

ACCOUNT APPLICATION BOOKLET



- Individual
- Joint
- IRA

**PLEASE RETURN
ENTIRE BOOKLET**

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 (<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. If you have any questions, please call us toll-free at **800.871.3577** or **954.652.7920**.

Please return your completed application and additional documentation to TradeStation via email, fax 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

- Dual Account Application**
For Residents of E.E.A. countries only.
- Alternative Investment IRA Letter**
For Futures accounts only.
For U.S. Citizens and residents only.
- Risk Disclosure Statement**
For Futures and Options on Futures accounts only.
- Additional Risk Disclosure Statement**
For Futures accounts only, if you are under age 21 or over age 65, your annual income is less than \$50,000, your net worth is less than \$25,000, or you do not have at least six months of Futures trading experience.
- Account Application**
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

- Copy of Passport**
- Address Verification Documents**
A document such as a recent utility bill or bank statement.

Account Application

If you are a resident of the European Economic Area, this Account Application and Agreements are for the provision of:

- (1) introducing services by TradeStation Europe Limited (“TradeStation Europe”); and
- (2) brokerage and trading services by TradeStation Securities Inc., hereafter referred to as “TradeStation”.

TradeStation Europe 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 Europe 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 EUROPE 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 EUROPE 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 EUROPE 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 Europe 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 EEA CUSTOMERS*. ALTERNATIVELY, PLEASE E-MAIL international@tradestation.com.

*If you reside in the following countries: Bulgaria, Cyprus, Czech Republic, Iceland, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Norway, Slovakia and Slovenia, please call 001 954 652 7677.



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 3 months
- Council tax bill for UK within the last 3 months (NOT a notification) or the equivalent for the rest of EEA countries
- Bank statement within the last 3 months
- 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 Europe Limited.

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 EUROPE 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 Europe Limited 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 Europe Limited 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 Europe Limited and TradeStation may disclose the personal information you provide to affiliated and non-affiliated third parties as set out in their joint Privacy Policy which can be viewed at www.tradestation.com.

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 if you do not wish to be contacted by post or email



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



Futures & Futures Options

The risk of loss in trading commodity futures contracts can be substantial. You should, therefore, carefully consider whether such trading is suitable for you in light of your circumstances and financial resources. You should be aware of the following points:

(1) You may sustain a total loss of the funds that you deposit with your broker to establish or maintain a position in the commodity futures market, and you may incur losses beyond these amounts. If the market moves against your position, you may be called upon by your broker to deposit a substantial amount of additional margin funds, on short notice, in order to maintain your position. If you do not provide the required funds within the time required by your broker, your position may be liquidated at a loss, and you will be liable for any resulting deficit in your account.

(2) The funds you deposit with a futures commission merchant for trading futures positions are not protected by insurance in the event of the bankruptcy or insolvency of the futures commission merchant, or in the event your funds are misappropriated.

(3) The funds you deposit with a futures commission merchant for trading futures positions are not protected by the Securities Investor Protection Corporation even if the futures commission merchant is registered with the Securities and Exchange Commission as a broker or dealer.

(4) The funds you deposit with a futures commission merchant are generally not guaranteed or insured by a derivatives clearing organization in the event of the bankruptcy or insolvency of the futures commission merchant, or if the futures commission merchant is otherwise unable to refund your funds. Certain derivatives clearing organizations, however, may have programs that provide limited insurance to customers. You should inquire of your futures commission merchant whether your funds will be insured by a derivatives clearing organization and you should understand the benefits and limitations of such insurance programs.

(5) The funds you deposit with a futures commission merchant are not held by the futures commission merchant in a separate account for your individual benefit. Futures commission merchants commingle the funds received from customers in one or more accounts and you may be exposed to losses incurred by other customers if the futures commission merchant does not have sufficient capital to cover such other customers' trading losses.

(6) The funds you deposit with a futures commission merchant may be invested by the futures commission merchant in certain types of financial instruments that have been approved by the Commission for the purpose of such investments. Permitted investments are listed in Commission Regulation 1.25 and include: U.S. government securities; municipal securities; money market mutual funds; and certain corporate notes and bonds. The futures commission merchant may retain the interest and other earnings realized from its investment of customer funds. You should be familiar with the types of financial instruments that a futures commission merchant may invest customer funds in.

(7) Futures commission merchants are permitted to deposit customer funds with affiliated entities, such as affiliated banks, securities brokers or dealers, or foreign brokers. You should inquire as to whether your futures commission merchant deposits funds with affiliates and assess whether such deposits by the futures commission merchant with its affiliates increases the risks to your funds.

(8) You should consult your futures commission merchant concerning the nature of the protections available to safeguard funds or property deposited for your account.

(9) Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example, when the market reaches a daily price fluctuation limit ("limit move").

(10) All futures positions involve risk, and a "spread" position may not be less risky than an outright "long" or "short" position.

(11) The high degree of leverage (gearing) that is often obtainable in futures trading because of the small margin requirements can work against you as well as for you. Leverage (gearing) can lead to large losses as well as gains.

(12) In addition to the risks noted in the paragraphs enumerated above, you should be familiar with the futures commission merchant you select to entrust your funds for trading futures positions. The Commodity Futures Trading Commission requires each futures commission merchant to make publicly available on its Web site firm specific disclosures and financial information to assist you with your assessment and selection of a futures commission merchant. Information regarding this futures commission merchant may be obtained by visiting our Web site, www.tradestation.com

ALL OF THE POINTS NOTED ABOVE APPLY TO ALL FUTURES TRADING WHETHER FOREIGN OR DOMESTIC. IN ADDITION, IF YOU ARE CONTEMPLATING TRADING FOREIGN FUTURES OR OPTIONS CONTRACTS, YOU SHOULD BE AWARE OF THE FOLLOWING ADDITIONAL RISKS:



(13) Foreign futures transactions involve executing and clearing trades on a foreign exchange. This is the case even if the foreign exchange is formally "linked" to a domestic exchange, whereby a trade executed on one exchange liquidates or establishes a position on the other exchange. No domestic organization regulates the activities of a foreign exchange, including the execution, delivery, and clearing of transactions on such an exchange, and no domestic regulator has the power to compel enforcement of the rules of the foreign exchange or the laws of the foreign country. Moreover, such laws or regulations will vary depending on the foreign country in which the transaction occurs. For these reasons, customers who trade on foreign exchanges may not be afforded certain of the protections which apply to domestic transactions, including the right to use domestic alternative dispute resolution procedures. In particular, funds received from customers to margin foreign futures transactions may not be provided the same protections as funds received to margin futures transactions on domestic exchanges. Before you trade, you should familiarize yourself with the foreign rules which will apply to your particular transaction.

(14) Finally, you should be aware that the price of any foreign futures or option contract and, therefore, the potential profit and loss resulting therefrom, may be affected by any fluctuation in the foreign exchange rate between the time the order is placed and the foreign futures contract is liquidated or the foreign option contract is liquidated or exercised.

THIS BRIEF STATEMENT CANNOT, OF COURSE, DISCLOSE ALL THE RISKS AND OTHER ASPECTS OF THE COMMODITY MARKETS.

I hereby acknowledge that I have received and understood this risk disclosure statement.

NOTE: FOR JOINT ACCOUNTS, TWO (2) AUTHORIZED SIGNATURES ARE REQUIRED. FOR ENTITY OR TRUST ACCOUNTS, ALL AUTHORIZED OFFICERS OR TRUSTEES ARE REQUIRED TO SIGN.

Account Signature		Date
Print Authorized Signor's Name and Title		
Account Signature		Date
Print Authorized Signor's Name and Title		


FUTURES

Dear Sir or Madam:

TradeStation Securities, Inc. ("TradeStation") is providing you with this additional risk disclosure before you open a Futures trading account, because one or more of the following applies to you:



- Your annual income is less than \$50,000
- Your net worth is less than \$25,000
- You are under age 21
- You are over age 65
- You do not have at least six months of futures trading experience

While TradeStation is prepared to open your account(s), we first advise you to consider the risks involved with futures trading. The risk of loss in futures trading can be substantial and may be inappropriate for any of the reasons referenced above; therefore, you must consider whether such trading is proper in light of your financial condition. Only risk capital (money that you are able to lose without adversely affecting your standard of living) should be invested. TradeStation recommends that you review the risk disclosure statements referred to in the Account Application and Agreement and discuss any concerns with your financial advisor(s) before finalizing your decision.

TradeStation's margin policies may require that additional funds be provided to properly meet margin requirements. Failure to maintain the minimum margin requirement may result in the liquidation of any open positions with resultant loss to customer.

ACKNOWLEDGEMENT

I understand that the risks associated with futures trading are often not appropriate for people in my situation. However, I have read the risk disclosure statements referenced in the Account Application and Agreement and I have considered the financial risks involved in futures trading with regard to my financial condition, and I believe futures trading is appropriate to my situation and wish to proceed with opening an account(s).

Signature of Customer		Title	Date
Print Name			
Signature of Customer		Title	Date
Print Name			



REQUIRED

This Account Application and Agreement, together with all of the agreements, acknowledgments, 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 by posting any such modifications or amendments on the www.TradeStation.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's divisions and affiliates, including, but not limited to, TradeStation Technologies, Inc., and TradeStation Securities, Inc. Your access to and use of your account, and the services provided by TradeStation, and all services provided by its divisions and affiliates are subject to this Agreement (or the applicable portion thereof). PLEASE READ ALL DOCUMENTS CAREFULLY. The Agreement, including each document that is a part thereof, constitutes a legally binding commitment made by you in favor of TradeStation's divisions and affiliates. The following Trading Experience is representative of the Primary Authorized Representative.

In order 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** **Futures**

For Equities accounts only:
Please select your Equity account commission schedule:

This is an important decision that should be made by you after careful analysis of the fee commission choices found at TradeStation.com. If you do not mark a box, your equity account commission schedule will be set up on Per-Trade basis.

Per-Share **Per-Trade**

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 Electronic Trading Only which means that you intend to trade directly via the TradeStation Platform.

Electronic trading only
(Trading directly through the TradeStation Platform)

Futures Options trading
(Trading through an external online application that has been interfaced with the TradeStation Platform. NOTE: Electronic contracts may also be traded through the external application. This means you will be doing all trading through the external application unless you open a second account to trade electronic futures through the TradeStation Platform)

For IRA accounts only (US citizens and US residents only.):
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**

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: Driver's License #(or another form of government-issued ID):			
Type of ID: <input type="checkbox"/> Driver's License <input type="checkbox"/> Passport <input type="checkbox"/> Other:			State of issue:
Foreign residents: Please send a photocopy of your passport and indicate its corresponding number. Also, please include address verification such as a driver's license, utility bill, state ID, bank statement, or lease contract.			
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		Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married	Number of dependents



REQUIRED

Employment Information

Are you employed by or associated with an NYSE, FINRA and/or NFA registered brokerage firm or an exchange? No Yes
If yes, you must include a letter from the firm granting authorization for you to open an account with TradeStation. It should be on corporate letterhead and signed by a principal or compliance officer of the firm.

Are you a director, 10% shareholder or policy-making officer of a publicly-owned company? No Yes If Yes, please list trading symbol

Employment Status:
 Employed Self-Employed Retired Unemployed Student Homemaker

Current occupation		Type of business	Years there
Name of employer		Employers address	
City	State/Province	Zip	Country

Source of income
 Salary Gift Inheritance Insurance proceeds Legal settlement Savings/Investments/Real Estate Other _____(specify)

Financial Information

<p>Annual Income in USD:</p> <input type="checkbox"/> If under \$50,000, specify _____ <input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$250,000-\$999,999 <input type="checkbox"/> Over \$1 million	<p>Total Net Worth in USD (excluding residence): This includes all checking, savings, real estate holdings, and other assets, minus all obligations, debts and liabilities.</p> <input type="checkbox"/> If under \$50,000, specify _____ <input type="checkbox"/> \$50,000-\$74,999 <input type="checkbox"/> \$75,000-\$99,999 <input type="checkbox"/> \$100,000-\$199,999 <input type="checkbox"/> \$200,000-\$499,999 <input type="checkbox"/> \$500,000-\$999,999 <input type="checkbox"/> \$1,000,000-\$4,999,999 <input type="checkbox"/> Over \$5 million	<p>Liquid Net Worth in USD: This includes cash and marketable securities, minus all obligations, debts and liabilities.</p> <input type="checkbox"/> If under \$25,000, specify _____ <input type="checkbox"/> \$25,000-\$49,999 <input type="checkbox"/> \$50,000-\$74,999 <input type="checkbox"/> \$75,000-\$99,999 <input type="checkbox"/> \$100,000-\$199,999 <input type="checkbox"/> \$200,000-\$499,999 <input type="checkbox"/> \$500,000-\$999,999 <input type="checkbox"/> \$1,000,000-\$4,999,999 <input type="checkbox"/> Over \$5 million
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Source of assets to be deposited to fund your TradeStation account:
 Salary Gift Inheritance Insurance proceeds Legal settlement Savings/Investments/Real Estate Other _____(specify)

Current Bank Reference: Firm Name	City	State
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If this is a foreign account, please provide the account number:

Trading Experience

<p>EQUITIES</p> No. of years trading : Avg. trades per month <input type="checkbox"/> None <input type="checkbox"/> None <input type="checkbox"/> If under 1, specify _____ <input type="checkbox"/> 1-5 <input type="checkbox"/> 1-2 <input type="checkbox"/> 6-25 <input type="checkbox"/> 2+ <input type="checkbox"/> 26-100+	<p>OPTIONS</p> No. of years trading : Avg. trades per month <input type="checkbox"/> None <input type="checkbox"/> None <input type="checkbox"/> If under 1, specify _____ <input type="checkbox"/> 1-5 <input type="checkbox"/> 1-2 <input type="checkbox"/> 6-25 <input type="checkbox"/> 2+ <input type="checkbox"/> 26-100+	<p>FUTURES</p> No. of years trading : Avg. trades per month <input type="checkbox"/> None <input type="checkbox"/> None <input type="checkbox"/> If under 1, specify _____ <input type="checkbox"/> 1-5 <input type="checkbox"/> 1-2 <input type="checkbox"/> 6-25 <input type="checkbox"/> 2+ <input type="checkbox"/> 26-100+
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For EEA Residence

<p>CFDS OR FINANCIAL SPREAD TRADING</p> No. of years trading : Avg. trades per month <input type="checkbox"/> None <input type="checkbox"/> None <input type="checkbox"/> If under 1, specify _____ <input type="checkbox"/> 1-5 <input type="checkbox"/> 1-2 <input type="checkbox"/> 6-25 <input type="checkbox"/> 2+ <input type="checkbox"/> 26-100+	<p>FOREX</p> No. of years trading : Avg. trades per month <input type="checkbox"/> None <input type="checkbox"/> None <input type="checkbox"/> If under 1, specify _____ <input type="checkbox"/> 1-5 <input type="checkbox"/> 1-2 <input type="checkbox"/> 6-25 <input type="checkbox"/> 2+ <input type="checkbox"/> 26-100+
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Do you have control or have a financial interest in any other account with TradeStation? No Yes If Yes, please list:

Have you ever had a brokerage account (either alone or with others) or been an authorized trader on someone else's brokerage account (for E.E.A. residents)?
 No Yes (If Yes, please list firm(s) below.)

Firm Name	Account is currently: <input type="checkbox"/> Open <input type="checkbox"/> Closed
Firm Name	Account is currently: <input type="checkbox"/> Open <input type="checkbox"/> Closed



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:

- 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

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
U.S. Social Security #			
Date of Birth		Citizenship	
U.S. residents: Driver's License #(or another form of government-issued ID):			
Type of ID: <input type="checkbox"/> Driver's License <input type="checkbox"/> Passport <input type="checkbox"/> Other:			State of Issue:
Foreign residents: Please send a photocopy of your passport and indicate its corresponding number. Also, please include address verification such as a driver's license, utility bill, state ID, bank statement, or lease contract.			
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		Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married	Number of dependents

Financial Information

Annual Income in USD:

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

Total Net Worth in USD (excluding residence):

This includes all checking, savings, real estate holdings, and other assets, minus all obligations, debts and liabilities.

- If under \$50,000, specify _____**
- \$200,000-\$499,999
- \$500,000-\$999,999
- \$50,000-\$74,999
- \$1,000,000-\$4,999,999
- \$75,000-\$99,999
- Over \$5 million
- \$100,000-\$199,999

Liquid Net Worth in USD:

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

- If under \$25,000, specify _____**
- \$100,000-\$199,999
- \$200,000-\$499,999
- \$25,000-\$49,999
- \$500,000-\$999,999
- \$50,000-\$74,999
- \$1,000,000-\$4,999,999
- \$75,000-\$99,999
- Over \$5 million

Source of assets to be deposited to fund your TradeStation account:

- Salary
- Gift
- Inheritance
- Insurance proceeds
- Legal settlement
- Savings/Investments/Real Estate
- Other _____ (Specify)

Current Bank Reference: Firm Name	City	State
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If this is a foreign account, please provide the account number:



Employment Information

Are you employed by or associated with an NYSE, FINRA and/or NFA registered brokerage firm or an exchange? No Yes
If yes, you must include a letter from the firm granting authorization for you to open an account with TradeStation. It should be on corporate letterhead and signed by a principal or compliance officer of the firm.

Are you a director, 10% shareholder or policy-making officer of a publicly-owned company? No Yes If Yes, please list trading symbol

Employment Status:
 Employed Self-Employed Retired Unemployed Student Homemaker

Current occupation		Type of business	Years there
Name of employer		Employers address	
City	State/Province	Zip	Country

Source of income
 Salary Gift Inheritance Insurance proceeds Legal settlement Savings/Investments/Real Estate Other.....(specify)

Trading Experience

EQUITIES		OPTIONS		FUTURES	
No. of years trading	: Avg. trades per month	No. of years trading	: Avg. trades per month	No. of years trading	: Avg. trades per month
<input type="checkbox"/> None	: <input type="checkbox"/> None	<input type="checkbox"/> None	: <input type="checkbox"/> None	<input type="checkbox"/> None	: <input type="checkbox"/> None
<input type="checkbox"/> If under 1, specify _____	: <input type="checkbox"/> 1-5	<input type="checkbox"/> If under 1, specify _____	: <input type="checkbox"/> 1-5	<input type="checkbox"/> If under 1, specify _____	: <input type="checkbox"/> 1-5
<input type="checkbox"/> 1-2	: <input type="checkbox"/> 6-25	<input type="checkbox"/> 1-2	: <input type="checkbox"/> 6-25	<input type="checkbox"/> 1-2	: <input type="checkbox"/> 6-25
<input type="checkbox"/> 2+	: <input type="checkbox"/> 26-100+	<input type="checkbox"/> 2+	: <input type="checkbox"/> 26-100+	<input type="checkbox"/> 2+	: <input type="checkbox"/> 26-100+

For EEA Residence

CFDS OR FINANCIAL SPREAD TRADING		FOREX	
No. of years trading	: Avg. trades per month	No. of years trading	: Avg. trades per month
<input type="checkbox"/> None	: <input type="checkbox"/> None	<input type="checkbox"/> None	: <input type="checkbox"/> None
<input type="checkbox"/> If under 1, specify _____	: <input type="checkbox"/> 1-5	<input type="checkbox"/> If under 1, specify _____	: <input type="checkbox"/> 1-5
<input type="checkbox"/> 1-2	: <input type="checkbox"/> 6-25	<input type="checkbox"/> 1-2	: <input type="checkbox"/> 6-25
<input type="checkbox"/> 2+	: <input type="checkbox"/> 26-100+	<input type="checkbox"/> 2+	: <input type="checkbox"/> 26-100+

Do you have control or have a financial interest in any other account with TradeStation? No Yes If Yes, please list:

Have you ever had a brokerage account (either alone or with others) or been an authorized trader on someone else's brokerage account (for E.E.A. residents)?
 No Yes (If Yes, please list firm(s) below.)

Firm Name	Account is currently: <input type="checkbox"/> Open <input type="checkbox"/> Closed
Firm Name	Account is currently: <input type="checkbox"/> Open <input type="checkbox"/> Closed



OPTIONS

Would you like the ability to trade options with this account?
 Yes No

If yes, please provide the following additional information.

Other Investments: <input type="checkbox"/> Real Estate <input type="checkbox"/> Tax Shelters <input type="checkbox"/> Savings
Investment Objectives: <input type="checkbox"/> Income <input type="checkbox"/> Growth <input type="checkbox"/> Trading Profits

Please check one or more of the option strategies you may wish to employ:

- | | |
|---|---|
| <input type="checkbox"/> 1. Covered call writing, Protective puts
<input type="checkbox"/> 2. Put/call buys, Collars, Covered puts (speculative)
<input type="checkbox"/> 3. Put/call spreads (speculative) | <input type="checkbox"/> 4. Put writing (speculative), Cash-covered puts (cash accounts only)
<input type="checkbox"/> 5. Uncovered call writing (This is a highly speculative activity) |
|---|---|

Financial Information

Annual Income in USD:

- | | |
|---|--|
| <input type="checkbox"/> If under \$50,000, specify _____ | <input type="checkbox"/> \$100,000-\$249,999 |
| <input type="checkbox"/> \$50,000-\$99,999 | <input type="checkbox"/> \$250,000-\$999,999 |
| | <input type="checkbox"/> Over \$1 million |

Total Net Worth in USD (excluding residence):

This includes all checking, savings, real estate holdings, and other assets, minus all obligations, debts and liabilities.

- | | |
|---|---|
| <input type="checkbox"/> If under \$50,000, specify _____
<input type="checkbox"/> \$50,000-\$74,999
<input type="checkbox"/> \$75,000-\$99,999
<input type="checkbox"/> \$100,000-\$199,999 | <input type="checkbox"/> \$200,000-\$499,999
<input type="checkbox"/> \$500,000-\$999,999
<input type="checkbox"/> \$1,000,000-\$4,999,999
<input type="checkbox"/> Over \$5 million |
|---|---|

Liquid Net Worth in USD:

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

- | | |
|---|---|
| <input type="checkbox"/> If under \$25,000, specify _____
<input type="checkbox"/> \$25,000-\$49,999
<input type="checkbox"/> \$50,000-\$74,999
<input type="checkbox"/> \$75,000-\$99,999 | <input type="checkbox"/> \$100,000-\$199,999
<input type="checkbox"/> \$200,000-\$499,999
<input type="checkbox"/> \$500,000-\$999,999
<input type="checkbox"/> \$1,000,000-\$4,999,999
<input type="checkbox"/> Over \$5 million |
|---|---|

Trading Experience

EQUITIES

- | | |
|--|----------------------------------|
| No. of years trading | Avg. trades per month |
| <input type="checkbox"/> None | <input type="checkbox"/> None |
| <input type="checkbox"/> If under 1, specify _____ | <input type="checkbox"/> 1-5 |
| <input type="checkbox"/> 1-2 | <input type="checkbox"/> 6-25 |
| <input type="checkbox"/> 2+ | <input type="checkbox"/> 26-100+ |

OPTIONS

- | | |
|--|----------------------------------|
| No. of years trading | Avg. trades per month |
| <input type="checkbox"/> None | <input type="checkbox"/> None |
| <input type="checkbox"/> If under 1, specify _____ | <input type="checkbox"/> 1-5 |
| <input type="checkbox"/> 1-2 | <input type="checkbox"/> 6-25 |
| <input type="checkbox"/> 2+ | <input type="checkbox"/> 26-100+ |

FUTURES

- | | |
|--|----------------------------------|
| No. of years trading | Avg. trades per month |
| <input type="checkbox"/> None | <input type="checkbox"/> None |
| <input type="checkbox"/> If under 1, specify _____ | <input type="checkbox"/> 1-5 |
| <input type="checkbox"/> 1-2 | <input type="checkbox"/> 6-25 |
| <input type="checkbox"/> 2+ | <input type="checkbox"/> 26-100+ |

For EEA Residence

CFDS OR FINANCIAL SPREAD TRADING

- | | |
|--|----------------------------------|
| No. of years trading | Avg. trades per month |
| <input type="checkbox"/> None | <input type="checkbox"/> None |
| <input type="checkbox"/> If under 1, specify _____ | <input type="checkbox"/> 1-5 |
| <input type="checkbox"/> 1-2 | <input type="checkbox"/> 6-25 |
| <input type="checkbox"/> 2+ | <input type="checkbox"/> 26-100+ |

FOREX

- | | |
|--|----------------------------------|
| No. of years trading | Avg. trades per month |
| <input type="checkbox"/> None | <input type="checkbox"/> None |
| <input type="checkbox"/> If under 1, specify _____ | <input type="checkbox"/> 1-5 |
| <input type="checkbox"/> 1-2 | <input type="checkbox"/> 6-25 |
| <input type="checkbox"/> 2+ | <input type="checkbox"/> 26-100+ |

Options trading is not suitable for all investors. If you would like the ability to trade options through a TradeStation account, please click here to view the disclosure document titled Characteristics and Risks of Standardized Options (link to <http://www.optionsclearing.com/components/docs/riskstoc.pdf>)

NOTE: FOR JOINT ACCOUNTS, TWO (2) AUTHORIZED SIGNATURES ARE REQUIRED. FOR ENTITY OR TRUST ACCOUNTS, ALL AUTHORIZED OFFICERS OR TRUSTEES ARE REQUIRED TO SIGN.

Account Signature	SIGN HERE	Date
Print Authorized Signor's Name		Date
Account Signature	SIGN HERE	Date
Print Authorized Signor's Name		Date

FOR INTERNAL USE ONLY

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	
Date disclosure document sent	Date statement of risks for uncovered options writers sent	



REQUIRED

The following sets forth your agreement with TradeStation's divisions and affiliates, including, but not limited to, TradeStation Securities, Inc. and TradeStation Technologies, Inc., ("TradeStation").

Minimum Activity Fee for Equities & Futures Accounts Only – \$99.95 per month

The Minimum Activity Fee is for servicing and maintaining your brokerage account(s) and will be charged shortly after funding of your brokerage account. Equities accounts trading 5,000 or more shares in the previous calendar month, Options accounts executing 50 or more contracts in the previous calendar month, Futures accounts trading 10 or more round-turn contracts in the previous calendar month, and Securities, Options or Futures accounts with a balance of \$100,000 or more on the last day of the previous calendar month, shall not be charged the Minimum Activity Fee, or RadarScreen® or OptionStation® monthly fees (if applicable), in the following month. **If you already have a TradeStation brokerage account and are receiving data services through the TradeStation platform, you will not be charged an additional Minimum Activity Fee or data fees for any new accounts that you open that are linked to the TradeStation platform or those data services. If you do not have a TradeStation brokerage account, you will be asked to choose the optional real-time exchange data you would like to receive when you log in for the first time.** Brokerage customers are not charged for access to the TradeStation electronic trading platform. In addition to the trading software you will receive access to the TradeStation Network's centralized historical database, delayed data for all major Equities exchanges and U.S. Futures Exchanges, and streaming news.

I (We), the Account Owner(s), hereby request and acknowledge and agree, that this account be established as a margin account, whether or not margin is used, unless otherwise prohibited or unless either TradeStation or its clearing firm, solely in its discretion, otherwise decides. For Futures Accounts only: I (We) represent and agree that unless I (We) have executed and delivered to you the Hedge Agreement included in this Application Booklet, the activity in this account shall be **speculative and high-risk in nature with the objective of short-term trading profits.** I (We) am (are) familiar with futures and securities derivatives, and have experience with futures trading and intra-day trading. **For Equities Accounts only:** I (We) represent and agree that the activity in this account shall be speculative and high-risk in nature with the objective of short-term trading profits. I (We) are familiar with direct-access trading and Level II or Market Depth systems and have experience with intra-day and swing trading. **For all accounts:** I (We) represent that I (we) have the financial ability to withstand a total loss of all of the capital placed in this account. I (We) hereby authorize TradeStation to charge this account for the monthly Minimum Activity Fee and all additional services checked above.

I (We) understand that prices, costs, terms and conditions are subject to change at any time and from time to time, and that any offer, statement or other communication I (we) receive about any product or service should be read and understood with that in mind. I (We) understand and agree that this Agreement includes, in addition to all of the terms, conditions and selections set forth above, the following agreements. By signing below, and by delivering to TradeStation that signature page (even if no other pages of Agreement are delivered), I (we) understand, acknowledge and agree that I (we) are executing and delivering each of those agreements to TradeStation and to any other party to any such agreement, and that I (we) are legally bound to each such agreement, and all of the terms and conditions above, to the same extent I (we) would be if each such agreement, term and condition was individually signed by me (us) and delivered to TradeStation (or its affiliate or clearing firm) in person.

Those agreements are:

- [TradeStation Securities Brokerage Account Agreement for Equities Accounts.](#)
- [TradeStation Securities Brokerage Account Agreement for Futures Accounts.](#)
- [TradeStation Technologies Subscription Agreement.](#) I (We) understand that this Subscription Agreement is between me (us) and TradeStation Technologies, Inc., an affiliate of TradeStation Securities, Inc.
- [Terms of Business of TradeStation Europe \(For Residents of EEA Countries Only\)](#)

I (We) represent to TradeStation (and its affiliates and clearing firm) that we have read and understood each and every provision of each and every document that is part of the Agreement, including, but not limited to, the agreements listed above, and my (our) acceptance of electronic trade confirmation, account statements, tax documents, and related notices as set forth below which includes my (our) acceptance of the Notice to Clients, Referral Disclosure, and Disclaimers. I (We) further represent to TradeStation (and its affiliates) that I (we) have visited the Web Site and have fully read and understood each of the documents ("Documents"), all of which, together with the TradeStation Account Agreement and TradeStation Technologies Subscription Agreement, are accessible at the bottom of the home page of the Web Site and at the bottom of nearly every other page of the Web Site:

- [Important Information](#)
- [Risk Disclosure Statement For Futures and Futures Options](#)
- [Notice to Online Traders](#)
- [Exercise and Assignment Policy for Futures Options](#)
- [Day-Trading Risk Disclosures](#)
- [Equity Trust Company IRA Agreement](#)
- [Margin Disclosure Statement](#)
- [Trading and Order Routing Disclosure Statement for Futures Trades](#)
- [Anti-Money Laundering Requirements](#)
- [New York Board of Trade Electronic Order Routing Systems Disclosure Statement](#)
- [Privacy Policy](#)
- [Risks Regarding the Use of Stop Orders during Volatile Market Conditions](#)
- [Equity Stop Order and Stop Limit Order Disclosure](#)
- [Business Continuity Plan Disclosure](#)
- [Web Site User Agreement, Disclaimer and Certain Legal Notices](#)
- [FCM Specific Disclosure Document](#)
- [OTCBB Disclosure](#)
- [Extended Trading Hours Risk Disclosure](#)
- [Truth-in-Lending Disclosure Statement](#)
- [Characteristics and Risks of Standardized Options](#)
- [Special Statement for Uncovered Options Writers](#)
- [Disclosure for Futures Customers based in Singapore](#)
- [SEC Rule 606 Report & Rule 607 Disclosure](#)

I (We) understand, acknowledge and agree that each **disclaimer of liability by TradeStation** (on its own behalf and on behalf of its affiliates, clearing firms, vendors, suppliers, agents and other service providers), each **assumption of risk by me (us)** as client, customer or user, and each representation, warranty, covenant, obligation and agreement made or undertaken by me (us) as client, customer or user which is contained in any of the Documents, is part of this Agreement, and is as binding on me (us), and creates estoppel and affirmative defenses against me (us), to the same extent as would be the case if each of such Documents was individually signed by me (us) and delivered to TradeStation in person. I (We) also understand, acknowledge and agree that TradeStation is an express third-party beneficiary of the TradeStation Technologies Subscription Agreement and may exercise all rights, remedies, benefits and privileges conferred upon or available to those parties under those agreements in the name or on behalf of TradeStation.

I (We) understand and agree that one or more of the Documents, or one or more of the other agreements that are part of this Agreement (including the TradeStation Account Agreement and the TradeStation Technologies Subscription Agreement, may be modified or amended and restated, or a new Document or agreement may be added (as the case may be, a "Change"), at any time, and from time to time, as a result of changes in legal or regulatory requirements or in TradeStation's or its affiliate's (as applicable) sole and absolute discretion (to the extent permissible under applicable laws, rules and regulations), and I (we) agree that those Changes shall be deemed effective with respect to me (us) on the earlier of the date they are made on the Website or notifying me (us) of the Changes by e-mail, postcard, regular mail or any other reasonable method of notice. Accordingly, I (we) therefore assume the responsibility of reviewing the Documents and agreements, and this section of the Web Site generally, on a periodic basis.

REQUIRED

I (We) represent, warrant and covenant to TradeStation and its affiliates that any and all funds deposited, or that will be deposited, in my (our) account are and will be my (our) personal funds, have not been and will not be solicited from any third party, and no third party has or will have any direct or indirect ownership or other beneficial or financial interest in those funds or in any securities, contracts, currencies, financial instruments or other property purchased with or through the use of such funds.

Special Provisions for Joint Accounts. If this is a joint account, "We" and "us" (and not "I" or "me") applies, and refers to all account holders, and each of the account holders agrees that any account holder, acting alone, has authority on behalf of the joint account to: (a) buy, sell (including short sales), and otherwise deal in foreign currencies, derivatives, contracts, stocks, bonds, options, and other securities and securities derivatives or futures products and other financial instruments, on margin or otherwise; (b) receive demands, notices, confirmations, reports, statements of account, and communications of every kind on behalf of the joint account; (c) receive money, securities, and property of every kind and dispose of the same on behalf of the joint account; (d) make agreements relating to any of the foregoing matters and to terminate, modify, or waive any of the provisions of the Agreement or applicable law (that may be waived) on behalf of the joint account; (e) deal with TradeStation as fully and completely as if she/he alone were interested in this account and without notice to the other account participants, and (f) elect and terminate account-related products and services. All obligations and liabilities arising under this account are joint and several and may be enforced by TradeStation against any or all account holders.

TradeStation shall have authority to follow the instructions of any joint account holder in every respect and to deliver any or all monies, securities, or other property to any joint account holder upon the instructions of any joint account holder, or to any other person upon such instructions, even if such delivery or payment is to that joint account holder personally and not to the other(s). TradeStation will be under no obligation to inquire into the purpose or propriety of such delivery or payment and is not bound to inquire into the disposition or application of such delivery or payment. This authority remains in force until written notice to the contrary is addressed to TradeStation and delivered to its main office in Plantation, Florida, Attention: Director of Brokerage Client Service. TradeStation, solely in its discretion and solely for its protection, may require the written consent of all account holders prior to acting upon the instruction of any account holder.

Laws governing joint ownership of property vary from country to country. The account holders are responsible for verifying that the joint registration selected is valid in their country. Generally, for joint tenants with rights of survivorship, in the event of the death of either tenant, the entire interest in the joint account shall be vested in the surviving joint tenant(s) on the same terms and conditions. For tenants in common, the interest in each tenancy shall be equal unless specified and in the event of death of either tenant the interest in its, his or her share of the tenancy shall vest in the decedent's legal representative. Laws regulating community property vary from country to country. Account holders should consult their own legal advisor.

U.S. citizens and U.S. residents only – Tax Withholding Certification. Under penalty of perjury, I certify that: (1) the number shown on this form is my correct taxpayer identification number, and (2) I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and (3) I am a U.S. person (which includes being a U.S. resident alien). I understand that I must cross out item 2 above if I have been notified by the IRS that I am currently subject to backup withholding because I have failed to report all interest and dividends on my tax return. **Note: The IRS does not require consent to any provision of this paragraph other than the certification required to avoid backup withholding. If this is a joint account, each joint account owner is separately making the certification.**



FOREIGN RESIDENTS ONLY. If I reside outside of the United States, I confirm and represent that TradeStation did not solicit me to establish and open this account.



For Equities Accounts: By signing below, I (We) have read and agree to the **pre-dispute arbitration** provisions set forth in **section 37** of the **TradeStation Securities Equities Account Agreement**.

For Futures accounts: ELECTION TO ARBITRATE DISPUTES			
I (We) have read the Arbitration provisions set forth in paragraph 41 of the TradeStation Securities Futures Account Agreement .			
If this is a futures account, I (We) make the following election:			
I ACCEPT THE ARBITRATION PROVISION	I DECLINE THE ARBITRATION PROVISION	ELECTION NOT APPLICABLE TO EQUITIES ACCOUNTS.	
Initials <input style="width: 50px; height: 30px;" type="text"/>	Initials <input style="width: 50px; height: 30px;" type="text"/>	Initials <input style="width: 50px; height: 30px;" type="text"/>	Initials <input style="width: 50px; height: 30px;" type="text"/>

I (We) confirm that the details provided by me (us) during the online and/or full application process are complete, accurate and not misleading in any respect, and I (We) will promptly notify you in writing if any of the representations contained herein shall materially change or cease to be true and correct.

IN WITNESS WHEREOF, I (We), the undersigned, hereby execute and deliver the Agreement, intending to be legally bound, as of the date set forth below.

Main Account Owner's Signature		Date
Joint Account Owner's Signature (if a joint account)		Date

Authorized Signature (if an entity account)		Date
Print Authorized Signor's Name and Title		
Authorized Signature (if an entity account)		Date
Print Authorized Signor's Name and Title		



For detailed instructions on completing this form, please visit www.irs.gov/formspubs/

Form **W-8BEN**

(Rev. February 2014)

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.
- ▶ Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
- ▶ 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:

- 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**
- A person acting as an intermediary **W-8IMY**

Instead, use Form:

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 _____ of the _____ treaty identified on line 9 above to claim a _____% rate of withholding on (specify type of income): _____

Explain the reasons the beneficial owner meets the terms of the treaty article: _____

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 as an individual that is an owner or account holder of a foreign financial institution,
- 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. 2-2014)