



# Plan Participant Account Upgrade Form

(Add Options Privileges)

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This form should be used to request the ability to write covered calls and/or purchase options on a Plan's TD Ameritrade account. Due to the risks involved with options, we are required to obtain the following information. The form must be signed by the Participant for whose benefit the account is established. Please complete this form in full. If you have questions, please call us at 866-766-4015.

## 1. PLAN INFORMATION

Plan Name:

Plan Tax ID Number:

## 2. PARTICIPANT INFORMATION

Account Number:

Name:  
(First, Middle Initial, Last)

Date of Birth:  
(MM-DD-YYYY) \_ \_ - \_ - \_ - \_ - \_ -

U.S. Social Security Number:  
(SSN) \_ \_ - \_ - \_ - \_ - \_ -

Marital Status:  
 Single  Married  Divorced  Widowed

Number of Dependents:

## 3. ACCOUNT SUITABILITY

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

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

## 4. ACCOUNT OPTIONS SUITABILITY

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

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  
 Tier 2 - Standard Cash  
Purchase options  
Write covered calls

## 5. ACCOUNT OWNER OPTIONS SUITABILITY

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

Investment Knowledge or Education:  Limited  Good  Extensive  Professional Trader

I am an Investools Client:  Yes  No



## 6. SIGNATURES

I, the Participant named above, hereby apply for an options account and have received and read the Client Agreement that governs the TD Ameritrade account established for my benefit and agree to be bound by it as currently in effect and as amended from time to time, and 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. With respect to options trading, I agree to transact in and hold only long options or covered calls in such account and agree to hold TD Ameritrade harmless for any losses or other liability that may result from options trading that I direct for that account. 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.



Participant's Signature:

Date:

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

## 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 less fluctuation in your portfolio, while striving to achieve more stable returns or income from your investments. You may also intend 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.

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

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