



## **IRA Accounts - Midland Application Package**

- **IRA (Using Midland IRA as Custodian for Equities Account, or for Equities and Futures Account\*)**

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**\* Applicants seeking to open only a Futures IRA Account using Midland IRA as Custodian should complete the general Individual, Joint and IRA Account Application Package**

## 1. INTRODUCTION

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.

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.

## 2. WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?

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 also offer the *TradeStation* Desktop Platform (the “Platform”), 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>.

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 of the decisions regarding the purchase or sale of Securities in your account.

We require a minimum initial funding level of \$500 to open a cash account and \$2,000 to open and maintain a margin account.

For additional information about the services we provide, please visit our homepage: <https://www.tradestation.com>.

### ASK YOUR FINANCIAL PROFESSIONAL...

- 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?

## 3. A. WHAT FEES WILL I PAY?

We offer a variety of pricing plans, including commission-free equities and options plans if you choose to place orders through the mobile app or website. 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>.

Depending on the pricing plan chosen, you may be charged more fees when you trade more, so we may have an incentive to encourage you to trade more frequently.

Margin and day trading allow you to leverage assets to increase your buying power. Margin interest rates vary per the base rate and the size of your debit balance. The base rate may be adjusted at our discretion. For additional information on margin rates, please visit our Margin Rates page: <https://www.tradestation.com/pricing/margin-rates>.

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 our Service Fees page: <https://www.tradestation.com/pricing/service-fees>. 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.

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.

**ASK YOUR FINANCIAL PROFESSIONAL...**

- 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?

**3. B. WHAT ARE YOUR LEGAL OBLIGATIONS TO ME WHEN PROVIDING RECOMMENDATIONS? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?**

We do not make recommendations regarding Securities, investment strategies or accounts 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.

- 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. Some of our registered representatives may be dually employed by us and our affiliate, TradeStation Crypto, Inc. We intend to manage this potential conflict so that it does not affect your dealings with either company.

For additional information about potential conflicts of interest, please visit our Important Documents page: <https://www.tradestation.com/important-information>.

**ASK YOUR FINANCIAL PROFESSIONAL...**

- How might your conflicts of interest affect me, and how will you address them?

**3. C. HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?**

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. As a result, our registered representatives have an incentive to encourage you to try the analytical tools available on the Platform, which may result in you choosing to trade more frequently and consider alternative asset classes, such as futures, since we are also a U.S. Commodity Futures Trading Commission registered futures commission merchant.

**4. DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?**

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.

**ASK YOUR FINANCIAL PROFESSIONAL...**

- As a financial professional, do you have any disciplinary history? For what type of conduct?

**5. ADDITIONAL INFORMATION**

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.

**ASK YOUR FINANCIAL PROFESSIONAL...**

- 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?

**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.***



# 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](mailto: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 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:**

<input type="checkbox"/> <b>Equities</b>	Includes equity options, if selected below and approved for options trading.
<input type="checkbox"/> <b>Futures</b>	Includes options on futures, if selected below.

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

Please review the details of each option found at [tradestation.com/pricing](https://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 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 (your options trading is limited in an IRA account):

- |  |   |
|--|---|
| <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"/> 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](#).

### Midland IRA account type (choose one)

**(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 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 #	



## 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 (Legal)	Middle	Last	
Date of Birth	Citizenship	U.S. Social Security #	
<b>U.S. residents:</b> Type of ID: <input type="checkbox"/> Driver's License <input type="checkbox"/> Passport <input type="checkbox"/> Other:			
ID #	State of Issue		
Permanent Address (no P.O. Boxes)			
City	State/Province	Zip	Country
Mailing Address <input type="checkbox"/> Check here if same as Permanent Address			
City	State/Province	Zip	Country
Primary/Daytime Phone Number		Home/Evening Phone Number	
E-mail Address			
<input type="checkbox"/> 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? <input type="checkbox"/> No <input type="checkbox"/> Yes <i>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.</i>			
Are you a director, 10% shareholder or policy-making officer of a publicly-owned company? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please list trading symbol(s): _____			
Employment Status <input type="checkbox"/> Employed <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Unemployed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Homemaker			
Current Occupation		Type of Business/Industry	
Name of Employer		Employer's Address	
City	State/Province	Zip	Country
Source of income <input type="checkbox"/> Salary <input type="checkbox"/> Inheritance <input type="checkbox"/> Insurance Proceeds <input type="checkbox"/> Legal Settlement <input type="checkbox"/> Savings/Investments/Real Estate <input type="checkbox"/> Gift <input type="checkbox"/> Other _____ (specify)			
<b>Source of Funds in Account</b> (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. <input type="checkbox"/> Salary, wages, savings <input type="checkbox"/> Working capital <input type="checkbox"/> Investment capital gains <input type="checkbox"/> Family, relatives, inheritance <input type="checkbox"/> Sales of property/assets <input type="checkbox"/> Business income <input type="checkbox"/> 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      ☐ \$200,000-\$499,999  
☐ \$100,000-\$199,999      ☐ \$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      ☐ \$200,000-\$499,999  
☐ \$100,000-\$199,999      ☐ \$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

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 choose 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.

**Midland IRA, Inc.** – [www.MidlandIRA.com](http://www.MidlandIRA.com)  
135 South LaSalle Street  
Suite 4000  
Chicago, IL 60603



## 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](http://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 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 **TradeStation Securities, Inc. Customer Account Agreement for Equities**, together with the **Master Securities Lending Agreement**, and (2) for a **Futures** and/or **Futures Options** account, solely the **TradeStation Securities, Inc. Account Agreement for Futures**. 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](#)

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) 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

## REQUIRED

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 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](#).

**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) Do Not Accept 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.**

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		