

Looking for an easier, faster way to submit paperwork? Try the **SERVICENOW** option at www.StrataTrust.com/Forms

- ◆ E-sign and transmit directly to STRATA
- ◆ Safely upload supporting documentation
- ◆ Securely transfer data with SFTP file protocol

Please gather all the information on this checklist and submit the documentation to STRATA prior to the purchase, transfer or rollover of tradable securities (stocks, bonds, mutual funds and other securities) through a brokerage or clearing firm account.

- A TradeStation brokerage account is required for the purchase and holding of all publicly traded stocks, bonds, mutual funds, or other securities.
- If this is a request for a new account, your TradeStation account application will be submitted to TradeStation within 2 business days.
- TradeStation will establish your account and contact you via email to provide you with your log in credentials within 2- 3 business days.
- If funding the TradeStation account, STRATA will send funds via wire within 2 business days of receiving notification that the TradeStation account has been established.

Accountholder completes and provides the following:

- TradeStation Account Application:** Complete and sign TradeStation's New Account Application if you would like to establish a TradeStation brokerage account. Please be sure to review TradeStation's Client Agreement and Fee Schedule as well as any correspondence received from TradeStation and retain a copy for your records.
- TradeStation Investment Direction:** Complete and sign STRATA's TradeStation Investment Direction form. To avoid any processing delays, please be sure to complete all sections of the form. This form authorizes STRATA to send funds from your IRA to the Investment Issuer once all documentation is provided to STRATA in good order.

Important Reminders

- Once your TradeStation account has been established, you may contact them directly at 866.901.2069.
- You may contact our Client Services Team at 866.928.9394 if you have any questions regarding this request.

The investment registration must reflect the following named investment owner:

STRATA Trust Company Custodian
FBO (Accountholder Name) IRA (Account #)
PO Box 23149
Waco, TX 76702
Tax ID: 26-2637994



TRADESTATION INVESTMENT DIRECTION

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SECTION 1 ACCOUNT INFORMATION

Accountholder Name		IRA Account #
Social Security Number (Last 4 Digits Only)	Daytime Phone Number	Email Address

SECTION 2 TRADESTATION ACCOUNT REQUEST

- Please open a TradeStation brokerage account on behalf of my STRATA IRA and fund the account per the instructions provided within this investment direction form.
- Please fund my existing TradeStation brokerage account per the instructions provided within this investment direction form.
- Please redeem funds from my existing TradeStation brokerage account per the instructions provided within this investment direction form.
- Please redeem funds and close my TradeStation account. I must liquidate all positions prior to submitting this request.

SECTION 3 INVESTMENT INFORMATION

■ **Investment Information**

Funds will be wired at no charge to TradeStation once the TradeStation account is established, if applicable.

Investment Name Tradestation

Investment Amount \$ _____ TradeStation Account Number (if known) _____

Please set up a sweep

Frequency: Monthly Start Date: 1st Day of Month
 Quarterly 15th Day of Month

Amount: All Cash Available Cash in the Amount of \$ _____

Client Services 866.928.9394 | Service@StrataTrust.com | Online: www.StrataTrust.com/Service-Request

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SECTION 4

REDEMPTION

Complete to authorize moving cash from TradeStation to your STRATA cash account.

There must be sufficient idle cash in your TradeStation account to avoid processing delays.

TradeStation Account Number _____

Amount to Redeem: \$ _____

Redeemed funds will be received via wire, please see TradeStation Fee Schedule for applicable fees.

SECTION 5

ACCOUNTHOLDER SIGNATURE

Important: Please ensure that you read the following disclosures before you sign and date this document.

I direct STRATA Trust Company ("STRATA") to establish a Tradestation Brokerage account on behalf of my IRA, if applicable, and to execute the purchase of the above named Investment ("Investment") for the benefit of my self directed IRA account ("Account"). In directing the purchase of this Investment, I understand that my Account will be charged or credited as appropriate with the net earnings, gains, losses and expenses, as well as appreciations or depreciations in market value of the investments held in my Account. I also understand that my Account will be charged with any costs or expenses attributable to the establishment and/or maintenance of investments held within it. I agree to hold STRATA harmless from any liability for any loss, damage, injury or expense which may occur as a result of the execution of this Investment Direction. I understand that STRATA will have a reasonable amount of time to complete my instructions.



Accountholder Signature

Date

FORM SUBMISSION OPTIONS (Please submit using one method below)

- Fax: 512.495.9554
- Email: Operations@StrataTrust.com
- US Mail: PO Box 23149, Waco, TX 76702
- Overnight: 7901 Woodway Drive, Waco TX 76712

Client Services 866.928.9394 | Service@StrataTrust.com | Online: www.StrataTrust.com/Service-Request