



# Letter of Authorization for Affiliated Account Owners of Futures and Forex Accounts


TD Ameritrade Futures & Forex LLC  
600 W. Chicago Ave. Suite 800 ■ Chicago, IL 60654-2597  
Phone: 866-839-1100 ■ Fax: 773-435-3232

Please complete this form if you are an affiliated person of a Futures Commission Merchant (FCM), an introducing broker (IB), a Retail Forex Counterparty (RFC), or are registered with the National Futures Association (NFA). The term "affiliated person" is defined as any general partner, officer, director, owner of more than 10% of the equity interest, associated person or employee of the futures commission merchant or of the introducing broker, and any relative or spouse of any of the foregoing persons, or any relative of such spouse, who shares the same home as any of the foregoing persons. You must complete Section 1, and your employer must complete Section 2. Return completed form with your Futures or Forex Account Application to the Futures and Forex department, at the address or fax listed above. Failure to return this form may cause a delay in opening your futures or forex account. If you have any questions, please call us at **866-839-1100**.

## 1. ACCOUNT OWNER AFFILIATION NOTIFICATION

By my signature below, I acknowledge that I am an affiliated person of an FCM, IB, RFC, or registered with the NFA, and I have notified my employer of my intention to open a futures and/or forex account with TD Ameritrade Futures & Forex LLC.

Account Owner's Printed Name:

 Account Owner's Signature:

Date:

U.S. Social Security Number:

## 2. MEMBER FIRM AUTHORIZATION

Please accept this as authorization to open a futures and/or forex account for:

Name of Employee:  
(*account owner*)

An Employee of:  
(*company of employment*)

Street Address of Company:  
(*no PO box or mail drop*)

City:

State:

ZIP Code:

Company Phone:

Email address (*please print clearly*):

### One box must be checked.

If you are an affiliated person of a Futures Commission Merchant (FCM), Introducing Broker (IB), or Retail Forex Counterparty (RFC) pursuant to CFTC Rule 155.3(c)(3) and 5.18(b)(1), your firm requires duplicate statements.


- Check here if you are an affiliated person of an FCM, IB, or RFC. If this box is checked, please provide an email address for duplicate futures statements to be sent to your employing firm.
- Check here if you are not an affiliated person of an FCM, IB, or RFC. If this box is checked, you are indicating your firm is not an FCM, IB, or RFC and duplicate statements are not required to be sent.

Forex statements, confirmations, transactions, and summary reports are only retrievable through the trading software.

## SIGNATURE(S)

By my signature below, I acknowledge and agree that TD Ameritrade Futures & Forex LLC will provide my firm with copies of customer account statements for our affiliated person listed above. TD Ameritrade Futures & Forex LLC will promptly furnish, upon written request, trade order data related to trading of our firm's affiliated persons.

Compliance Officer Printed Name:

 Compliance Officer Signature:

Date:

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value

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