



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



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## GUIDES

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## 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

Email Address

Required

Username

Required

Password

Required

 Show

Confirm Password

Required

## Region

Region of Legal Residence

United States

Create Account



## Check your email and confirm your email address

**Your username:** 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.

[Verify Account](#)

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.**

### Trust Information

Trust Name

YOUR PLAN NAME HERE

Date Established

2022-10-28

- Revocable Living Trust
- ✓ Regulated Retirement Trust (Qualified Retirement Plan)
- Regulated Retirement Trust (Non-Qualified Retirement Plan)
- Irrevocable Living Trust
- Testamentary Trust
- Other

## General Questions & Answers for Trust Information page 2

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.**

### Trust Information

Trust Name

YOUR PLAN NAME HERE

Date Established

2022-10-28

Type

Regulated Retirement Trust (Qualified Retirement Plan)

Legal Entity Identifier (LEI)

Leave blank if none exists

### Legal Structure ?

Is the trust a Statutory Trust / Legal Entity?

☐


Yes


☐

No

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

Complete a Started Application

 Username

 Password

Login

# Select an Account Type

> Individual Brokerage Accounts
▼ <b>Trust Accounts</b>
<div><b>Trust</b> Legally established entity in which assets are held by one party for the benefit of another.</div> <div>Select</div>
> Advisor Accounts
> Institutional Accounts
> Other



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.

[What You Need](#) 



## 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

Trust Name

Enter the Name of the Solo 401k plan

Date Established


Enter the Original Effective Date of the Solo 401k (see page 2 of the Adoption agreement)

Type

Other

Retirement Trust


# Trustees Information

Trustees 

Add Individual Trustee


Add Entity Trustee

Add Trustee Information

Add Individual Trustee 

## Personal Information

Salutation

Choose 

First Name

Required

Middle Name(s)

Last Name

Required

Suffix

None 

Date of Birth

yyyy-mm-dd

Occupation

Required

Job Title

Required

Is the trustee registered with the National Futures Association?

Yes

No

## Residential Address

Country

Choose One



Address Line One

Required

Address Line Two

Apt, Suite, Floor, etc.

City

Required

State/Province

Zip/Postal Code

Required

☐

My Country of Citizenship is different from my Country of Residential Address.

## Contact Information

Email Address

Required

Phone Type

Mobile



Country

United States



Phone Number

Required



Add Phone Number

## Tax Residency

Tax Residency Country

United States ▼

Social Security Number

Required

[+ Add 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

Yes

No

Select "Yes"

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

Yes

No

Select "Yes"

**\*\*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 Individual Settlor/Grantor

Add Entity Settlor/Grantor

### Add Individual Settlor/Grantor

Select Settlor/Grantor

Percentage of Ownership

%

Cancel

Save

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.

☒ US Trust using Trust EIN

☐ Grantor Trust using Grantor SSN

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# 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.

## Beneficiaries ?

Add Individual Beneficiary

Add Entity Beneficiary

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# Regulatory Information

## Review the Following

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

☐ Yes ☒ No

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 ?

☐ Yes ☒ No

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?

☐ Yes ☒ No

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?

☐ Yes ☒ No

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?

☐ Yes ☒ No

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

☐ Yes ☒ No

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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

Net Worth in USD

Liquid Net Worth in USD

## Investment Objectives and Intended Purpose of Trading ?

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

Margin
Portfolio Margin
Cash

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

Choose One

- Bonds
- Warrants
- Futures
- Futures Options
- Mutual Funds
- NextShares
- Complex or Leveraged Exchange Traded Products

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)

4. Exemptions (codes apply only to certain entities, not Individuals)

Exempt payee code (if any)

None

Exemptions from FATCA reporting code (if any)

None

5. 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

Yes No

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

Yes No

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

Yes No

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

Yes No

**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-to-date 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

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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

Trust Name

Address

Mailing Address

Email Address

Phone (Business)

Date that Trust was Established

Type of Trust

Registration Number

Tax ID

Edit

## Financial Information

Annual Net Income In USD

Net Worth In USD

Liquid Net Worth In USD

Investment Objectives

Bonds

Options

Stocks

## Source of Funds

## Agreements & Disclosures

Take a moment to review the following agreements and disclosures.

Agree

- ☒ Interactive Brokers LLC Fractional Share Trading Disclosure 4289 / 4390
- ☒ Order Routing and Payment for Order Flow Disclosure 3074 / 4603
- ☒ 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 3034 / 5429
- ☒ Global Financial Information Services Subscriber Agreement 3089 / 4455
- ☒ Notice Regarding NFAs 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 / 2346
- ☒ Stock Stop Order Disclosure 9130 / 5271
- ☒ Margin Trading Risk Disclosure 1005 / 4289
- ☒ Risks of After-Hours Trading 4016 / 3743
- ☒ Risk Warnings for Swiss Warrants 4022 / 3374
- ☒ Interactive Brokers Form CRS Customer Relationship Summary 4024 / 4614
- ☒ Important Information Regarding Trading of NextShares Funds 4154 / 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-to-date 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

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