

SECTION I - CLIENT INFORMATION UPDATES

<p>1. Legal Name of Entity</p> <p style="margin-left: 20px;">1.1. D/B/A (if applicable)</p>
<p>2. Has the entity address changed within the last two years?</p> <p style="margin-left: 20px;">2.1 If so, please provide the new address below as well as proof of address (such as utility bills dated within the last 60 days):</p>
<p>3. Does the entity invest/trade proprietary funds or client funds in the account?</p> <p style="margin-left: 20px;"><input type="checkbox"/> Proprietary Funds <input type="checkbox"/> Client Funds</p>
<p>4. Is the entity legally entitled to hold client funds in the entity's name? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>5. What is the source of the funds that will be deposited in the account?</p> <p style="margin-left: 20px;"><input type="checkbox"/> Investment Capital <input type="checkbox"/> Retained Earnings <input type="checkbox"/> Entity's Capital <input type="checkbox"/> Client Funds</p> <p style="margin-left: 20px;"><input type="checkbox"/> Other: _____</p>
<p>6. If licensed or registered, is the entity's license and/or registration still active and in good standing? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="margin-left: 20px;">6.1 If yes, by what regulators?</p>
<p>7. Has your entity (or its parent company) become publicly traded within the last year? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="margin-left: 20px;">7.1 If yes, on what exchange(s) is the public company traded? Please include trade name or ticker symbol.</p>
<p>8. Has the ownership of your entity changed in the last year? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="margin-left: 20px;">8.1. If yes, please provide the Certificate of Change. Direct owners with 10% or more equity interest must provide an Associated Person form, ID and address verification (for non-U.S. residents).</p> <p style="margin-left: 20px;">https://cdn.tradestation.com/uploads/associated-person.pdf</p>
<p>9. Has the indirect ownership of your entity changed in the last year? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="margin-left: 20px;">9.1. If yes, please provide ownership structure, name and address. Indirect owners with 10% or more equity interests must provide ID and address verification (for non-U.S. residents). <input type="checkbox"/> Attached</p>

<p>10. Has the primary authorized representative/associated person #1 changed? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>10.1. If yes, please provide a new Associated Person form, ID and proof of address (for non-U.S. residents). https://cdn.tradestation.com/uploads/associated-person.pdf</p>
<p>11. Has the entity's Authorized Trader changed? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>11.1. If yes, please provide a new Third-Party Trading Authorization form and ID. https://cdn.tradestation.com/uploads/Third-Party-Trading-Authorization.pdf</p>
<p>12. Is the entity subject to any regulatory or self-regulatory examinations of its anti-money laundering program? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>12.1. If yes, please describe the results of the most recent exam (include how frequently the entity is examined).</p>
<p>13. Please describe the results of, or attach a copy of, the most recent annual independent audit of the entity's anti-money laundering program (include how frequently the entity is audited).</p> <p>13.1. Please identify the name of the auditor and date of most recent audit. <input type="checkbox"/> Not Applicable</p>
<p>14. Please provide a copy of the entity's AML written policies and procedures ("WSPs"). <input type="checkbox"/> Attached</p>
<p>15. Do your WSPs permit your entity to open or maintain anonymous accounts or accounts for bearer share corporations? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>16. Do your WSPs permit your entity to conduct business with "shell banks?" <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>17. Has your entity been the subject of any regulatory or criminal enforcement actions, proceedings or settlements involving a violation of applicable AML laws and/or regulations in the last year? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>17.1. If yes, please provide an explanation and attach a copy of any related published materials.</p>
<p>18. Has your entity, to your knowledge, been the subject of any investigation, indictment, conviction, or civil enforcement action related to the financing of terrorist activity in the last year? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>18.1. If yes, please provide explanation and attach a copy of any related published materials.</p>

19. Does your entity offer services to the following types of institutions, or offer or deal in the following products?

19.1. Offshore Banks Yes No

19.2. Internet Banks Yes No

19.3. Money Service Business including money transmitters Yes No

19.4. Internet gambling companies Yes No

19.5. Nested accounts Yes No

19.6. Cryptocurrency Yes No

19.7. Financial institution located outside of your country of residence Yes No

19.8. Shell Banks Yes No

19.8.1. If yes, provide a list of financial institutions and locations, and attach relevant documentation.

Name	Location

Check if attachment


SECTION II - ACKNOWLEDGEMENT OF RESPONSIBILITIES

We confirm that:

(a) We conduct full AML due diligence on all of our entity’s customers (if applicable).

(b) We will not allow a third-party direct access to the account without proper authorization obtained from TradeStation Securities, Inc.

I certify that I am authorized to complete this questionnaire and that, to the best of my knowledge, the information given is complete and correct.

Signature			Date
Name	Phone		
Title	E-mail		

SECTION III – DEFINITIONS OF TERMS USED IN THIS QUESTIONNAIRE

Shell banks: Banks which maintain no physical presence in the country of their incorporation (except if a subsidiary of a regulated financial group).

Entity: An association, corporation, partnership, proprietorship, trust, or individual that has legal standing in the eyes of law. A legal entity has legal capacity to enter into agreements or contracts, assume obligations, incur and pay debts, sue and be sued in its own right, and to be held responsible for its actions.

Proprietary Funds: Funds held exclusively for the FI, its own capital, and does not contain client funds.

Client Funds: Funds held in a fully disclosed account segregated in a client’s name or in an omnibus account which contains the assets of more than one client, but not the entity’s proprietary funds.