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Account Owner (Former Minor & Beneficiary of UTMA/UGMA Account)

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

First Name: | Middle Name: | Last Name:

Date of Birth: | Number of Dependents: | U.S. Social Security Number:

Marital Status: Single Married Divorced Widowed | Mother's Maiden Name:

Home Address (no PO box or mail drop):

City: | State: | Zip Code: | Country:

Mailing Address (if different from above):

City: | State: | Zip Code: | Country:

Primary Phone number: Check here if this is not a U.S. phone number | Secondary Phone number: Check here if this is not a U.S. phone number

Fax number: | Email (required for electronic delivery of your account statement and trade confirmations):

Please specify if you are: Employed Unemployed Retired Homemaker Student Self-Employed

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

Please choose from the list provided on page 11 the occupation code and industry of occupation code that most accurately describes your situation.

Occupation Code: | Industry of Occupation Code:

Employer Address:

City: | State: | Zip Code: | Country:

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+

Section 2, Account Owner continued

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 initial 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): _____

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): _____

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

Country of Citizenship:

Country of Dual/Secondary Citizenship (if applicable):

Country of Birth:

Non-U.S. citizens*: Do you hold a current U.S. immigration visa? Yes No

Specify visa type:

Visa Number:

Expiration:

□□□□□□□□□□

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* Nonresident aliens must submit a W-8BEN form, 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 Letter of Explanation for U.S. Mailing Address/Phone Number Attachment for Form W-8. This form can be found on the TD Ameritrade Forms Library: <https://www.tdameritrade.com/form-library>.

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Account Co-Owner

(Only Complete this Section if Converting the Account into a Joint Account)

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

First Name:

Middle Name:

Last Name:

Are you the Account Owner's spouse?

- Yes No

Date of Birth:

Number of Dependents:

U.S. Social Security Number:

□□□□-□□□□-□□□□□□

□□□

□□□□□□-□□□□-□□□□□□

Marital Status:

- Single
 Married
 Divorced
 Widowed

Mother's Maiden Name:

Home Address (no PO box or mail drop):

City:

State:

Zip Code:

Country:

□□□□□□□□□□-□□□□□□

Section 3, Account Co-Owner continued

Mailing Address (if different from above):

City:	State:	Zip Code:	Country:
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Primary Phone number:
 Check here if this is not a U.S. phone number

Secondary Phone number:
 Check here if this is not a U.S. phone number

Fax number:

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

Please specify if you are:

Employed
 Unemployed
 Retired
 Homemaker
 Student
 Self-Employed

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

Please choose from the list provided on page 11 the occupation code and industry of occupation code that most accurately describes your situation.

Occupation Code: _____ Industry of Occupation Code: _____

Employer 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 initial 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): _____

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): _____

Section 3, Account Co-Owner continued

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

Country of Citizenship:

Country of Dual/Secondary Citizenship (if applicable):

Country of Birth:

Non-U.S. citizens*: Do you hold a current U.S. immigration visa? Yes No

Specify visa type:

Visa Number:

Expiration:

* Nonresident aliens must submit a W-8BEN form, 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 Letter of Explanation for U.S. Mailing Address/Phone Number Attachment for Form W-8. This form can be found on the TD Ameritrade Forms Library: <https://www.tdameritrade.com/form-library>.

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Affiliations

Check here if the **Account Owner** or **Co-Owner**, their spouse, any member of their immediate families living in the same household, 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, ticker symbol, address, city, and state:**

Check here if the **Account Owner** or **Co-Owner**, their spouse, any member of their immediate families living in the same household, 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):**

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Trade Confirmations and Account Statements

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 \$10,000 or an average of five trades per month over a three-month period are eligible to receive free paper statement and confirmation delivery.

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

Account Statement:

Electronic Monthly Paper Monthly (\$2 fee may apply each month) Paper Quarterly (\$2 fee may apply each quarter)

Trade Confirmation:

Electronic Paper

Unless I have checked this box, TD Ameritrade is required to share my name and address with the companies I invest in through your services so they may contact me directly about my investment. If I direct you not to share, you will receive the information on my behalf and will forward it to me. Shareholder information includes proxy material, prospectuses, annual reports, and other corporate communications. In some cases, regulations may require sharing information with the companies in which I have invested despite this election.

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Investment Objectives

For definitions regarding investment objectives, please see page 10 of the application.

Select the degree of risk you are willing to take with the assets in this account:

- Conservative Moderate Aggressive Speculative
-

Select the primary investment objective for the account:

- Conservation Moderate Moderate Growth Growth Aggressive Growth
-

Select the secondary investment objectives for the account: *(Check at least one or all that apply)*

- Conservation Moderate Moderate Growth Growth Aggressive Growth None
-

Select your liquidity needs for this account: *(Check only one that applies)*

- Within 3 months 4 - 6 months 7 - 9 months 10 - 12 months More than 1 year
-

Select the investment time horizon for this account:

- Less than 1 year 1 - 3 years 4 - 6 years 7 - 9 years 10 - 12 years 13 years or more
-

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Margin Privileges

All qualified accounts are opened as margin accounts unless you decline margin privileges in this section. 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 and the Margin Disclosure Document located within the forms library: <https://www.tdameritrade.com/form-library>

- Check this box if you want to decline margin privileges. If you do not check the box, your account will be opened as a margin account if it qualifies. By submitting this Account Application without checking the box to decline margin privileges, you represent that you understand and agree that margin features are subject to the terms and conditions of the Client Agreement, which you have agreed to by submitting this Account Application. You understand and acknowledge that securities securing loans from TD Ameritrade may be lent to TD Ameritrade and lent by TD Ameritrade to others. You also acknowledge that if you trade "on margin" you are borrowing money from TD Ameritrade and that you understand the requirements and risks associated with margin as summarized in the Margin Account Handbook and Margin Disclosure Document.

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Cash Sweep Vehicle Choices

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 your 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 a household value greater than \$500,000 and cash balances of more than \$100,000.** I understand my account statement will include sweep transactions involving money market funds in lieu of immediate trade confirmations.

Please select only one.

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



Trusted Contact (Optional)

By completing this section, you authorize TD Ameritrade to contact the person(s) named below for the following reasons: if there are questions or concerns about my whereabouts or health status; if TD Ameritrade suspects that I may be a victim of fraud or financial exploitation; if TD Ameritrade suspects that I might no longer be able to handle my financial affairs; to confirm the identity of any legal guardian, executor, trustee, authorized trader, or holder of a power of attorney; or if TD Ameritrade has any other concerns or is unable to contact me about my account(s) held at TD Ameritrade. **Please review the Client Agreement for the full terms and conditions regarding how TD Ameritrade uses this information.**

NOTE: Your Trusted Contact must be someone other than an account owner. You may provide more than two Trusted Contact Persons by completing and signing additional Authorization Forms.

First Name: | Middle Initial: | Last Name:

Relationship:

Phone number: | Email:

Mailing Address:

City: | State: | Zip Code: | Country:

First Name: | Middle Initial: | Last Name:

Relationship:

Phone number: | Email:

Mailing Address:

City: | State: | Zip Code: | Country:

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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.

Check this box to decline options privileges.

Options Objectives *(Only required if applying for options.)*

For definitions regarding options objectives, please see page 10 of the application.

Types of Transactions: *(Check all that apply)*

Stocks Bonds Options

What Are Your Options Investment Objectives: *(Check all that apply)*

Growth Speculation Income Conservation of Capital

What Type of Activity Do You Plan to Conduct in Your Options Account?

Tier 1 - Covered
Write covered calls
Write cash-secured puts

Tier 2 - Standard Cash
Purchase options
+ Tier 1 - Covered

Tier 2 - Standard Margin
Create spreads
Write covered puts
+ Tier 2 - Standard Cash

Tier 3 - Advanced
Write uncovered options
+ Tier 2 - Standard Margin

MARGIN REQUIRED

Tier 2 - Standard Margin and Tier 3 - Advanced require a margin account. If you select either of these tiers, you will automatically be applying for options and margin approval regardless of whether you checked the box to decline margin privileges in Section 7.

Account Owner Options Objectives *(Only required if applying for options.)*

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 *(Only required if applying for options.)*

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

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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. 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 it has 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. By my signature below, I attest that I am of legal age to contract, and I certify, to the best of my knowledge that the information provided on this application is complete and correct.

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

If an options account has been requested, 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. 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.

I hereby attest that I have attained the UTMA/UGMA Age of Termination for the state in which the UTMA/UGMA was established, the custodianship has therefore terminated, and I have present and absolute interest in and to all assets of the account.

If I am a U.S. person for tax purposes:

Under penalties of perjury, I certify that: (1) the number shown on this form is my correct taxpayer identification number; (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 Services (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; (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 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.

If I am not a U.S. Person for tax purposes:

I am submitting the applicable Form W-8 with this form to certify my foreign status.

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

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.

Sign Here

Account Owner's Signature:

X

Date:

_____|_____|_____|_____|_____|_____|_____|_____|_____|_____|

Account Co-Owner's Signature:

X

Date:

_____|_____|_____|_____|_____|_____|_____|_____|_____|_____|

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

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

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.

Speculation: 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		