

[CFTC Risk Disclosure Statement – Rule 1.55\(b\)](#)

[Firm Specific Disclosure Document – CFTC Rule 1.55 - \(2018\)](#)

[CFTC Risk Disclosure Statement – Appendix A to Rule 1.55](#)

[FCM Information Related to CFTC Rule 1.55\(o\)\(1\)\(i\)](#)

Daily Statement of Segregation Requirements and Funds in Segregation for Customers Trading on U.S. Exchanges for the most current 12-month period.

[FCM Information Related to CFTC Rule 1.55\(o\)\(1\)\(ii\)](#)

Daily Statement of Secured Amounts and Funds Held in Separate Accounts for 30.7 Customers Pursuant to Commission Regulation 30.7 for the most current 12-month period.

[FCM Information Related to CFTC Rule 1.55\(o\)\(1\)\(iv\)](#)

Summary schedule of FCM's adjusted net capital, net capital, and excess net capital, all computed in accordance with §1.17 and reflecting balances as of the month-end for the 12 most recent months.

[FCM Information Related to CFTC Rule 1.55\(o\)\(1\)\(v\)](#)

Statement of Financial Condition, the Statement of Segregation Requirements and Funds in Segregation for Customers Trading on U.S. Exchanges, Statement of Secured Amounts and Funds Held in Separate Accounts for 30.7 Customers Pursuant to Commission Regulation 30.7, and Statement of Cleared Swaps Customer Segregation Requirements and Funds in Cleared Swaps Customer Accounts Under Section 4d(f) of the Act, and all related footnotes to the above schedules that are part of the FCM's most current certified annual report.

[FCM Information Related to CFTC Rule 1.55\(o\)\(1\)\(vi\)](#)

Statement of Segregation Requirements and Funds in Segregation for Customers Trading on U.S. Exchanges, Statement of Secured Amounts and Funds Held in Separate Accounts for 30.7 Customers Pursuant to Commission Regulation 30.7, and Statement of Cleared Swaps Customer Accounts Under Section 4d(f) of the Act as part of the FCM's Financial and Operational Combined Uniform Single Report under the Securities Exchange Act of 1934 ("FOCUS Report") for the most current 12-month period.

[FCM Information Related to CFTC Rule 1.55\(o\)\(3\)](#)

Information regarding how the Futures Commission Merchant ("FCM") invests and holds customer funds is available on the National Futures Association website – BASIC system via the link above. TradeStation's NFA ID is 0307871.

[FCM Information Related to CFTC Rule 1.55\(o\)\(4\)](#)

Additional financial information on all FCMs is also available on the CFTC's website via the link above.

[Disclosure of Futures Commissions Merchant - Material Conflicts of Interest](#)

Statement of some of the material conflicts of interest that may arise between you and TradeStation Securities.