

Organization Information

Corporation Name	Sherfey Investment Firm LLC
Business Name	Sherfey Investment Firm LLC
Description of Business	Family owned LLC Senate around intelligent investments
Website	<i>Left Blank</i>

Trade Intention

The organization is an operating business not formed primarily for the purpose of trading or holding financial assets.

☒ YES ☐ NO Confirm that the account will only hold the business proprietary assets and will not hold client funds, including funds of passive investors or customers.

Business Address

Country	United States
Address	16224 Senedo Rd
Apt, Suite, Floor, etc.	<i>Left Blank</i>
City	Edinburg
State/Province	Virginia
Postal Code	22824-2124

☐ YES ☒ NO Do you have a different registration address?

☐ YES ☒ NO Do you have a different mailing address?

Contact Information

Type	BUSINESS
Number	+15403353544
Country	United States

Tax Residency

Country	United States
Tax ID	XX-XXX1568

Registration Number	872041568
Registration Country	United States

☐ YES ☒ NO Do you have any additional sources of wealth?

Account Information

Account Type MARGIN
Currency USD

Authorized Person

Salutation Mr.
First Name Ronnie
Middle name Lee
Last name Sherfey
Suffix Jr.
Date of Birth 04/29/1986

Positions hold with the applicant company

Association Type SIGNATORY

Association Type TRADER

Association Type OWNER
Ownership Percent 100

Association Type Managing Owner

Association Type Certified Beneficial Owner

Association Type DIRECTOR

Address

Country United States
Address 16224 Senedo Rd
Apt, Suite, Floor, etc. *Left Blank*
City Edinburg
State/Province Virginia
Postal Code 22824-2124

☐ YES ☒ NO Do you have a different Country of Citizenship other than United States?

☐ YES ☒ NO I was born outside of United States?

Contact Information

Type	BUSINESS
Number	+15403353544
Country	United States
Email Address	aysherintel@icloud.com

Tax Residency

Country	United States
Tax ID	XXX-XX-1174

Employment

Employment Status	Self Employed
Employer Name	Sherfey Investment Firm LLC
Nature of Business	Finance/Broker Dealer/Bank
Occupation	CEO
Country	United States
Address	16224 Senedo Rd
Apt, Suite, Floor, etc.	<i>Left Blank</i>
City	Edinburg
State/Province	Virginia
Postal Code	22824-2124

Tax Classification

The US Internal Revenue Service requires that we obtain certain certifications as to the status of Sherfey Investment Firm LLC for US income tax purposes. This may affect the tax withholding rate on US income and help us identify all persons from who we must receive certifications. Answer the following questions to assist with this certification.

Identify the manner in which Sherfey Investment Firm LLC is treated for US income tax purposes: **Limited Liability Corporation**

Certification Regarding Beneficial Owners Of Legal Entity Customers

Certification

Name of Natural Person Opening Account Mr. Ronnie L Sherfey Jr.
Name and Address of Legal Entity for Which the Account is Being Opened Sherfey Investment Firm LLC
Country United States
Address 16224 Senedo Rd
Apt, Suite, Floor, etc. *Left Blank*
City Edinburg
State/Province Virginia
Postal Code 22824-2124

Managing Owner

Name Ronnie Sherfey

Twenty Five Percent Owner

Name	Ownership Percentage
Mr. Ronnie L Sherfey Jr.	100%

Managing Owner- Mr. Ronnie L Sherfey Jr.

Salutation Mr.
First Name Ronnie
Middle name Lee
Last name Sherfey
Suffix Jr.
Date of Birth 04/29/1986

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<input type="checkbox"/> YES	<input checked="" type="checkbox"/> NO	Do you have a different mailing address?
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<input type="checkbox"/> YES	<input checked="" type="checkbox"/> NO	Do you have a different Country of Citizenship other than United States?
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<input type="checkbox"/> YES	<input checked="" type="checkbox"/> NO	I was born outside of United States?
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Occupation	CEO

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Address	16224 Senedo Rd
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City	Edinburg
State/Province	Virginia
Postal Code	22824-2124

Login Credentials

Username	aysherintel
Username	aysherintel

Twenty Five Percent Owner- Mr. Ronnie L Sherfey Jr.

Salutation	Mr.
First Name	Ronnie
Middle name	Lee
Last name	Sherfey
Suffix	Jr.
Date of Birth	04/29/1986

Positions hold with the applicant company

Association Type	SIGNATORY
Association Type	TRADER
Association Type	OWNER
Ownership Percent	100
Association Type	Managing Owner
Association Type	Certified Beneficial Owner
Association Type	DIRECTOR

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Apt, Suite, Floor, etc.	<i>Left Blank</i>
City	Edinburg
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Postal Code	22824-2124

YES	NO	Do you have a different mailing address?
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YES	NO	Do you have a different Country of Citizenship other than United States?
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YES	NO	I was born outside of United States?
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Login Credentials

Username	aysherintel
Username	aysherintel

Security Officers

Security Officer Name	Mr. Ronnie L Sherfey Jr.
Username	aysherintel
Username	aysherintel

Positions hold with the applicant company

Association Type	SIGNATORY
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Association Type	TRADER
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Association Type	OWNER
Ownership Percent	100

Association Type	Managing Owner
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Association Type	Certified Beneficial Owner
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Association Type	DIRECTOR
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Customer Questionnaire

YES **NO** Does your organization generate 10% or more of its revenue by through conducting business in any of the countries listed below?

Guatemala, Papua New Guinea, Sierra Leone, Sao Tome and Principe, Nauru, Wallis and Futuna Islands, Cuba, El Salvador, Sudan, Gambia, Dominican Republic, Malaysia, Cameroon, Guyana, Azerbaijan, Macao Special Administrative Region of China, Georgia, Suriname, United Arab Emirates, Kenya, Argentina, Guinea-Bissau, Armenia, Uzbekistan, Senegal, Togo, Eritrea, Saint Kitts and Nevis, Morocco, Iran (Islamic Republic of), Burundi, Iraq, Belarus, Equatorial Guinea, Thailand, Mauritania, Belize, Philippines, Democratic Republic of the Congo, Congo, Western Sahara, Uruguay, Comoros, Colombia, North Macedonia, Kuwait, Algeria, Benin, Montserrat, Zambia, Somalia, Russian Federation, Antigua and Barbuda, Vanuatu, Ecuador, Albania, Monaco, Ethiopia, United Republic of Tanzania, Niger, Lao People's Democratic Republic, Pakistan, Burkina Faso, Panama, Ukraine, Venezuela, Kyrgyzstan, Ghana, Djibouti, Democratic Peoples Republic of Korea (North Korea), Cape Verde, Mali, Republic of Moldova, Croatia, Botswana, Madagascar, Cambodia, Indonesia, Tajikistan, Viet Nam, Malta, Paraguay, Cayman Islands, Lebanon, Cyprus, Seychelles, Liberia, Maldives, Bolivia, Bangladesh, Libyan Arab Jamahiriya, Occupied Palestinian Territory, Sri Lanka, Lesotho, Zimbabwe, Gabon, Nigeria, Central African Republic, Mauritius, Jordan, Bulgaria, Syrian Arab Republic, Guinea, British Virgin Islands, Cote d'Ivoire, Myanmar, Chad, Turkmenistan, Grenada, Costa Rica, Haiti, Yemen, Mexico, Afghanistan, Serbia, Kosovo, Kazakhstan, Montenegro, Saudi Arabia, Mongolia, Nepal, Bahamas, Trinidad and Tobago, Dominica, Palau, Bosnia and Herzegovina, South Sudan, Angola, Nicaragua, Tunisia, Uganda, Turkey, Brazil, Barbados, Egypt, Latvia, Jamaica, Mozambique, Namibia, Niue, Peru, South Africa, Honduras,

YES **NO** Is associated with one or more of the listed business types

- Third Party Payment Processors
- Cannabis Related Business.
- Money Service Business.
- Defense and Arms Dealer.
- Casinos / Online Gaming.
- Jewelers / Precious Metal Dealers.
- Non-Government Organizations / Non-Profits/ Charities.

YES **NO** Does the organization issue, have or accept bearer shares, or has it done so in the last 5 years?

Regulatory Information

YES **NO** Is the organization a publicly-held entity whose shares are traded on a regulated exchange?

YES **NO** Is the organization required to be registered in the US, pursuant to NFA By-Law 1101, with the Commodities Futures Trading Commission, or in Canada with IIROC or any provincial securities commission, or in any other country, as a futures commission merchant, introducing broker, commodity pool operator, commodity trading advisor, retail foreign exchange dealer or leverage transaction merchant?

YES **NO** Has the organization, its affiliates, or any of the principals, officers, authorized traders on the account been charged or convicted of a crime? Or been involved in ANY regulatory action or settlement?

YES **NO** Is any officer or authorized trader of the organization registered as a broker or an employee, director or owner of a securities or commodities brokerage firm, employee of a bank, hedge fund, or other financial services company?

Affiliate and Public Symbol Designation

YES **NO** Is the legal entity that owns the account publicly traded? Please answer "Yes" if any one or more of the following apply:

- The organization/trust is a publicly traded company.
- The organization/trust Controls a publicly traded company.
- The organization/trust is Controlled by a publicly traded company.
- In the above conditions,
 - "Control" means the possession, direct or indirect, of the power to direct the management and policies of a company, whether through ownership of voting securities, by contract, or otherwise.
 - Any person that is an officer, director, or at least a 10% shareholder of a company is considered to Control the company.

YES **NO** Is the applicant or any of its owners an Employee of a publicly traded company?

YES **NO** Does the applicant or any of its owners Controls a publicly traded company?

- "Control" means the possession, direct or indirect, of the power to direct the management and policies of a company, whether through ownership of voting securities, by contract, or otherwise.
- Any person that is an officer, director, or at least a 10% shareholder of a company is considered to Control the company.

Assets & Income

The financial information below will be used by our Compliance Department to determine whether you are eligible to trade the investment products you select now or in the future. We never sell your information to any third parties, nor will we call you and suggest investments for you.

Net Worth	25,000,000 - 30,000,000 USD
Liquid Net Worth	> 5,000,000 USD
Net Income	> 1,000,000 USD

Investment Objectives

Your choices below determine the investment products that you can be approved to trade.

Growth	To increase the principal value of your investments over time rather than seek current income. Investor assumes higher degree of risk.
Hedging	To take positions in a product to hedge or offset the risk in another product.
Preservation of Capital and Income Generation	To seek maximum safety and stability for your principal by focusing on securities and investments that carry a low degree of risk and/or To generate dividend, interest or other income instead of or in addition to long-term capital appreciation.
Profits from Active Trading and Speculation	To increase the principal value of your investments by assuming substantially higher risk to your investment capital and/or To substantially increase the principal value of your investments by assuming substantially higher risk to your investment capital.

Growth	Profits from Active Trading and Speculation
Preservation of Capital and Income Generation	Hedging

I Want to Trade...

Your choices below determine the investment products that you can be approved to trade. Check all that apply.

Crypto Currencies

Exchanges United States-Crypto Currencies

Stocks

Years Trading 5
Knowledge Level Good
Trades Per Year 11-25
Exchanges United States-Stocks United States-Trade in Fractions

Currency Conversion

Exchanges IB-Currency IB-Currency - IDEALPRO

Options

Years Trading 2
Knowledge Level Good
Trades Per Year 11-25
Option Level(s) **Levels 1-2:** Covered Call/Covered Basket Call, Buy Write, Long Call, Long Put, Covered Put, Protective Call, Conversion, Long call spread Long put spread, Long Iron Condor, Long Box Spread, Collar, Short Collar, Protective Put, Long Straddle and Long Strangle.
Exchanges United States-Options

Substitute W-9

Department of the Treasury Internal Revenue Service

1. Name (as shown on your income tax return) Sherfey Investment Firm LLC

2. Business name/disregarded entity name, if different from above

3. Check appropriate box for federal tax classification:

- ☐ Individual / Sole Proprietor or single-member LLC
- ☐ C Corporation
- ☐ S Corporation
- ☐ Partnership
- ☐ Trust/Estate
- ☒ Limited Liability Company (Enter the tax classification)
- ☐ Other (see instructions)

4. Address 16224 Senedo Rd, Edinburg, VA, United States, 22824-2124

5. Exemptions (codes apply only to certain entities, not individuals)

Exempt payee code (if any): None

Exemptions from FATCA reporting code (if any): None

Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN).

If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer Identification Number 872041568

CONTINUED NEXT PAGE

Substitute W-9

Certification

Under penalties of perjury, I certify that



The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and



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 Service (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, and



I am a U.S. citizen or other U.S. person.



The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification Instructions: You must not uncheck the second box if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. See the instructions for additional information.

General Agreements & Disclosures

Documents are available for review in the downloadable Agreements & Disclosures package.