



Account Application

PO Box 2760 ■ Omaha, NE 68103-2760

Fax: 866-468-6268

Questions? Call a New Accounts representative at 800-276-8746. Please visit us at www.tdameritrade.com for more information about opening an account.

1. TYPE OF ACCOUNT (Please select only one.)

If you are establishing a Joint account and do not check a box, the account will be registered as Joint Tenants with Rights of Survivorship. If the account owners do not qualify for the joint account type selected, then the joint account type will default to Joint Tenants with Rights of Survivorship.

- ☐ Individual in your name only (*non-IRA*).
- ☐ Joint Tenants with Rights of Survivorship (JTWROS). If a Joint owner dies, his/her interest passes to the other Account Owner.
- ☐ Community Property. AZ, CA, ID, LA, NM, NV, TX, WA, WI residents only (*spouses only*).
- ☐ Tenants in Common - ____% Owner ____% Co-Owner (*50/50, unless otherwise noted*). If a Joint owner dies, his/her interest passes to his/her estate.
- ☐ Tenants by the Entireties. If a Joint owner dies, his/her interest passes to the other Account Owner (*spouses only*).
- ☐ Custodial Accounts (UGMA/UTMA) under the state of _____. (*If state is left blank, minor's state of residence will default.*)
- ☐ Guardianship or Conservatorship (*legal or court-order documents required*).

2. ACCOUNT OWNER INFORMATION (Minor's information if UTMA/UGMA.)

Name Prefix (*optional*): ☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr. ☐ Rev.

Full Legal Name (*required*):

U.S. Social Security Number: (SSN) _____		Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed	
Date of Birth: (MM-DD-YYYY) _____		Number of Dependents: _____	Mother's Maiden Name: _____
Home Address: (no PO Box or mail drop)			
City: _____		State: _____	ZIP Code: _____
Mailing Address: (if different from above)			
City: _____		State: _____	ZIP Code: _____
Primary Phone: _____ <input type="checkbox"/> Check here if this is not a U.S. phone number		Secondary Phone: _____ <input type="checkbox"/> Check here if this is not a U.S. phone number	
Fax Number: _____			
Email Address (<i>required for electronic delivery of your account statement and trade confirmations</i>): _____			
Please specify if you are: <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student <input type="checkbox"/> Self-Employed		Source of Income (<i>If Unemployed, Retired, Homemaker, or Student</i>) _____	
Employer Name (<i>If Self Employed, provide the name of your business</i>): _____		Occupation: _____	
Type of Business: _____			
Employer Street Address: _____			
City: _____		State: _____	ZIP Code: _____
<input type="checkbox"/> Check here if you are NOT a U.S. citizen.		Country of citizenship: _____	
Country of Dual or Secondary Citizenship: _____		Country of Birth: _____	
Non-U.S. citizens*: Do you hold a current U.S. immigration visa? <input type="checkbox"/> Yes <input type="checkbox"/> No		Specify visa type: _____	Expiration: _____

*Nonresident aliens must submit an original Form W-8BEN, a copy of a current passport, and a copy of a bank or brokerage statement. If a U.S. address is listed, then attach a signed letter of instruction explaining why you have a U.S. address.



3. ACCOUNT CO-OWNER INFORMATION (Custodian's information if UTMA/UGMA.)

Name Prefix (optional): ☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr. ☐ Rev.

Full Legal Name (required):

U.S. Social Security Number:
(SSN) _____

Marital Status:

☐ Single ☐ Married ☐ Divorced ☐ Widowed

Date of Birth:

(MM-DD-YYYY) _____

Are you the Account Owner's
spouse?: ☐ Yes ☐ No

Number of
Dependents: _____

Mother's Maiden Name: _____

Home Address (if different from
Account Owner; no PO Box or mail drop):

City: _____

State: _____

ZIP Code: _____

Mailing Address:

(if different from above)

City: _____

State: _____

ZIP Code: _____

Primary Phone: _____

☐ Check here if this is not a U.S. phone number

Secondary Phone: _____

☐ Check here if this is not a U.S. phone number

Fax Number: _____

Email Address (required for electronic delivery of
your account statement and trade confirmations):

Please specify if you are:

☐ Unemployed ☐ Retired ☐ Homemaker ☐ Student ☐ Self-Employed

Source of income (If Unemployed, Retired, Homemaker, or Student):

Employer Name (If Self Employed,
provide the name of your business):

Occupation: _____

Type of Business: _____

Employer Street Address: _____

City: _____

State: _____

ZIP Code: _____

☐ Check here if you are **NOT** a U.S. citizen.

Country of citizenship: _____

Country of Dual or Secondary Citizenship: _____

Country of Birth: _____

Non-U.S. citizens*: Do you hold a current U.S. immigration visa?

☐ Yes ☐ No

Specify visa type: _____

Expiration: _____

*Nonresident aliens must submit an original Form W-8BEN, a copy of a current passport, and a copy of a bank or brokerage statement. If a U.S. address is listed, then attach a signed letter of instruction explaining why you have a U.S. address.

4. AFFILIATIONS

Check here if the ☐ Account Owner, ☐ Account Co-Owner, their spouse, any member of their immediate families, including parents, in-laws, siblings and dependents, and any personal or business associates is a senior political figure (SPF). Specify the name of the SPF, political title, relationship to Account Owner/ Co-Owner, and country of office:

Check here if the ☐ Account Owner or ☐ Co-Owner, their spouse, any member of their immediate families, including parents, in-laws, siblings, and dependents is a director, 10% shareholder, or policy-making officer of a publicly traded company. Specify the company ticker symbol, name, address, city, and state:

Check here if the ☐ Account Owner or ☐ Co-Owner, their spouse, any member of their immediate families, including parents, in-laws, siblings, and dependents is licensed, employed by, or associated with, a broker-dealer firm, a financial services regulator, securities exchange, or member of a securities exchange. If checked, please specify entity below. If this entity requires its approval for you to open this account, please provide a copy of the required authorization letter (with this application):

5. ACCOUNT SUITABILITY

For definitions regarding Investment Objectives, please see final page of application.

Select the degree of risk you are willing to take with the assets in this account:	<input type="checkbox"/> Conservative	<input type="checkbox"/> Moderate	<input type="checkbox"/> Aggressive	<input type="checkbox"/> Speculative		
Select the primary investment objective for the account:	<input type="checkbox"/> Conservation	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate Growth	<input type="checkbox"/> Growth	<input type="checkbox"/> Aggressive Growth	
Select the secondary investment objectives for the account: (Check at least one or all that apply)	<input type="checkbox"/> Conservation	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate Growth	<input type="checkbox"/> Growth	<input type="checkbox"/> Aggressive Growth	<input type="checkbox"/> None
Select your liquidity needs for this account: (Check only one that applies.)	<input type="checkbox"/> Within 3 months	<input type="checkbox"/> 4 - 6 months	<input type="checkbox"/> 7 - 9 months	<input type="checkbox"/> 10 - 12 months	<input type="checkbox"/> More than 1 year	
Select the investment time horizon for this account:	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> 1 - 3 years	<input type="checkbox"/> 4 - 6 years	<input type="checkbox"/> 7 - 9 years	<input type="checkbox"/> 10 - 12 years	<input type="checkbox"/> 13 years or more

6. FINANCIAL INFORMATION

Joint accounts should indicate combined amounts. Tenants in Common accounts must provide financial information for each owner separately. **All qualified accounts are opened as margin accounts.** A margin account allows you to borrow from TD Ameritrade against certain securities as your collateral. A decline in the value of your securities may require you to provide additional funds, or force the sale of securities in your account. Selling short can expose you to potentially unlimited risk. To learn more about the potential benefits of margin borrowing and the associated risks involved, read the Margin Account Handbook.

☐ **Check this box to decline margin privileges.**

Account Owner

Annual Income:	<input type="checkbox"/> \$0-\$24,999	<input type="checkbox"/> \$25,000-\$49,999	<input type="checkbox"/> \$50,000-\$99,999	<input type="checkbox"/> \$100,000-\$249,999	<input type="checkbox"/> \$250,000+
Approximate Net Worth: (not including residence)	<input type="checkbox"/> \$0-\$14,999 <input type="checkbox"/> \$250,000-\$499,999	<input type="checkbox"/> \$15,000-\$49,999 <input type="checkbox"/> \$500,000-\$999,999	<input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$1,000,000-\$1,999,999	<input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$2,000,000+	
Approximate Liquid Net Worth: (cash, stocks, etc.)	<input type="checkbox"/> \$0-\$14,999 <input type="checkbox"/> \$250,000-\$499,999	<input type="checkbox"/> \$15,000-\$49,999 <input type="checkbox"/> \$500,000-\$999,999	<input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$1,000,000-\$1,999,999	<input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$2,000,000+	

Account Co-Owner

Annual Income:	<input type="checkbox"/> \$0-\$24,999	<input type="checkbox"/> \$25,000-\$49,999	<input type="checkbox"/> \$50,000-\$99,999	<input type="checkbox"/> \$100,000-\$249,000	<input type="checkbox"/> \$250,000+
Approximate Net Worth: (not including residence)	<input type="checkbox"/> \$0-\$14,999 <input type="checkbox"/> \$250,000-\$499,999	<input type="checkbox"/> \$15,000-\$49,999 <input type="checkbox"/> \$500,000-\$999,999	<input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$1,000,000-\$1,999,999	<input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$2,000,000+	
Approximate Liquid Net Worth: (cash, stocks, etc.)	<input type="checkbox"/> \$0-\$14,999 <input type="checkbox"/> \$250,000-\$499,999	<input type="checkbox"/> \$15,000-\$49,999 <input type="checkbox"/> \$500,000-\$999,999	<input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$1,000,000-\$1,999,999	<input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$2,000,000+	

7. FUNDING YOUR ACCOUNT

I will be funding with:

- ☐ A check. **Please make check payable to TD Ameritrade Clearing, Inc.**
- ☐ A wire transfer to be initiated after account opening. Please contact TD Ameritrade prior to initiating wire transfer.
- ☐ A transfer of assets from an existing account. Please complete and include an Account Transfer Form and a copy of your most recent statement.
- ☐ A transfer from an existing TD Ameritrade account. Please complete and include an Internal Transfer Form.
- ☐ Stock certificates. Please contact TD Ameritrade prior to submitting certificates.

8. CASH SWEEP VEHICLE CHOICES (Please select only one.)

You offer me choices in managing all aspects of my portfolio. This includes offering different programs to earn interest on the cash in my account through our Cash Balance programs. See the Client Agreement for a complete description of the Cash Sweep program. **If I do not make a selection, my cash balances will be swept to the TD Ameritrade FDIC Insured Deposit Account. Other sweep choices are available for clients with household values greater than \$500,000 and cash balances of more than \$100,000.**

- ☐ TD Ameritrade FDIC Insured Deposit Account (IDA)
- ☐ TD Ameritrade Cash (Protected by the Securities Investor Protection Corporation (SIPC))

9. TRADE CONFIRMATIONS

I understand that I will receive monthly account statements and trade confirmations electronically, unless I make a selection below. If I do not provide a valid email address, I will receive a quarterly paper statement or a monthly paper statement. Certain types of accounts or activity (such as options trading) require a monthly statement, either electronically or via U.S. mail. I will be responsible for any fees that apply. Accounts with a total liquidation value of \$100,000 or an average of five trades per month over a three-month period are eligible to receive free paper statement and confirmation delivery.

I elect to receive either electronic statements or electronic confirmations, I will receive shareholder information electronically when available.

Account Statement:	<input type="checkbox"/> Electronic Monthly	<input type="checkbox"/> Paper Monthly (\$2 fee may apply each month)	<input type="checkbox"/> Paper Quarterly (\$2 fee may apply each quarter)
Trade Confirmation:	<input type="checkbox"/> Electronic	<input type="checkbox"/> Paper (\$2 fee for each confirmation may apply)	

☐ Unless I have checked this box, TD Ameritrade will provide my name to corporations whose securities I hold in my account for the purpose of additional corporate communications.

10. ACCOUNT AGREEMENT

I have received and read the Client Agreement, which is incorporated by this reference, that will govern my account.

I agree to be bound by this Client Agreement, as amended from time to time, and request an account to be opened in the name(s) set forth below. **The Client Agreement applicable to this brokerage account agreement contains predispute arbitration clauses. By signing this agreement, the parties agree to be bound by the terms of the agreement, including the arbitration agreement located in Section 12 of the Client Agreement on pages 7 and 8.** All securities, dividends and proceeds will be held at TD Ameritrade Clearing, Inc., unless otherwise instructed. I understand that TD Ameritrade may obtain a current consumer or credit report to determine my eligibility, or continuing eligibility, for credit or for other legitimate business purposes. Any decision by TD Ameritrade to extend credit may be based on information contained in a consumer or credit report, as well as the policies of TD Ameritrade and TD Ameritrade Clearing, Inc. I understand that TD Ameritrade may relate information regarding this account, including account delinquency and voluntary closures, to consumer or credit reporting agencies. Upon my request, TD Ameritrade shall inform me of each consumer or credit reporting agency from which they have obtained and/or reported my consumer or credit report. TD Ameritrade agrees to notify the consumer or credit reporting agencies if I dispute the completeness or accuracy of the information furnished by TD Ameritrade. By my signature below, I authorize TD Ameritrade to obtain consumer or credit reports for the name(s) set forth below. I understand that non-deposit investments purchased through TD Ameritrade are not insured by the FDIC, are not obligations of or guaranteed by any financial institution, and are subject to investment risk and loss that may exceed the principal invested. Unless I have declined the margin feature, I acknowledge that securities securing loans from TD Ameritrade may be lent to TD Ameritrade and lent by TD Ameritrade to others. I also acknowledge that if I trade "on margin," I am borrowing money from TD Ameritrade and that I understand the requirements and risks associated with margin as summarized in the Margin Handbook and Margin Disclosure Document.

Important information about procedures for opening a new account:

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.



What this means for you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also utilize a third-party information provider for verification purposes and/or ask for a copy of your driver's license or other identifying documents.

If this is a Joint account, all Account Owners must sign. If you wish to trade options in your account, complete the Account Options Suitability and Options Account Agreement section on the next page.

Under penalties 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. citizen or other U.S. person, and (4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

If I have been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding because I have failed to report all interest and dividends on my tax return, I must cross out (2) in this certification.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

 Account Owner's Signature:	Date: ____ _
 Account Co-Owner's Signature:	Date: ____ _

Original signatures required; electronic signatures and/or signature fonts are not authorized.

Investment Products: Not FDIC Insured * No Bank Guarantee * May Lose Value

OPTIONS ACCOUNT

Due to the risks involved in options, we are required to obtain the following information. The Financial Information section must be completed to be considered for options.

☐ Check this box to decline options privileges.

11. ACCOUNT OPTIONS SUITABILITY

For definitions regarding Options Objectives, please see final page of application.

Types of Transactions: (Check all that apply.)	<input type="checkbox"/> Stocks	<input type="checkbox"/> Bonds	<input type="checkbox"/> Options	
What Are Your Options Investment Objectives? (Check all that apply.)	<input type="checkbox"/> Growth	<input type="checkbox"/> Speculation	<input type="checkbox"/> Income	<input type="checkbox"/> Conservation of Capital
What Type of Activity Do You Plan to Conduct in Your Options Account?	<input type="checkbox"/> Tier 1 - Covered Write covered calls Write cash-secured puts	<input type="checkbox"/> Tier 2 - Standard Cash Purchase options Write covered calls Write cash-secured puts	<input type="checkbox"/> Tier 2 - Standard Margin Create spreads Purchase options Write covered puts Write covered calls Write cash-secured puts Requires Margin Account	<input type="checkbox"/> Tier 3 - Advanced Write uncovered options Create spreads Purchase options Write covered puts Write covered calls Requires Margin Account

ACCOUNT OWNER OPTIONS SUITABILITY



Years of Investment Experience:	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> 1 - 2 years	<input type="checkbox"/> 3 - 5 years	<input type="checkbox"/> 6 - 9 years	<input type="checkbox"/> 10+ years
Investment Knowledge or Education:	<input type="checkbox"/> Limited	<input type="checkbox"/> Good	<input type="checkbox"/> Extensive	<input type="checkbox"/> Professional Trader	
I am an Investools Client:	<input type="checkbox"/> Yes	<input type="checkbox"/> No			

ACCOUNT CO-OWNER OPTIONS SUITABILITY

Years of Investment Experience:	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> 1 - 2 years	<input type="checkbox"/> 3 - 5 years	<input type="checkbox"/> 6 - 9 years	<input type="checkbox"/> 10+ years
Investment Knowledge or Education:	<input type="checkbox"/> Limited	<input type="checkbox"/> Good	<input type="checkbox"/> Extensive	<input type="checkbox"/> Professional Trader	
I am an Investools Client:	<input type="checkbox"/> Yes	<input type="checkbox"/> No			

12. OPTIONS ACCOUNT AGREEMENT

I hereby apply for an options account and agree to abide by the rules of the listed options exchanges and the Options Clearing Corporation and will not violate current position and exercise limits. I have received and read the Client Agreement that will govern my account, and agree to be bound by it as currently in effect and as amended from time to time. I am aware of the risks involved in options trading and represent that I am financially able to bear such risks and withstand options-trading losses.

 Account Owner's Signature:	Date: ____ _
 Account Co-Owner's Signature:	Date: ____ _

Original signatures required; electronic signatures and/or signature fonts are not authorized.

Investment Products: Not FDIC Insured * No Bank Guarantee * May Lose Value

Investools Inc. and TD Ameritrade, Inc. are separate but affiliated companies that are not responsible for each other's services or policies.

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INVESTMENT OBJECTIVES DEFINITIONS

Conservation:

Reflects your desire to seek very low risk and minimize potential loss of principal. You may seek income from your investments while understanding that returns may not keep pace with inflation. You may also intend to invest over a short period of time.

Moderate:

Reflects your desire to seek lower risk and fluctuation in your portfolio, while striving to achieve more stable returns on your investments. It may also mean that you plan to invest over a short period of time.

Moderate growth:

Reflects your desire to seek growth in your portfolio by typically using a balance of growth and conservative investment types. It may also mean that you are moderately tolerant of risk and plan to invest for a medium to long period of time.

Growth:

Reflects your desire to seek the potential for investment growth, as well as your tolerance for more significant market fluctuations and risk of loss. It may also mean that you plan to invest over a long period of time.

Aggressive Growth:

Reflects your desire for potentially substantial investment growth, as well as your tolerance for large market fluctuations and increased risk of loss. It may also mean that you plan to invest over a long period of time.

OPTIONS OBJECTIVES DEFINITIONS

Growth:

Investors are seeking the potential for investment growth and have a tolerance for more significant market fluctuations and risk of loss.

Speculative:

Investors are seeking short-term market gains that generally have above average, maximum risk, but offer the potential for short-term, maximum gains. These strategies also have the potential for significant losses and investors understand they could lose most, or all, of the money they have invested.

Income:

Investors are seeking income with a modest degree of risk. These investors are typically willing to accept lower potential returns in exchange for lower risk and volatility, and understand their returns may not keep pace with inflation.

Conservation of Capital:

Investors are seeking to avoid risk and minimize potential loss of principal.