

Why IBKR Education Pricing Trading Services



Get Help Faster | We are experiencing increased volume of service inquires due to higher market volatility and trading volu answer faster using our self-service help features.



or Browse our FAQs ?



Finish an Application

Start Application

What You Need

A Guide to Choosing the Right Account

GUIDES

What You Need

Retirement Account Info

Choosing the Right Account

TRUST ACCOUNT

Start Trust Application

GET STARTED

Welcome Center



Open an Account

It's easy. Here's how to get started:

- 1 Create a username and password
- 2 Confirm your email address
- 3 Complete the application

INDIVIDUALS INSTITUTIONS

For each account holder, you will need:

- ✓ Personal and contact information.
- ✓ Income and tax residency information.
- ✓ Information on trading experience and objectives.
- ✓ Bank account information.

Create a Username and Password

Required	
Username	
Required	
Password	
Required	
Confirm Password	⊘ Sh
Required	
Region	
Region of Legal Residence	
United States	

Create Account



Check your email and confirm your email address



Your username here

We sent a confirmation email to

Your Email Here

Change Email Address

You should receive an email, open and click Verify Account

Dear Applicant,

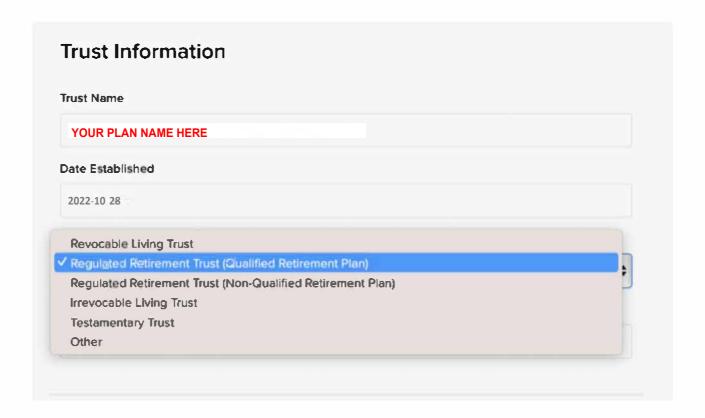
Please verify your account by clicking the Verify Account link below. When you click the link you will be brought to your account application and will need to enter your username and password to continue.



We look forward to serving you.

General Questions & Answers for Trust Information page 1

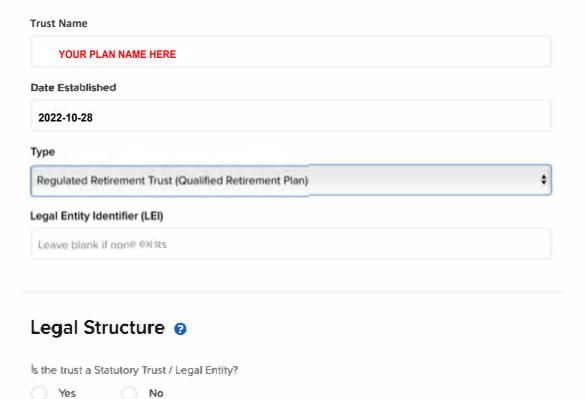
- 1. The type should not be "Regulated Retirement Trust (Non-Qualified Retirement Plan"? Correct select, "Regulated Retirement Trust (Qualified Retirement Plan)"
- 2. Does the trust have a Legal Entity Identifier? Is that the EIN? No, a Legal Entity Identifier is not that same as the EIN for the Solo 401k. Please leave blank.
- 3. Is the trust a statutory trust / legal entity? No A solo 401k is not a statutory trust but it is a federal retirement trust.



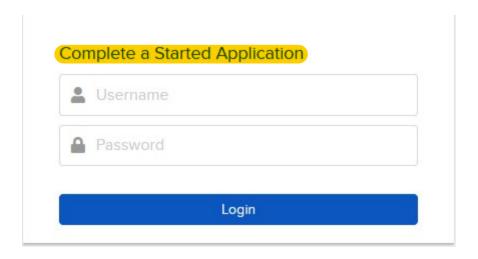
General Questions & Answers for Trust Information page 2

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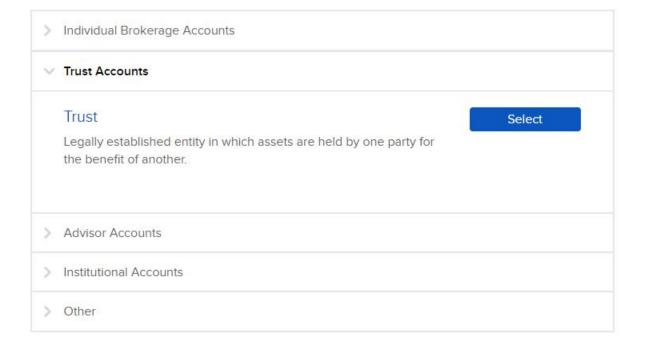
Trust Information



Once account is verified, continue and complete a started application.



Select an Account Type





We offer a variety of account types to fit your investment needs.

Not sure which is the right account for you? See our full guide to choose the right account.





About Us

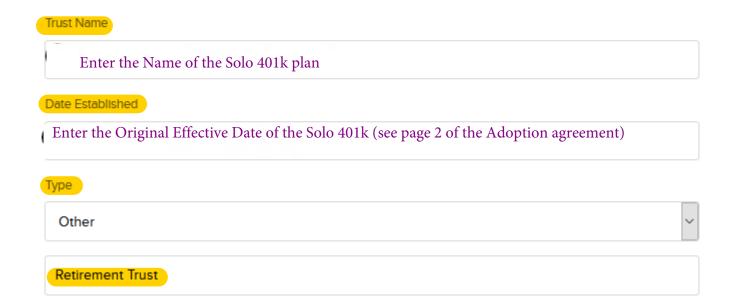
IBKR's aim is to provide an investment service with access to global markets, best executions and the most competitive rates. We accomplish this through a persistent focus on automation in all aspects of our business, including order handling, operations and client services.

Our most satisfied clients are those with a substantial understanding of

Complete the "About You" Section.

About You

Trust Information



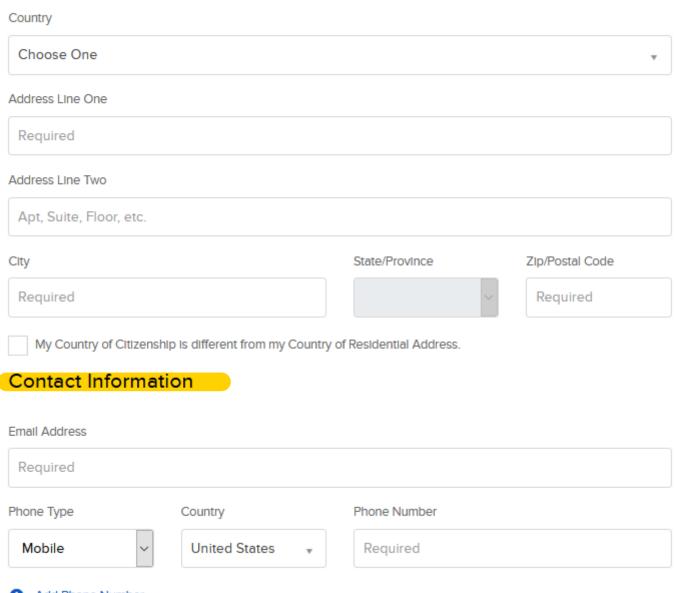
Trustees Information



Add Trustee Information

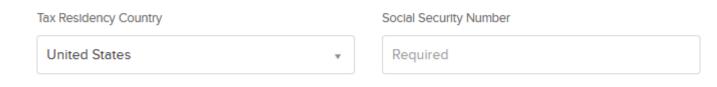
Add Indivi	idual Trustee		×
Personal I	Information		
Salutation	First Name	Middle Name(s)	
Choose	Required		
Last Name			Suffix
Required			None ~
Date of Birth			
yyyy-mm-dd			
Occupation			
Required			
Job Title			
Required			
ls the trustee r	egistered with the National Futur	res Association?	
Yes No			

Residential Address





Tax Residency





Trustee Capabilities

The Trustee is authorized to execute documents and legal agreements and receive disclosures and notices on behalf of the trust and if applicable all other trustees



The Trustee is authorized to buy or sell financial products, instruct third parties, to withdraw or direct the withdrawal of money on behalf of the trust and if applicable all other trustees



**Next select your security questions

Settlors/Grantors Information Settlor/Grantor and Contributor ? List all settlors, grantors, and any other individuals or entities with the power to revoke the Trust. Do not list deceased individuals. Add Entity Settlor/Grantor Add Individual Settlor/Grantor × Add Individual Settlor/Grantor Select Settlor/Grantor Percentage of Ownership % Save Cancel

Choose one of the Trustees, and pick 100%

Tax Classification

Review the Following ?

The US Internal Revenue Service requires that we obtain certain certifications as to the status of YOUR TRUST NAME 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 YOUR TRUST NAME is treated for US income tax purposes.



Grantor Trust using Grantor SSN

Beneficiary Information

Add all beneficiaries of the Trust. A trustee may generally not be a beneficiary of the trust for which it is acting as trustee unless there are other beneficiaries of that trust.

The beneficiary is the person or entity that receives money or other benefits from the trust. The trust instrument may also identify a beneficiary by reference to membership of a class of persons or entities. You must add at least one beneficiary (either an individual or an entity) or add beneficiary class details.



Regulatory Information

Review the Following

Will this account be accessed, managed by a third party advisor or professional manager or management service?



Is any trustee required pursuant to National Futures Association (NFA) or US Commodity Futures Trading Commission (CFTC) rules, to be registered as a Futures Commission Merchant, Introducing Broker, Commodity Pool Operator, Commodity Trading Advisor, Leverage Transaction Merchant, Retail Foreign Exchange Dealer, or designated as a Forex Firm with the NFA?



Has any trustee or beneficiary ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?



Has any trustee or beneficiary ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?



Is the account holder or any of its officers: i) a director, ii) a 10% shareholder, or iii) a policy-making officer of any publicly traded company?



Is any trustee employed or affiliated with a securities/commodities brokerage firm, exchange or regulator?

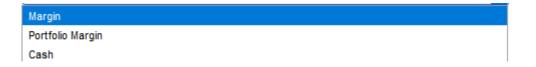




Answer these questions as applicable

Financial Information

Account Type Income and Worth @ Provide the financial information below, which 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. Annual Net Income In USD Choose One Net Worth In USD Choose One Liquid Net Worth In USD Choose One Investment Objectives and Intended Purpose of Trading 2 Your choices below determine the investment products that you can be approved to trade. Check all that apply. Growth Hedging Preservation of Capital and Income Generation Profits from Active Trading and Speculation Trading Experience and Permissions Your choices below determine the investment products that you can be approved to trade. Add all that apply. Additional Products Choose One



Answer these questions as applicable; Note: Investing your Solo 401k in a margin account may subject the income to Unrelated Debt Finance Income tax.



Exempt payee code (if any) -> Choose 1

None

1 An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)

- 2 The United States or any of its agencies or instrumentalities
- 3 A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- 4 A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5 A corporation
- 6 A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States
- 7 A futures commission merchant registered with the Commodity Futures Trading Commission
- 8 A real estate investment trust
- 9 An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10 A common trust fund operated by a bank under section 584(a)
- 11 A financial institution
- 12 A middleman known in the investment community as a nominee or custodian
- 13 A trust exempt from tax under section 664 or described in section 4947

Exemptions from FATCA reporting code (if any) -> Choose A

None

(A)- An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

- B The United States or any of its agencies or instrumentalities
- C A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- D A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
- E A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
- F A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
- G A real estate investment trust
- H A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I A common trust fund as defined in section 584(a)
- J A bank as defined in section 581
- K A broker
- L A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M A tax exempt trust under a section 403(b) plan or section 457(g) plan

Confirm Your Tax Residence

Substitute Form W-9

Review the Following

1. Name (as shown on your Income tax return)

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)

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

Exempt payee code (If any) Exem

None

Exemptions from FATCA reporting code (if any)

None

Address

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 IRS W9 form page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on IRS W9 form page 3.

If the account is in more than one name, see the chart on IRS W9 form page 4 for guidelines on whose number to enter.

Employer Identification Number

ENTER TRUST TAX ID

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 answer the second question with NO If you have been notified by the IRS that you are currently subject to backup withholding.

Signature

By typing my signature and clicking 'Continue' below, I confirm that:

(1) All information and/or documentation provided by me during the account application process is accurate, complete and up-todate and that I intend interactive Brokers to rely upon it; (2) I have read and understood all of the information provided to me by interactive Brokers; (3) I consent and agree to the terms of all the above agreements and disclosures provided to me during the account application process: and (4) I understand and agree that my electronic signature is the legal equivalent of a manual written signature.

Account Title		Dated		
Sign this electronically by <u>typing your name</u> exactly as shown below.				
Accepted signature(s)				
Required				
Accepted signature(s				
Required				
← Back		Continue >		

Review & Sign Agreements

Review your account information below. Once you click "Continue", your application is submitted and you will only be able to make changes by calling client services.

Account Information	
Customer Type	
Account Title	
Account ID	
Trust Information	Edit
Trust Name	
Address	
Malling Address	
Email Address	
Phone (Business)	
Date that Trust was Established	
Type of Trust	
Registration Number	
Tax ID	
Financial Information	Edit
Annual Net Income In USD	
Net Worth In USD	
Liquid Net Worth in USD	
Investment Objectives	
Bonds	
Outro-	
Options	
Stocks	
Source of Funds	

Agreements & Disclosures

Take a moment to review the following agreements and disclosures.

Agre

- Interactive Brokers LLC Fractional Share Trading Disclosure 4289 / 4390.
- Order Routing and Payment for Order Flow Disclosure 3074 / 4503
- Customer Agreement US 3203 / 5461
- Mutual Fund Agreement 4035 / 3745
- ✓ ISE Disclosure for Option Orders Over 500 Contracts 3076 / 5435.
- Mutual Fund Disclosure 4036 / 3849
- Municipal Bond Risk Disclosure 3077 / 5438
- Notice Regarding USA Patriot Act Section 311 3081 / 5441
- ✓ Hong Kong Risk Disclosure 4041 / 5316
- Risk Disclosure Regarding Short Selling of Mexican Stocks 3085 / 2267
- Privacy Statement 2192 / 5419
- Forex and Multi-Currency Risk Disclosure 3024 / 5429
- ✓ Global Financial Information Services Subscriber Agreement 3089 / 4455
- Notice Regarding NFA's BASIC System 3094/3528
- ASX Agreement and Disclosures 4054 / 3749
- Disclosure Regarding Trading of Certificates of Deposit 3230 / 3735
- OCC Risk Disclosure 4003 / 3740
- Singapore Exchange Agreement 3043 / 2222
- US Bond Risk Disclosure 3044/3544
- ✓ IIROC Risk Disclosure 4009 / 2345.
- Stock Stop Order Disclosure 9t30 / 527f
- Margin Trading Risk Disclosure 1005 / 4289
- Risks of After-Hours Tracing 4016 / 3743
- Risk Warnings for Swiss Warrants 4022 / 3374
- ✓ Interactive Brokers Form CRS Customer Relationship Summary 4024 / 4654
- ✓ Important Information Regarding Trading of NextShares Funds 4I54 / 2505
- ✓ Risk Disclosure for Complex or Leveraged Exch-Traded Products 4155 / 4380.
- ✓ Essential Legal Terms for your IB Account 2109 / 5275
- ✓ IBLLC Business Continuity Plan Disclosure 3070 / 3719
- Day Trading Risk Disclosure Statement 3071/3802

Signature

By typing my signature and clicking 'Continue' below, I confirm that:

(1) All information and/or documentation provided by me during the account application process is accurate, complete and up-todate and that I intend Interactive Brokers to rely upon it; (2) I have read and understood all of the information provided to me by Interactive Brokers; (3) I consent and agree to the terms of all the above agreements and disclosures provided to me during the account application process: and (4) I understand and agree that my electronic signature is the legal equivalent of a manual written signature. Account Title Dated Sign this electronically by typing your name exactly as shown below. Accepted signature(s) Required Accepted signature(s) Required