

Account Title .....  
(This update will apply to all of your TradeStation accounts, even if separate account titles are not provided.)

Account Number(s) ..... Date .....  
(This update will apply to all of your TradeStation accounts, even if separate account numbers are not provided.)

**If any of your information has changed email completed form to [clientexperience@tradestation.com](mailto:clientexperience@tradestation.com)**

## FINANCIAL INFORMATION

### Annual net income in USD:

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

### Annual net assets in USD:

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

- ☐ If under \$75,000, specify .....
- ☐ \$75,000 - \$99,999
- ☐ \$100,000 - \$199,999
- ☐ \$200,000 - \$499,999
- ☐ \$500,000 - \$999,999
- ☐ 1,000,000 - \$4,999,999
- ☐ 5,000,000 - \$49,999,999
- ☐ \$50 million or more

### Liquid net assets in USD:

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

- ☐ If under \$75,000, specify .....
- ☐ \$75,000 - \$99,999
- ☐ \$100,000 - \$199,999
- ☐ \$200,000 - \$499,999
- ☐ \$500,000 - \$999,999
- ☐ 1,000,000 - \$4,999,999
- ☐ 5,000,000 - \$49,999,999
- ☐ \$50 million or more

### Source of Funds in Account (Check all that apply.)

Please provide the source of assets that will be deposited or held in the account. If the source is a transfer from another firm, please indicate the source of funds that were used to purchase the assets.

- ☐ Salary, wages, savings ☐ Working capital ☐ Investment capital gains ☐ Family, relatives, inheritance
- ☐ Sales of property / assets ☐ Business income ☐ Other (specify): .....

## 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

## EMPLOYMENT INFORMATION

### Are you or your 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.*

### Are you a director, 10% shareholder or policy-making officer of a publicly-owned company?

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

**Employment Status** ☐ Employed ☐ Retired ☐ Student ☐ Unemployed ☐ Self-Employed ☐ Homemaker

**Current Occupation**

**Type of Business/Industry**

**Name of Employer**

**Employer's Address**

**City**

**State/Province**

**Zip**

**Country**

**Source of income**

- ☐ Salary ☐ Inheritance ☐ Insurance Proceeds ☐ Legal Settlement
- ☐ Savings / Investments / Real Estate ☐ Gift ☐ Other (specify) .....

**Form completed by:**

Print Name

Signature

**SIGN  
HERE**