Reset Form

Portfolio Margin Upgrade Request

TD Ameritrade

Attn: Portfolio Margin Department

600 West Chicago Avenue, Suite 100
Chicago, IL 60654-2597
Fax: 800-870-9685

Questions? Call a Client Services representative at 866-839-1100.

You are required to complete and provide the Portfolio Margin Risk Disclosure Statement. To add portfolio margin to a Corporate, Limited Liability Corporation, Sole Proprietorship, Partnership, Limited Partnership, Investment Club, or Trust Account, we may require a notarized Personal Guarantee for Margin Form from a guarantor. Additional information may be required.

1. ACCOUNT INFORMATION

Account Number:	Full Legal Name/Account Title:

Account Owner/Authorized Agent

Date of Birth:
(MM-DD-YYYY)

Employment Status:
☐ Employed ☐ Unemployed ☐ Retired ☐ Homemaker ☐ Student ☐ Self-Employed

Source of income *(if Unemployed, Retired, Homemaker, or Student)*:

Employer Name *(If Self Employed, provide the name of your business and industry):*

Account Co-Owner/Authorized Agent

Date of Birth:
(MM-DD-YYYY)

Employment Status:
☐ Employed ☐ Unemployed ☐ Retired ☐ Homemaker ☐ Student ☐ Self-Employed

Source of income *(if Unemployed, Retired, Homemaker, or Student)*:

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

2. FINANCIAL INFORMATION

Financial information required to be considered for portfolio margin privileges. Joint accounts should indicate combined amounts. Tenants in Common accounts must provide financial information for each owner separately.

Account Owner

Annual Income:	☐ $0-$24,999	☐ $25,000-$49,999	☐ $50,000-$99,999	☐ $100,000-$249,999	☐ $250,000+
Approximate Net Worth:	☐ $0-$14,999	☐ $15,000-$49,999	☐ $50,000-$99,999	☐ $100,000-$249,999	
(not including residence)	☐ $250,000-$499,999	☐ $500,000-$999,999	☐ $1,000,000-$1,999,999	☐ $2,000,000+	
Approximate Liquid Net Worth:	☐ $0-$14,999	☐ $15,000-$49,999	☐ $50,000-$99,999	☐ $100,000-$249,999	
(cash, stocks, etc.)	☐ $250,000-$499,999	☐ $500,000-$999,999	☐ $1,000,000-$1,999,999	☐ $2,000,000+	

Account Co-Owner

Annual Income:	☐ $0-$24,999	☐ $25,000-$49,999	☐ $50,000-$99,999	☐ $100,000-$249,999	☐ $250,000+
Approximate Net Worth:	☐ $0-$14,999	☐ $15,000-$49,999	☐ $50,000-$99,999	☐ $100,000-$249,999	
(not including residence)	☐ $250,000-$499,999	☐ $500,000-$999,999	☐ $1,000,000-$1,999,999	☐ $2,000,000+	
Approximate Liquid Net Worth:	☐ $0-$14,999	☐ $15,000-$49,999	☐ $50,000-$99,999	☐ $100,000-$249,999	
(cash, stocks, etc.)	☐ $250,000-$499,999	☐ $500,000-$999,999	☐ $1,000,000-$1,999,999	☐ $2,000,000+	

PORTFOLIO MARGIN ACCOUNT

By completing Section 3, I am requesting portfolio margin for an options account. Due to the risks involved, we are required to obtain the following information. Tenants in common accounts must provide information for each owner separately. Additional information may be required.

3. ACCOUNT OWNER

Years of Option Investment Experience: *(Check all that apply)* ☐ Less than 1 year ☐ 1-2 years ☐ 3-5 years ☐ 6-9 years ☐ 10+ years

Investment Knowledge or Education: ☐ Limited ☐ Good ☐ Extensive ☐ Professional Trader

4. ACCOUNT CO-OWNER

Years of Option Investment Experience: *(Check all that apply)* ☐ Less than 1 year ☐ 1-2 years ☐ 3-5 years ☐ 6-9 years ☐ 10+ years

Investment Knowledge or Education: ☐ Limited ☐ Good ☐ Extensive ☐ Professional Trader

5. INVESTMENT OBJECTIVES

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 this account: ☐ Conservation ☐ Moderate ☐ Moderate Growth ☐ Growth ☐ Aggressive Growth

Select the secondary investment objectives for this 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

6. PORTFOLIO MARGINING RISK DISCLOSURE STATEMENT

Please read the statements provided by the Portfolio Margin Risk Disclosure and acknowledge below:

1. I know how to access my account information online.
2. I know that TD Ameritrade policy requires portfolio margin calls to be met the day immediately following the day of the call issuance, or sooner based on risk.
3. I know that TD Ameritrade may apply additional stress tests to my position, due to the increased leverage in Portfolio Margin.

Account Owner: __________________________ By initialing here, I affirm that I have read and understood the Portfolio Margin Risk Disclosure Statement, provided on *(MM-DD-YYYY)* _______________.

Account Co-Owner/Authorized Agent:__________________________ By initialing here, I affirm that I have read and understood the Portfolio Margin Risk Disclosure Statement provided on *(MM-DD-YYYY)* _______________.

I have previously received and read the “Client Agreement,” which is incorporated by this reference, and which will govern my account. I agree to be bound by this Client Agreement, as amended from time to time, and request a portfolio margin account as indicated above be opened in the name(s) set forth below. 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 they have 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.

The Client Agreement applicable to this brokerage account agreement 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 pages 7 and 8.

All Account Owners/Authorized Agents must sign.

X Account Owner’s Signature:	Date:
X Account Co-Owner’s Signature:	Date:

Original signatures 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 from 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.

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.