

Account Application

If you are a resident of the United Kingdom (UK), this Account Application and Agreements are for the provision of:

- (1) introducing services by TradeStation International Ltd ("TradeStation International"); and
- (2) brokerage and trading services by TradeStation Securities, Inc., hereafter referred to as "TradeStation".

TradeStation International will introduce you to TradeStation Group, Inc.'s affiliates and provide limited customer support, including the occasional reception and transmission of your orders to TradeStation (however, we **strongly recommend** that you always first contact TradeStation directly for this customer support in order for you to receive a more efficient service). Your application will be assessed by TradeStation International who will consider if you are suitable under the rules of the Financial Conduct Authority ("**FCA**") while TradeStation will make the ultimate decision as per the approval of the brokerage account in accordance with their rules and regulations.

TRADESTATION INTERNATIONAL AND TRADESTATION WILL ONLY CONDUCT BUSINESS WITH CLIENTS FOR WHOM SUCH BUSINESS IS APPROPRIATE, WHICH REQUIRES AN ASSESSMENT BASED ON THE INFORMATION PROVIDED BY YOU IN THIS ACCOUNT APPLICATION. TRADESTATION INTERNATIONAL WILL NOT CONDUCT BUSINESS WITH ANYONE WHO DOES NOT HAVE SUFFICIENT KNOWLEDGE AND EXPERIENCE OF THE RISKS INVOLVED IN RELATION TO THE PRODUCTS THEY WISH TO TRADE. IN ADDITION, TRADESTATION INTERNATIONAL WILL BASE ITS CLASSIFICATION OF CLIENTS FOR REGULATORY PURPOSES ON THE INFORMATION PROVIDED BY THEM IN THIS ACCOUNT APPLICATION. FOR THESE REASONS, IT IS ESSENTIAL THAT YOU IMMEDIATELY ADVISE US IN WRITING (FAX OR E-MAIL TRANSMISSION IS ACCEPTABLE) IF THERE IS SUBSEQUENTLY ANY CHANGE IN THE INFORMATION WHICH YOU HAVE PROVIDED.

This **Account Application and Agreement**, together with all of the agreements, acknowledgements, representations, warranties, notices, disclaimers and assumptions of risk which it contains or incorporates by reference to other documents that are part of this application package, as any of the foregoing may from time to time be modified or amended by TradeStation and/or TradeStation International by posting any such modifications or amendments on the www.tradestation.com or www.tradestation-international.com Web site (the "**Web Site**"), or by e-mail, postcard, regular mail or by any other reasonable method of notice to you (collectively, the "**Agreement**"), sets forth your agreement with TradeStation Securities, Inc. and its affiliates, including, but not limited to, TradeStation Technologies, Inc. Your access to and use of your account, and the services provided by TradeStation, and all services provided by its affiliates, are subject to this Agreement (or the applicable portion thereof). **PLEASE READ ALL DOCUMENTS CAREFULLY AND COMPLETE ALL SECTIONS OF THIS ACCOUNT APPLICATION. The Agreement, including each document that is a part hereof, constitutes a legally binding commitment made by you in favour of TradeStation and any of its affiliates.**

IF YOU REQUIRE ANY ASSISTANCE IN COMPLETING THIS ACCOUNT APPLICATION OR HAVE ANY QUESTIONS, PLEASE CALL TOLL FREE 00800 242 78190 FOR UK CUSTOMERS*. ALTERNATIVELY, PLEASE E-MAIL international@tradestation.com

Evidence of Identity and Address

FOR THE PURPOSES OF UK ANTI-MONEY LAUNDERING REGULATIONS, PLEASE NOTE THAT WE WILL CARRY OUT AN ELECTRONIC SEARCH OF PUBLIC RECORDS THROUGH A CREDIT REFERENCE AGENCY TO VERIFY YOUR IDENTITY AND ADDRESS.

YOUR APPLICATION WILL ALSO NEED TO SATISFY TRADESTATION'S REQUIREMENTS TO SATISFY U.S. ANTI-MONEY LAUNDERING REGULATIONS.

FOR THESE PURPOSES, PLEASE FORWARD A COPY OF A DOCUMENT FROM LIST A AND A COPY OF A DOCUMENT FROM LIST B WITH THIS ACCOUNT APPLICATION:

List A – Proof of identity*

- Current signed passport
- EEA member state identity card
- Current EEA or UK photocard driving licence or a blue disabled driver's pass

List B - Proof of address

- Utility bill (NOT a mobile phone bill) within the last 60 days
- Council tax bill for UK within the last 60 days (NOT a notification) or the equivalent for the rest of EEA countries
- Bank statement within the last 60 days
- Current EEA or UK photocard driving licence or a blue disabled driver's pass

***DO NOT SEND ORIGINAL DOCUMENTS.** Copies of identity documents should be sent with this Account Application to TradeStation International Ltd.

Please indicate which type of photo ID evidence you are providing:

Primary Authorized Representative

Photo ID # _____ Driver's License Passport Alien Registration Other Government-issued ID evidencing nationality

Data Protection and Privacy

FOR THE PURPOSE OF UK DATA PROTECTION LAW, TRADESTATION INTERNATIONAL IS REQUIRED TO INFORM YOU HOW IT AND ITS AFFILIATES, INCLUDING TRADESTATION SECURITIES, PROCESS YOUR PERSONAL DATA. PLEASE READ THIS SECTION CAREFULLY AND CHECK THE BOX, IF APPLICABLE.

TradeStation International Ltd collects the personal information provided by you in order to introduce and pass your information along to TradeStation's divisions and affiliates, including, but not limited to, TradeStation Securities, Inc. and TradeStation Technologies, Inc., ("TradeStation") who will use this personal information to deliver its brokerage, trading and related services. Such services include opening and maintaining accounts, reporting and processing transactions requested by you, providing trading software and market data services, and administering its business.

TradeStation is located in the State of Florida, the United States of America, at 8050 SW 10th Street, Suite 2000, Plantation, Florida 33324, the United States of America where the laws do not provide the same level of protection for

personal data as the laws in Europe. However, TradeStation International Ltd and TradeStation are committed to protecting the confidentiality and security of information they collect about you. Both companies employ appropriate technical and organizational security measures to protect your personal information from unauthorized access.

TradeStation International Ltd and TradeStation may disclose the personal information you provide to affiliated and non-affiliated third parties as set out in their joint Privacy Notice which can be viewed at www.tradestation.com/privacy.

By signing the Agreement, you confirm that you have read and accept the terms of our Privacy Policy, which sets out how we will use your personal information.

Please tick to acknowledge review and agreement with the [Privacy Notice](#) and [Cookies Policy](#).

Please tick if you do wish to receive marketing communications.