



# Margin/Options Upgrade Form

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Fax: 866-468-6268

Questions? Please visit [tdameritrade.com](http://tdameritrade.com) or call a Client Services representative at 800-669-3900.

To add margin or add/upgrade options privileges for your account, Sections 1 - 7 must be completed. **Entities must also complete section 3.**  
To only add margin to your account, Sections 1 - 5 must be completed, and 7 must be signed. **Entities must also complete section 3.**

**Please Note:** • Duplicate, like-titled margin accounts are not permitted.  
• Custodial accounts are not eligible for margin or advanced options privileges.

## 1. ACCOUNT INFORMATION

Account Number (required):

### Account Owner/Authorized Agent

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

Full Legal Name/Account Title:

Date of Birth: (MM-DD-YYYY)	Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed	Number of Dependents:
Employment Status: <input type="checkbox"/> Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student <input type="checkbox"/> Self-Employed	Source of income (if Unemployed, Retired, Homemaker, or Student):	
Employer Name (if self-employed, provide the name of your business and industry):		

Please choose from the list provided on page 5 the occupation code and industry of occupation code that most accurately describes your situation.  
Occupation: Industry of Occupation:

Employer Street Address:

City:	State:	ZIP Code:	Country:
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Annual Income:  \$0 - \$24,999  \$25,000 - \$49,999  \$50,000 - \$99,999  \$100,000 - \$249,999  \$250,000+

Approximate net worth: (not including primary residence)  \$0 - \$14,999  \$15,000 - \$49,999  \$50,000 - \$99,999  \$100,000 - \$249,999  \$250,000 - \$499,999  \$500,000 - \$999,999  \$1,000,000 - \$1,999,999  \$2,000,000+

Approximate liquid net worth: (cash, stocks, etc.)  \$0 - \$14,999  \$15,000 - \$49,999  \$50,000 - \$99,999  \$100,000 - \$249,999  \$250,000 - \$499,999  \$500,000 - \$999,999  \$1,000,000 - \$1,999,999  \$2,000,000+

What best describes the ongoing source of funds for this account?  
 Employment/Wages  Retirement Funds  Gift  Savings  
 Inheritance/Trust  Investments  Unemployment/Disability  Legal Settlement  
 Lottery/Gaming  Spousal/Parental Support  Other (describe source of funds): \_\_\_\_\_

### Account Co-Owner/Authorized Agent

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

Full Legal Name/Account Title:

Date of Birth: (MM-DD-YYYY)	Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed	Number of dependents:
Employment Status: <input type="checkbox"/> Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student <input type="checkbox"/> Self-Employed	Source of income (if Unemployed, Retired, Homemaker, or Student):	
Employer Name (if self-employed, provide the name of your business and industry):		

Please choose from the list provided on page 5 the occupation code and industry of occupation code that most accurately describes your situation.  
Occupation: Industry of Occupation:

Employer Street Address:

City:	State:	ZIP Code:	Country:
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Account Number (required): \_\_\_\_\_

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 primary 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+	
What best describes the ongoing source of funds for this account?	<input type="checkbox"/> Employment/Wages <input type="checkbox"/> Inheritance/Trust <input type="checkbox"/> Lottery/Gaming	<input type="checkbox"/> Retirement Funds <input type="checkbox"/> Investments <input type="checkbox"/> Spousal/Parental Support	<input type="checkbox"/> Gift <input type="checkbox"/> Unemployment/Disability <input type="checkbox"/> Other (describe source of funds): _____	<input type="checkbox"/> Savings <input type="checkbox"/> Legal Settlement	

## 2. AFFILIATIONS

Check here if the  Account Owner or  Co-Owner, their spouses, any member of their immediate family, 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 upgrade form:**

Check here if the  Account Owner or  Co-Owner, their spouses, any member of their immediate family, including parents, in-laws, siblings, and dependents is a member of the board of directors, 10% shareholder, or policy-making officer of a publicly traded company. Specify the company name or ticker symbol and address (including street address, city, state, and ZIP code):

## 3. ENTITY ACCOUNT INVESTMENTS PERMITTED

(Trusts, Sole Proprietorship, Partnership, Limited Partnership, Corporate, LLC, Investment Club, Non-Incorporated Entities only)

The undersigned certify that the Entity permits purchases and sales of securities in the following types of accounts as well as all transaction types indicated below.

Margin      Options:  Write covered calls, write cash-secured puts       Purchase options       Create spreads       Write uncovered options

## 4. INVESTMENT OBJECTIVES

For definitions regarding investment objectives, please see page 4 of the upgrade form.

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 this 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 this 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

## 5. MARGIN PRIVILEGES

**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, please read the Margin Account Handbook.

Check this box to decline margin privileges.

## 6. OPTIONS ACCOUNT

Due to the risks involved in options, we are required to obtain the following information. The income information above must be completed to be considered for options. Tenants in Common accounts must provide options information for each owner separately.

Check this box to decline options privileges.

## OPTIONS OBJECTIVES

For definitions regarding options objectives, please see page 4 of the upgrade form.

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

Account Number (required): \_\_\_\_\_

**Account Owner Options Objectives**

Years of Investment Experience:  Less than 1 year  1-2 years  3-5 years  6-9 years  10+ years

Investment Knowledge or Education:  Limited  Good  Extensive  Professional Trader

**Account Co-Owner Options Objectives**

Years of Investment Experience:  Less than 1 year  1-2 years  3-5 years  6-9 years  10+ years

Investment Knowledge or Education:  Limited  Good  Extensive  Professional Trader

**7. MARGIN AND OPTIONS AGREEMENT**

I have previously received and read the "Client Agreement," which is incorporated by this reference, and which will govern my account. I agree to be bound by this Client Agreement, as amended from time to time, and request a margin and/or options account as indicated above be opened in the name(s) set forth below. 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. 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.

If I have requested an options account, 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. I 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.

**The Client Agreement applicable to this brokerage account contains a predispute arbitration clause. By signing this agreement, the parties agree to be bound by the terms of the Client Agreement, including the arbitration agreement located in Section 12 of the Client Agreement on page 8.**

**All Account Owners/Authorized Agents must sign.**

**X** Account Owner's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Account Owner's Printed Name: \_\_\_\_\_

**X** Account Co-Owner's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Account Co-Owner's Printed Name: \_\_\_\_\_

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

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

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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 from 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.

**Occupation Codes**

A42	Accountant/Auditor/Bookkeeper	C82	Compliance/Regulatory Professional	N21	Nurse
A62	Adjuster	C92	Consultant	O11	Office Associate
A82	Advertiser/Marketer/PR Professional	C43	Counselor/Therapist	O21	Other; If Other, include a description in the Occupation box.
A33	Air Traffic Controller	C53	Customer Service Representative	P81	Pharmacist
A43	Ambassador/Consulate Professional	D11	Dealer	P91	Physical Therapist
A53	Analyst	D61	Dentist	P22	Pilot
A63	Appraiser	D31	Distributor	P32	Police Officer/Firefighter/Law Enforcement Professional
A73	Architect/Designer	D41	Doctor/Surgeon/Physician	P42	Politician
A83	Artist/Performer/Actor/Dancer	D51	Driver	P52	Project Manager
A93	Assistant/Executive Assistant	E51	Engineer	R81	Real Estate Professional
A44	Athlete	E71	Exterminator	R71	Researcher
A64	Attorney/Judge/Legal Professional	F71	Factory/Warehouse Worker	S41	Salesperson
A74	Auctioneer	F81	Farmer/Rancher	S51	Scientist
L51	Banker/Lending Professional	F91	Financial Planner/Advisor	S61	Seamstress/Tailor
B21	Barber/Beautician/Hairstylist	F22	Flight Attendant	S71	Security Guard
B31	Broker/Registered Rep	F32	Human Resources Professional	S81	Social Worker
B41	Business Executive (VP, Director, etc.)	I41	Importer/Exporter	T41	Teacher/Professor
B51	Business Owner	I51	Inspector/Investigator	T51	Technician
C81	Caregiver	I81	Investor	T61	Teller
C91	Carpenter/Construction Worker/Contractor	I91	IT Professional/IT Associate	T71	Tradesperson/Craftsperson
C22	Cashier	J31	Janitor	T81	Trainer/Instructor
C32	Chef/Cook	J41	Jeweler	U21	Underwriter
C42	Chiropractor	L31	Laborer	V11	Veterinarian
C52	Civil Servant	L41	Landscaper	W21	Writer/Journalist/Editor
C62	Clergy	M91	Mechanic		
C72	Clerk	M22	Military, Officer or Associated		
		M32	Mortician/Funeral Director		

**Industry of Occupation Codes**

A11	Accounting	F11	Fashion/Clothing	O31	Other; If Other, include a description in the Industry of Occupation box
A21	Advertising/Marketing	F21	Financial Services	P11	Parking and Car Washes
A31	Aerospace/Defense	F51	Firearms and Explosives	P21	Pawn Shops/Brokers
A41	Agriculture/Forestry	G11	Gaming/Casino/Card Club	P31	Personal Care/Hygiene (Beauty, Salon, Cosmetics, Massage, etc.)
A51	Amusement and Recreation	G21	Government/Public Administration	P41	Pharmaceuticals
A61	Animal Services and Veterinary	G31	Grocery/Supermarket	P51	Printing/Publishing
A71	Architecture/Design	H11	Healthcare/Medical Services	P71	Professional/Civic Organizations (Non-Retail)
A81	Arts/Antiques	H21	Hotel/Hospitality	R11	Real Estate
A91	Athletics/Fitness	I11	Import/Export	R21	Religious Organization
A32	Automotive	I21	Information Technology (IT)	R31	Repair Services - Home, Auto, and Other
B11	Aviation	I31	Insurance	R41	Restaurant/Food Service
C11	Bar/Nightclub/Adult Entertainment Club	J11	Jewelry, Gems, and Precious Metals	R51	Retail Sales/Retail Trade
C21	Childcare	L11	Legal Services/Public Safety	S11	Science and Biotechnology
C31	Cleaning/Janitorial/Housekeeping	L21	Logistics/Supply Chain	S21	Security
C41	Communications/Telecommunications	M11	Manufacturing	T11	Transportation
C51	Construction/Carpentry/Landscaping	M21	Maritime	T31	Travel
C61	Convenience Store/Liquor Store/Gas Station	M31	Media/Entertainment	U11	Utilities (Public)
C71	Customer Service and Support	M41	Mining, Oil, and Gas	W11	Wholesale Sales/Trade
E11	Education	M51	Money Services Businesses (Check Cashing, Money Transmitting, Payday Loans, Currency Exchange)		
E21	Embassy/Consulate	N11	Non-Profit/NGO (Non-Government Agency)/Charity		
E31	Energy				
E41	Engineering				