

Thank you for your interest in opening a new TradeKing **Limited Liability Company** account.

Opening an LLC account is easy. Simply complete and scan and email ([service@tradeking.com](mailto:service@tradeking.com)), or fax (561-988-0131), or mail to us this form. Then, if you have not done so already, create a Username and a Password at [www.tradeking.com](http://www.tradeking.com) to access your new account (see instructions below). Finally, call us and ask us to link your new account to your Username.

Here is a document checklist to open an LLC account:

### **Cash account:**

1. TradeKing Investment Account Application signed by each managing member or manager authorized to open and trade on the account (attached). Each managing member or manager should complete a separate application.
2. LLC Resolution form signed by ALL managing members or managers (attached).
3. Copy of State-filed Articles of Organization.
4. Official LLC document (such as Operating Agreement) indicating names of ALL members and managers.
5. Document from the State showing that the LLC is registered and in good standing.

### **Margin account additional documents required:**

1. LLC Resolution form that includes authorization to open a margin account
2. Margin Agreement and Disclosure signed by authorized partner(s) (form accessible from [www.tradeking.com](http://www.tradeking.com) at Services – Apps + Forms, or at <http://content.tradeking.com/wiki/download/attachments/1819/Margin+Agreement.pdf>).

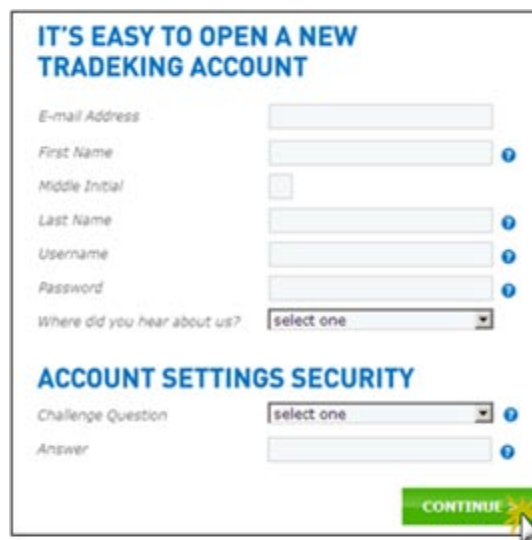
### **Option account additional documents required:**

3. LLC Resolution form that includes authorization to open an option account
4. Option Agreement and Disclosure signed by authorized partner(s) (form accessible from [www.tradeking.com](http://www.tradeking.com) at Services – Apps + Forms, or at <http://content.tradeking.com/wiki/download/attachments/1819/Option+Account+Application.pdf>).

**IMPORTANT:** The TradeKing Customer Agreement contains the terms and conditions applicable to all TradeKing accounts. Please read it carefully, print a copy and retain it for your records. You can obtain a copy at <https://www.tradeking.com/PublicView/services/Services/AppsForms.tmp> , by calling (877) 495-KING, or from TradeKing, 5455 N Federal Hwy, Suite E, Boca Raton, FL 33487.

**How to create a Username to access the new account that you are opening with this form:**

- a. Go to [www.tradeking.com](http://www.tradeking.com); Click on “START TRADING” or “Open New Account”;
- b. Complete **only** the first page of the application to choose your Username, Password, and Account Settings Security and **click Continue**. Stop here. Call us at 877-495-KING (5464) so that we can link your new account(s) to the Username you have just created.



**IT'S EASY TO OPEN A NEW TRADEKING ACCOUNT**

E-mail Address

First Name  ⓘ

Middle Initial

Last Name  ⓘ

Username  ⓘ

Password  ⓘ

Where did you hear about us?

**ACCOUNT SETTINGS SECURITY**

Challenge Question  ⓘ

Answer  ⓘ

**CONTINUE** ⓘ

## LIMITED LIABILITY CORPORATION (LLC) ACCOUNT Investment Account Application

Account Number	Open Date	Broker Rep Code
----------------	-----------	-----------------

LLC Information			
Name of LLC		LLC Tax ID Number	
Permanent Street Address		City	State
Mailing Address (If different from permanent address)		City	State
Date of creation (mm/dd/yyyy)			
Day Phone	Evening Phone	Cell Phone	E-MAIL ADDRESS
Nationality of Trust: <input type="checkbox"/> U.S. <input type="checkbox"/> Foreign (please specify):			
Authorized Agent Information			
Name		Social Security Number	
Permanent Street Address (Cannot be a P.O. Box)		City	State
Mailing Address (If different from permanent address)		City	State
Birth Date (mm/dd/yyyy)	Number of Dependents	Married? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Day Phone	Evening Phone	Cell Phone	E-MAIL ADDRESS
Citizenship: <input type="checkbox"/> U.S. <input type="checkbox"/> Foreign (please specify): _____ <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-resident Alien (Non-Resident Alien must submit a W-8 form with this application)			
Authorized Agent Employment Information			
Employer		Nature of Business	Yrs. Employed
Business Address		City	State
			Zip Code
<b>Are you or a member of your household affiliated with or employed by 1) a securities Exchange 2) FINRA 3) an Exchange or FINRA member 4) a company which require notification of you opening this account? (if you select yes, please submit an Affiliated Account Authorization form) <input type="checkbox"/> Yes <input type="checkbox"/> No</b>			
Are you or a member of your household a director, 10% shareholder or policy making officer of a publicly traded company? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If you answered "Yes" to any of the questions above please provide more information on the affiliation (e.g. affiliated company name, nature of affiliation, etc.)			
Are you or any member of your immediate family a senior political figure? <input type="checkbox"/> Yes <input type="checkbox"/> No			

Account Investment Profile			
Annual Income of LLC	Net Worth of LLC	Liquid Net Worth of LLC	Tax Bracket of LLC
<input type="checkbox"/> Under \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$200,000 <input type="checkbox"/> Over \$200,001 (please specify) _____	<input type="checkbox"/> Under \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,001 (please specify) _____	<input type="checkbox"/> Under \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$200,000 <input type="checkbox"/> Over \$200,001 (please specify) _____	<input type="checkbox"/> 0% <input type="checkbox"/> 10% <input type="checkbox"/> 25% <input type="checkbox"/> 28% <input type="checkbox"/> 33% <input type="checkbox"/> 35%

Investment Objective of LLC	Investment Experience of Authorized Agent
<input type="checkbox"/> <b>Current Income</b> Preservation of capital with a primary consideration on current income. <input type="checkbox"/> <b>Balanced</b> A balance between capital appreciation and current income with the primary consideration being current income. <input type="checkbox"/> <b>Growth &amp; Income</b> A balance between capital appreciation and current income with the primary consideration being capital appreciation. <input type="checkbox"/> <b>Growth</b> Capital appreciation through quality equity investments and little or no income. <input type="checkbox"/> <b>Maximum Growth</b> Maximum capital appreciation with higher risk and little to no income. <input type="checkbox"/> <b>Speculation</b> Maximum total return involving a higher degree of risk through investment in a broad spectrum of securities	<input type="checkbox"/> Bonds (yrs ___) <input type="checkbox"/> Stocks (yrs ___) <input type="checkbox"/> Options (yrs ___)

**Please Read and Sign Below**

W-9 Certification Under penalties of perjury, I (we) certify that the taxpayer identification number shown above on this form is my correct taxpayer identification number. Unless, otherwise indicated, I (we) certify that I (we) am not subject to backup withholding and I (we) am an U.S. Person (including an U.S. resident alien). Check the box  if you are subject to backup withholding under the provisions of the Internal Revenue Service code.

**Check Appropriate Tax Classification of the LLC:**

Disregarded Entity (D)  
 Corporation (C)  
 Partnership (P)

I hereby request that TradeKing and Legent Clearing LLC ("Legent") open an account in the name(s) listed as account owner(s) on this application.

By signing below, I acknowledge that I have received, read, understand and agree to be bound by the terms & conditions as set forth in the Customer Agreement ("Customer Agreement") as currently in effect and as amended from time to time. I represent that I am of required legal age to enter into this Agreement. I understand and acknowledge that Legent does not provide investment, tax, legal, accounting, financial or other advice.

**Please Note: Legent Clearing and/or TradeKing will verify information provided on this form through a third-party provider in accordance with the USA Patriot Act.**

**BY MY SIGNATURE ON THE ACCOUNT APPLICATION, I ACKNOWLEDGE THAT I HAVE RECEIVED, READ, UNDERSTAND AND AGREE TO THE TERMS SET FORTH IN THE FOREGOING AGREEMENT, AND THAT THIS AGREEMENT CONTAINS A PREDISPUTE ARBITRATION CLAUSE AT SECTION 30.**

Signature of Managing Partner	Date		
Signature of TradeKing Broker	Date	Signature of TradeKing General Principal	Date

### Limited Liability Company Resolution

I, \_\_\_\_\_, in my official capacity as \_\_\_\_\_ of \_\_\_\_\_, a Limited Liability Company (LLC) duly organized under the laws of the State of \_\_\_\_\_, hereby certify that the following is a true copy of a resolution duly and regularly adopted by the officers of said LLC at the meeting held on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, at which a quorum for the transaction of business was present and acting, and is still in full force and effect, and appears in the minutes of the meeting:

RESOLVED any one of such partners named below, are hereby fully authorized and empowered to open a brokerage account, transfer, endorse, sell, assign, set over and deliver any and all securities (including short sales) now or hereafter standing in the name of or owned by this LLC, to purchase securities (on margin or otherwise), including the purchase and sale of options, and to make, execute, and deliver, under the Resolution of this LLC any and all written instruments necessary or proper to effectuate the authority hereby confirmed.

I am the sole partner

Certifying Partner's Signature	Certifying Partner's Name & Title
Social Security Number	Date of Birth (mm/dd/yyyy)
Address	Telephone Number

Certifying Partner's Signature	Certifying Partner's Name & Title
Social Security Number	Date of Birth (mm/dd/yyyy)
Address	Telephone Number

Certifying Partner's Signature	Certifying Partner's Name & Title
Social Security Number	Date of Birth (mm/dd/yyyy)
Address	Telephone Number

IN WITNESS WHEREOF, I have hereunto set my hand of said LLC this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

Certifying Partner's Signature	Certifying Partner's Name
--------------------------------	---------------------------

**Please Note: Legent and/or your broker will verify information provided on this form through a third-party vendor in accordance with the USA Patriot Act.**



5455 N Federal Highway • Suite E • Boca Raton • FL 33487  
TradeKing.com MEMBER FINRA/SIPC

## Deposit Ticket - Request to deposit funds

Mail all checks to:

<u>Regular Mail</u>	<u>Overnight Deliveries</u>
TRADEKING P.O. Box 811690 Boca Raton, FL 33481-1690	TRADEKING 5455 N. Federal Highway, Suite E Boca Raton, FL 33487

Please deposit the enclosed check for \$ \_\_\_\_\_.

to my TradeKing account: \_\_\_\_\_ - \_\_\_\_\_

Make all checks payable to TRADEKING and include your account number on the memo line of your check. TRADEKING does NOT accept third-party checks, starter checks, money orders or credit card checks. Funds deposited via check are subject to a 5 business day hold to clear for trading, 10 business days to withdraw by check or ACH, 30 business days to withdraw by wire. Read more about depositing funds at <https://www.tradeking.com/FAQ/Accounts/depositsTransfers.tmp>

**IRA Accounts** – When mailing a check deposit for your IRA please specify the tax year for the contribution on the memo line of the check (if no year is specified, it will be applied to the current year). Indicate on the check if this is a rollover contribution to an IRA. For rollover funds coming from your personal bank account you must submit a rollover certification form which can be found on our website under Services / Apps and Forms.

**CASHIER'S and BANK checks** – Please instruct your bank to make the check payable to TRADEKING and name you as the REMITTER on the check. Your name must also appear on the TRADEKING account.

©Kane Reid Securities Group, Inc. dba TradeKing  
Member FINRA/SIPC