Account Application Package

- Individual
- Joint
- IRA

<u>ALL</u> completed and signed pages must be returned.

This application package covers applications for equities (including equity options) and futures (including options on futures) accounts, with TradeStation Securities, Inc., and cryptocurrency accounts with TradeStation Crypto, Inc. TradeStation Crypto, Inc. does not offer Joint or IRA accounts.

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).

You Can Trade, Inc. is an online educational, news and entertainment media publication service that seeks to provide to the public a marketplace of potentially actionable investment and trading content, ideas, demonstrations and informational tools. You Can Trade ***is not*** an investment, trading or financial adviser or pool, broker-dealer, futures commission merchant, investment research company, digital asset or cryptocurrency exchange or broker, or any other kind of financial or money services company, and ***does not*** give any investment, trading or financial advice, or research analyses or recommendations, or make any judgments, hold any opinions, or make any other recommendations, about whether you should purchase, sell, own or hold any security, futures contract or other derivative, or digital asset or digital asset derivative, or any class, category or sector of any of the foregoing, or whether you should make any allocation of your invested capital between or among any of the foregoing.

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 and *YouCanTrade* 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 trademarks "TradeStation®," "YouCanTrade" and "SheCanTrade," 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, TradeStation Technologies, and You Can Trade 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.

TradeStation®

103998

Welcome.

How to Open Your TradeStation Account

Please complete this application in its entirety by typing your answers and information in the appropriate fields. 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 (https://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 application is complete and may be processed as soon as reasonably possible, ***please make sure you've completed all applicable documents and that you return this entire package, including the pages on which you are not required to sign or provide information.***

Visit our website to view the funding instructions.
If you have any questions, please call us toll-free at **800.770.4049** or **954.652.7677**.

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

1) **Email: newaccountservices@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**
  For all accounts.
- ☐ **W-8BEN Form**
  If you do not have a valid U.S. social security number or tax ID number.

IDENTITY VERIFICATION FOR NON-U.S. RESIDENTS

Please include when you return application package.

- ☐ **Copy of Passport**
  E.U. residents may provide a copy of a government issued ID in lieu of a passport.
- ☐ **Address Verification Documents**
  A document such as a recent utility bill or bank statement. Must be within 90 days of submission date.

TradeStation®

Account Application

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 Primary Account Holder.

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 the account type you would like to open within the next 90 days:

☐ **Equities**	Includes equity options, if selected below and approved for options trading.
☐ **Futures**	Includes options on futures, if selected below.
☐ Crypto	***Must also have an Equities account. By checking, you are also applying for a new Equities account.***

Please select your commission schedule for Equities and Futures accounts.*

Please review the details of each option found at tradestation.com/pricing before making a selection.

☐ **TS SELECT** ☐ **TS GO**

If no choice is made, the account commission schedule will be set up with TS SELECT.

** The choice you make will apply to both your Equities and Futures accounts. Market data and other fees will or may apply.*

For Futures accounts only

What type of futures trading will you be doing with this account?

If you do not make a selection below, your futures account will be coded for Futures Only, which means that you do not intend to trade options on futures but intend to trade only futures using the TradeStation Platform.

☐ **Futures Only**
(Trading through the TradeStation platform.)

☐ **Futures and Options on Futures**
(Trading through the TradeStation FuturesPlus platform.)

For IRA accounts only

(U.S. citizens and U.S. residents only; not available for Crypto accounts.):

Please select your account preference: ☐ Traditional IRA ☐ Roth IRA ☐ SEP IRA ☐ Simple IRA ☐ Beneficiary IRA (Equities only)

For Futures IRA accounts only, please select your custodian: ☐ Equity Trust ☐ Midland IRA ☐ Millennium Trust

For Equities accounts only

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:

☐ 1. Covered call writing, Protective puts
☐ 2. Put/call buys, Collars, Covered puts (speculative)
☐ 3. Put/call spreads (speculative)
☐ 4. Put writing (speculative), Cash-covered puts (cash accounts only)
☐ 5. Uncovered call writing (this is a highly speculative activity)

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: ☐1 ☐2 ☐3 ☐4 ☐5
Date approved	ROP Signature	
CID#	Account #	

REQUIRED

Primary Account Holder Information

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.

First Name	Middle	Last	
Date of Birth	Citizenship	U.S. Social Security #	
U.S. residents: Type of ID: ☐ Driver's License ☐ Passport ☐ Other:			
ID #		State of Issue	
Permanent Address (no P.O. Boxes)			
City	State/Province	Zip	Country
Mailing Address ☐ Check here if same as Permanent Address			
City	State/Province	Zip	Country
Primary/Daytime Phone Number		Home/Evening Phone Number	
E-mail Address			
☐ Please tick if you do wish to receive marketing communications. (E.U. Residents only.)			

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)

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): ______________

REQUIRED

Primary Account Holder Information (Continued)

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

Total 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
- ☐ 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** ________
- ☐ $75,000-$99,999
- ☐ $100,000-$199,999
- ☐ $200,000-$499,999
- ☐ $500,000-$999,999
- ☐ $1,000,000-$4,999,999
- ☐ 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

If this will be a Joint Account, please select your account preference below, as either Joint Account with Right of Survivorship OR Joint Account as Tenants-In-Common, and complete the information requested below. **You must choose one.**

- ☐ **Joint Account with Right of Survivorship/by the Entirety** (if married and recognized by applicable state law)
- ☐ **Joint Account as Tenants-in-Common**

Joint Account Holder Information*

***Equities or Futures accounts with TradeStation Securities.** TradeStation Crypto does not offer joint accounts.

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.

First Name		Middle Name	Last Name
U.S. Social Security #		Date of Birth	Citizenship
U.S. Residents: Type of ID: ☐ Driver's License ☐ Passport ☐ Other: ________			
ID #			State of Issue
Foreign residents: Please send a photocopy of your unexpired passport and a form of address verification such as a driver's license, utility bill, state ID, bank statement, or lease contract dated or valid within the last 60 days.			
Permanent Address (No P.O. Boxes)			
City	State/Province	Zip	Country
Mailing Address ☐ Check here if same as Permanent Address			
City	State/Province	Zip	Country
Primary/Daytime Phone Number			Home/Evening Phone Number
E-mail Address			

Joint Account Holder Information (Continued)

Joint Account Holder 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)

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): ____________

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

Total 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
☐ 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** ________
☐ $75,000-$99,999
☐ $100,000-$199,999
☐ $200,000-$499,999
☐ $500,000-$999,999
☐ $1,000,000-$4,999,999
☐ 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

FUTURES

Dear Applicant,

Thank you for your interest in futures trading at TradeStation Securities, Inc. (“TradeStation”) through your self-directed Individual Retirement Account (“IRA”). Please be advised that TradeStation does not provide its own custodial services for self-directed IRA accounts that invest in alternative assets such as futures. As such, customers who wish to trade such alternative investments at TradeStation, must open a self-directed IRA account with an approved custodian that accepts alternative investments.

TradeStation currently accepts alternative investment self-directed IRA accounts from a limited number of custodians. Please see the list below of IRA companies TradeStation is able to do business with. By providing you with this information, TradeStation is not recommending or endorsing any of the companies listed below. This document is for information purposes only. If you do not see your trust company of choice listed below, please contact one of the trust companies below to establish an account.

Before you chose to open an alternative investment self-directed IRA account, you should familiarize yourself with the investment and income tax risks, along with the costs associated with such trading. We also strongly encourage you to consult with your legal and/or tax advisor to discuss these risks.

Once you have initiated the account opening process with your custodian, please complete the TradeStation Futures IRA application and return it to:

TradeStation
Attn: Account Services
8050 SW 10th Street, Suite 2000
Plantation, FL 33324

Upon receipt of your application, TradeStation will review your account application and, if approved, your application will be forwarded directly to your custodian for completion of the account opening process.

Final approval is dependent upon your custodian and TradeStation (FCM and executing agent) accepting the account. TradeStation cannot be held responsible for any delay associated with establishing your custodial IRA account.

Trust Companies: Please consult with the trust company regarding minimum deposits, costs and paperwork requirements as the requirements may vary for each.

Equity Trust Company – www.trustetc.com
Client Services, Processing Team
225 Burns Rd.
Elyria, OH 44036
440-323-5491

Midland IRA, Inc. – www.MidlandIRA.com
135 South LaSalle Street
Suite 4000
Chicago, IL 60603

Millennium Trust Company IRA Accounts – www.mtrustcompany.com
820 Jorie Blvd., Suite 420
Oakbrook, IL 60523
630-368-5600 or 800-258-7878

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. If this is a joint account application, "you" means each joint account applicant, jointly and severally.*** 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 respective customer account agreements which will apply to, and govern, your account relationships with TradeStation companies are as follows: (1) for an **Equities** account (including for equity/index options trading), solely the T**radeStation Securities, Inc. Customer Account Agreement for Equities**, together with the **Master Securities Lending Agreement**, (2) for a **Futures** and/or **Futures Options** account, solely the **TradeStation Securities, Inc. Account Agreement for Futures**, and (3) for a **Crypto** account, solely the **TradeStation Crypto, Inc. Customer Account Agreement**. Also, there are supplemental agreements, disclosures and other documents which will apply to one or more your accounts (as set forth below) which you must agree to, accept and acknowledge. Depending on which accounts you are applying for, 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

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

- TradeStation Securities, Inc. Customer Account Agreement for Futures
- TradeStation Technologies, Inc. Subscription Agreement
- User Agreement (Websites, Electronic Services, Social Media and Education)
- Investment and Trading Disclosures Booklet – Futures & Options on Futures
- Firm Specific Disclosure Statement - CFTC Rule 1.55

TradeStation Crypto, Inc. Accounts (Agreements, Disclosures, Disclaimers and Assumption of Risk)

- TradeStation Crypto, Inc. Customer Account Agreement
- User Agreement (Websites, Electronic Services, Social Media and Education)
- Investment and Trading Disclosures Booklet – Cryptocurrencies
- U.S. States Where TradeStation Crypto is Licensed or Permitted to do Business and Related Notices and Information

Residents of United Kingdom Only

- Terms of Business of TradeStation International Ltd

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 Policy 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 my 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) you have the financial ability to withstand a total loss of all funds and other assets you deposit or maintain in any of your accounts, (3) 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 any withdrawals you make from any of your accounts will be transferred solely to an account in your name, under your control, and which only you own, and (4) no third party has or will have any direct or indirect ownership or other beneficial or 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 (1) EQUITIES ACCOUNTS AND (2) CRYPTO ACCOUNTS: (1) 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**, and (2) if you are applying for a **Crypto** account, you acknowledge and affirm that you have read and agree to the **pre-dispute arbitration provisions s**et forth in **section 42 of the TradeStation Crypto, Inc. Customer Account Agreement.**

ELECTION OF ARBITRATION FOR DISPUTES RELATING TO FUTURES ACCOUNTS: If you are applying for a **Futures or Futures Options** account, you acknowledge and affirm that you have read the **pre-dispute arbitration provisions** set forth in **section 38 of the TradeStation Securities, Inc. Account Agreement for Futures**, and that you are making the following election **(please type your initials - must choose one)**:

☐ I (We) Accept the Arbitration Provision ☐ I (We) Decline the Arbitration Provision

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.**

Note: If you are not a U.S. person, you will likely be required to complete and submit applicable Form W-8. You further represent and confirm that no TradeStation company solicited you to apply for, open or establish any kind of account with any TradeStation company.

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 SIGN HERE	**Date**
Print Name of Account Owner	
Joint Account Owner's Signature (if a joint account) SIGN HERE	**Date**
Print Joint Account Owner's Name (if a joint account)	

Form **W-8BEN**

(Rev. July 2017)

Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

▶ **For use by individuals. Entities must use Form W-8BEN-E.**

▶ **Go to *www.irs.gov/FormW8BEN* for instructions and the latest information.**

▶ **Give this form to the withholding agent or payer. Do not send to the IRS.**

OMB No. 1545-1621

Do NOT use this form if:	**Instead, use Form:**
• You are NOT an individual	W-8BEN-E
• You are a U.S. citizen or other U.S. person, including a resident alien individual	W-9
• You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services)	W-8ECI
• You are a beneficial owner who is receiving compensation for personal services performed in the United States	8233 or W-4
• You are a person acting as an intermediary	W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner

2 Country of citizenship

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**

City or town, state or province. Include postal code where appropriate.

Country

4 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6 Foreign tax identifying number (see instructions)

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of ____________________ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph ____________ of the treaty identified on line 9 above to claim a ____ % rate of withholding on (specify type of income): ____________________.

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: ____________________

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:

  (a) not effectively connected with the conduct of a trade or business in the United States,

  (b) effectively connected but is not subject to tax under an applicable income tax treaty, or

  (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ▶

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 25047Z Form **W-8BEN** (Rev. 7-2017)