liabilities.

- ☐ If under \$75,000 specify _____
☐ \$200,000-\$499,999
☐ \$500,000-\$999,999
☐ \$75,000-\$99,999
☐ \$1,000,000-\$4,999,999
☐ \$100,000-\$199,999
☐ Over \$5 million

Trading Experience

EQUITIES

No. of years trading

- ☐ None
☐ If under 1, specify months _____
☐ 1-5
☐ Over 5

OPTIONS

No. of years trading

- ☐ None
☐ If under 1, specify months _____
☐ 1-5
☐ Over 5

FUTURES

No. of years trading

- ☐ None
☐ If under 1, specify months _____
☐ 1-5
☐ Over 5

Is the Custodian or Custodian's spouse employed by or associated with an NYSE, FINRA and/or NFA registered brokerage firm or an exchange?

- ☐ No ☐ Yes

If yes, please provide an authorization letter from the member firm with whom you or your spouse is associated. Letter should be on corporate letterhead and signed by a Principal or Compliance Officer of the firm. If duplicate confirms and statements are required, an e-mail address to which they are to be sent must be provided in the letter.

Is the Custodian director, 10% shareholder or policy-making officer of a publicly-owned company?

- ☐ No ☐ Yes If Yes, please list trading symbol(s): _____

This applies to account number _____ and any and all other accounts that I may have or later open with TradeStation. (complete this field if you have an existing brokerage account)

TradeStation has asked, or you have requested, that you designate a trusted contact person age 18 or older. TradeStation is hereby authorized and permitted by you to contact your trusted contact person and disclose information about your account as described below. Please let us know if you have any questions about this form. This request and form applies to all of your TradeStation accounts, both with TradeStation Securities, Inc. and TradeStation Crypto, Inc.

You hereby designate the person identified below as your trusted contact person. You understand that by providing contact information for a trusted contact person, age 18 or older, you are authorizing TradeStation to contact the aforementioned trusted contact person and disclose information about your account in order to address possible financial exploitation, to confirm the specifics of your current contact information, health status or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by [FINRA Rule 2165](#) or any other applicable equivalent or similar rules of any applicable agency or regulatory organization.


You understand that (1) TradeStation **is not required to contact your trusted contact person**; and (2) **the completion of this form is optional and you may withdraw it at any time by notifying TradeStation in writing (use TradeStation address shown on account statement)**. If you would like to change your trusted contact person, you may do so by giving TradeStation a newly-signed Trusted Contact Person form with the box checked below to indicate that the new form supersedes the previous form.

CONTACT PERSON INFORMATION

Name of Trusted Contact Person (First, Middle, and Last)		Relationship (e.g. spouse, child, holder of my power of attorney, lawyer, accountant, etc.)	
Home Address			
City	State (U.S.)	Zip	
Country	Province		
Primary Phone Number	E-mail Address		

☐ Check here if this contact authorization supersedes previous contact authorizations.

Signature

Signature of Client	
Print Name	
Date	



REQUIRED

Please carefully review all of the content in this package, including all of the information below and in each of the required agreements and other documents listed below (which each can be opened and read from the links below and are all easily accessible at www.tradestation.com through the link "Important Documents and Information"). **PLEASE READ ALL AGREEMENTS AND DOCUMENTS CAREFULLY, including the ones listed below and on the website, which are legally binding on you to the same extent as if set forth fully in this package.** Once you have reviewed and agreed with each document, but not before, you should sign below where indicated. We strongly recommend that you print a copy of each agreement and document for your records, **as your acknowledgment and acceptance of these agreements and other documents are legally binding on you and create estoppel and affirmative defenses against you, and you agree that they do so no differently than if each one was individually signed by you in ink and delivered to TradeStation in person.**

You understand and agree that the customer account agreements which will apply to, and govern, this account relationship with TradeStation are as follows: the **TradeStation Securities, Inc. Customer Account Agreement for Equities**, together with the **Master Securities Lending Agreement**. Also, there are supplemental agreements, disclosures and other documents which will apply to your accounts (as set forth below) which you must agree to, accept and acknowledge. The following apply and govern:

TradeStation Securities, Inc. Accounts – Equities & Options (Agreements, Disclosures, Disclaimers and Assumption of Risk):

[TradeStation Securities, Inc. Customer Account Agreement for Equities](#)

[Master Securities Lending Agreement](#)

[TradeStation Technologies, Inc. Subscription Agreement](#)

[User Agreement \(Websites, Electronic Services, Social Media and Education\)](#)

[Investment and Trading Disclosures Booklet – Equities & Options](#)

The TradeStation Technologies, Inc. Subscription Agreement is a separate license agreement governing your use of TradeStation and third-party software and market data/content for Equities and Futures accounts, and the User Agreement (Websites, Electronic Services, Social Media and Education) applies to your use of those products and services offered by any of the TradeStation companies. We also direct you to review our Privacy Notice on the TradeStation website.

Please be aware that you acknowledge and agree that even if you are not applying to open a particular kind of account in this application, but already have such type of account (for example, you already have a Futures or Equities account, and are not applying for one in this application), the applicable agreements and documents listed above which pertain to those accounts will now apply to all of your existing accounts (for example, all of the agreements and documents listed above for Equities accounts, in their current form, now apply to all of your existing Equities accounts, and all of the agreements and documents above listed for Futures accounts now apply, in their current form, to all of your existing Futures accounts). You agree, intending to be legally bound, that any future action you take in any of such existing accounts constitutes irrevocable and unconditional acceptance by you of the current form of each of such agreements and documents (as same may later be amended or modified).

This account application, together with all of the applicable agreements, acknowledgments, representations, warranties, notices, disclaimers and assumptions of risk contained in this application and any of such documents, including those listed above on this page (collectively, the "Agreement"), may from time to time be modified or amended, in whole or in part, by any reasonable method of notice to you, including posting on a TradeStation website, platform application you use, or other electronic communication, and you agree that any transaction or activity you initiate in any of your accounts after such modification or amendment constitutes your unconditional acceptance of any such modification or amendment.

You represent and affirm that (1) you are a self-directed online investor or trader, and the sole reason for your account(s) is for you to invest in and trade, online, the market assets offered by such account(s), (2) all funds or assets deposited or later deposited in any of your accounts are and will be your personal funds or assets, and have not been and will not be solicited or sourced from any third party, and (3) no third party, other than the minor for whom you are the custodian, has or will have any direct or indirect ownership or other beneficial or

REQUIRED


financial interest in those funds or assets, or any asset or other property purchased with or through the use of such funds or assets, or in any of your accounts, in any manner.

AGREEMENT TO ARBITRATION OF DISPUTES RELATING TO EQUITIES ACCOUNTS: If you are applying for an **Equities (Equities & Options)** account, you acknowledge and affirm that you have read and agree to the **pre-dispute arbitration provisions** set forth in **section 38 of the [TradeStation Securities, Inc. Customer Account Agreement for Equities](#)**.

U.S. citizens and U.S. residents only — Tax Withholding Certification. Under penalty of perjury, you certify that: (1) the number provided by you in this account application is your correct taxpayer identification number; (2) you are not subject to backup withholding because (a) you are exempt from backup withholding, or (b) you have not been notified by the Internal Revenue Service (IRS) that you are subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified you that you are no longer subject to backup withholding; (3) you are a U.S. person (which includes being a U.S. resident alien); and (4) the FATCA code(s) entered in this account application (if any) indicating that you are exempt from FATCA reporting is correct. You understand that if you are not a U.S. person, or have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return, you may not sign below and you must contact us to complete your application so that we can apply any required backup withholding. **Note: The IRS does not require your consent to any provision of this document other than the certification required to avoid backup withholding. If this is a joint account, each joint account owner is separately making the certification.**

You confirm and affirm that all information, representations, warranties, affirmations, acknowledgements and agreements that you have provided or made in this application are voluntarily and knowingly given and made, are true, complete and accurate, and not misleading in any respect, *and you will promptly notify us in writing if any of the information or any representation you have provided materially changes or ceases to be true, complete and accurate.*

By signing below, you hereby execute and deliver the Agreement, intending to be legally bound by it.

Account Owner's Signature		Date
Print Name of Account Owner		