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## Frequently Asked Questions

We've created this reference section in order to provide you with easily accessible answers to the questions we are most often asked by our customers. It has been divided into categories so that you can find the information you're looking for as quickly as possible. If you are still unable to find the answer to your question after reviewing our frequently asked questions, please contact us at 800.797.0706 or send an e-mail to [ClientService@TradeStation.com](mailto:ClientService@TradeStation.com).

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## Top Customer Questions

### 1. Why should I choose TradeStation as my trading platform?

TradeStation is the first trading platform that combines the lightning-fast\* speed of direct-access execution with something that you won't find anywhere else: The power to test and automate your own custom trading strategies. It breaks through the passive barriers of conventional trading platforms and transforms your PC into an interactive trading assistant. One that can actually help you develop time-tested rules\*\* for getting in and out of the market. And one that offers you the power to automate your trading in ways you probably never thought possible.

### 2. Does the TradeStation Platform offer simulated trading?

No. However, we do offer the opportunity for you to take a 30-day Test Drive of the TradeStation Platform without order execution.

### 3. What documents do I need to open an account?

You are required to fill out the *TradeStation Securities Account Agreement*. Additional forms are required based on the account type and the account services you choose (options trading, third-party trading authority, etc.). There are additional agreements required to use the software and data services provided on the TradeStation Platform. You may [view or download forms](#) from this Web site for any account type in PDF format.

### 4. If I open my account in the middle of the month, will the number of trades I place for the rest of the month be prorated to determine my commission rate for the following month?

Yes, but never less than 50%. For example, if you fund your account on the 8th of a month with 28 days, the account will be funded for 21 days of the month for a proration factor of .75. So you would only have to place 75% of the trades required in order to receive a specific commission rate or waived data fee for the following month.

Another example is if you fund your account on the 22nd of a month with 28 days, the account will be funded for only 7 days of the month for a proration factor of .25. However, since we will never use a proration factor lower than 50%, you will be required to place, in those 7 days, 50% of the trades required in order to receive a specific commission rate or waived data fee for the following month.

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process, unless the transfer request is placed by your bank after 12:00 p.m. EST, in which case funds will usually be available the next business day. For more information on transferring funds electronically, or other methods of making deposits, please go to the [Deposits and Funding](#) page.

#### **6. Where can I find forms to make changes to my account?**

We provide the most common account change forms online. On the main My Account menu, simply choose the "Update Account" option and then choose the type of change you would like to make to access the necessary forms. If you do not find the type of account change you would like to make listed here, you can contact us at 800.797.0706.

#### **7. How can I give my spouse trading privileges?**

You can give your spouse trading privileges on your account by submitting a third-party trading authorization form to us. You can access this form online by simply choosing "Update Account" on the main My Account menu. Then, under the Other Modifications to Your Account section, click on "Adding third-party trading authorization."

#### **8. What account protection does TradeStation Securities offer?**

TradeStation Securities offers the account security you need -- and expect -- from an online brokerage that caters to the active and professional trader. TradeStation Securities is a member of the Securities Investor Protection Corporation (SIPC), which provides protection\*\*\* for customer accounts up to \$500,000, of which \$100,000 may be in cash. In addition, TradeStation Securities clears through Bear, Stearns Securities Corporation for all its custody and clearing issues associated with its brokerage transactions. Bear Stearns has obtained an excess securities bond issued by Travelers Casualty & Surety Company that is supplemental to SIPC protection and provides protection up to the amount of the covered account's net equity in excess of the primary SIPC protection. This gives you an unlimited amount of protection for your account.\*\*\*



#### **9. How much interest does an account earn?**

The rate is tied to the Broker Call rate. Please call our Client Service department at 800.797.0706 for additional information.

#### **10. What are the house margin requirements?**

The initial requirement for placing a trade on margin is 50%, with a maintenance requirement of 35%.

#### **11. What are the TradeStation Securities' commission rates?**

Your commission rates may vary from month to month based on trade frequency and other factors. We provide you with specific details and an example of how commission rates are calculated on our [Fees](#) page.

#### **12. How do I withdraw funds from my account?**

If you would like to withdraw funds from your account, you should call our Client Services Department at 800.797.0706.

#### **13. If I have more than one account, can they be linked together?**

Yes. If you have more than one account with TradeStation Securities, you can link them together by calling Client Services at 800.797.0706. The accounts can be linked through a single User ID. All linked accounts will appear in a drop-down box format within the Account Manager module. Note: accounts will not be linked (i.e., cross-guaranteed) for the purpose of meeting margin obligations and calculating buying power data.

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## About Getting Started

### **1. What's the minimum deposit required to open a TradeStation Securities account?**



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Liability Company and Sole Proprietorship accounts, you can download all forms required to apply for an account. Visit the [Opening an Account](#) section of our Web site to apply for an account now.

### 3. How do I enable my account for margin?

All TradeStation Securities accounts are automatically opened as margin accounts.

### 4. How do I know that the TradeStation Securities Web site is secure?

For your protection and privacy, all information you enter on our secure registration form is encrypted before it leaves your computer using the latest 128-bit SSL encryption technology. You will know when the SSL encryption technology is activated when you see a lock in the lower right corner of your Internet Explorer browser. This means that the information being transmitted between your computer and the TradeStation.com servers is encrypted and can not be read by anyone else.

### 5. What services are offered to active traders?

TradeStation Securities offers the same high-quality brokerage services to all of its clients, regardless of how often they trade. However, active traders will receive discounted commission rates, depending on the number of trades placed per month. Our Fees page details the number of trades required for each commission level. Those who place at least 50 trades per month will also have the \$99.95 monthly data fee waived for the complete TradeStation Platform, giving them access to it for no charge.

### 6. How do I contact TradeStation Securities?

We provide a variety of ways for you to get in touch with the various departments at TradeStation Securities. Visit the [Contact Us](#) area of our Web site to find contact information for the department that relates to your specific question or concern.

### 7. Where can I find help on getting started with the TradeStation Platform?

We've created a series of interactive tutorials covering the basic areas of the TradeStation Platform. They are designed specifically to help you get started quickly and easily. You can access these interactive tutorials from directly within TradeStation by simply clicking on "Help" in the Main Menu or on the "Support" group on the Shortcut Bar.

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## About Managing My Account

### 1. Does TradeStation Securities send monthly account statements?

Customer statements are sent monthly unless there is no account activity, then statements are sent quarterly.

### 2. Does TradeStation Securities provide year-end tax information?

Our clearing firm, Bear Stearns, will send you all the information you need in order to prepare your tax returns.

### 3. How do I check for my day trading and my overnight buying power?

You can find your day trading and overnight buying power in the Account Statistics tab of the Account Manager. Your day trading buying power is the total market value of securities positions which you may enter into and subsequently close out within the same trading day without incurring a margin call. Your overnight buying power is the total market value of new securities positions you may carry overnight without incurring a Regulation T call (the margin requirement established by the Federal Reserve Board).

### 4. What is your overnight margin rate?

The rate depends on the size of the debit balance and is tied to the Broker Call rate. Please call our Client Service department at 800.797.0706 for additional information.

### 5. What kind of account information can I view online?

Information about your account can be found online in the TradeStation Account





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- Beginning Day Overnight Buying Power
- Beginning Day Intraday Buying Power
- Real-time Cash Balance
- Real-time Overnight Buying Power
- Real-time Intraday Buying Power
- Real-time Cost Of Positions
- Real-time Unrealized P/L
- Real-time Realized P/L



Additionally, the TradeStation container's status bar will allow you to quickly see your:

- Number of open positions
- Buying power
- Unrealized P/L
- Realized P/L

In the positions tab you can see the following information for individual positions:

- Average cost basis (per share)
- P/L per share
- Total P/L
- Color coding (to easily distinguish profitable and non-profitable positions)

Plus, in the PositionGraphs you can find information on:

- Individual positions P/L
- Real-time present run-up and run-down of positions
- Real-time greatest run-up of positions
- Real-time greatest drawdown of positions
- Thermo-graph styled color coding to show bid directional ratios

#### **6. How often is my online account information updated?**

Your online account information is updated in real-time, tick-by-tick, including dynamic sorting of the columns found in each tab of the Account Manager.

#### **7. How do I know when my deposit has been posted to my account?**

As soon as your deposit is posted it will be displayed in TradeStation's Account Manager.

#### **8. Can I change my User Name or Password information online? What about adding and changing account features?**

Yes. On the main My Account menu, simply choose "Change User Name Or Password". To make changes to your personal information, or add or change your account features, please call our Client Service department at 800.797.0706. We will be adding the ability to add or change account features online in the near future.

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#### 10. How do I transfer funds from one account to another?

You may transfer funds from one account to another account. However, the name and type of the account you are transferring from must match the name and type of your existing TradeStation Securities account. If the name and type are not identical, you must establish a new TradeStation Securities account with the same name and type as the account from which the transfer is being made to TradeStation Securities.



#### 11. Can I transfer retirement assets?

Yes. You may transfer retirement assets to a TradeStation Securities account. However, certain restrictions do apply if you are transferring retirement assets including IRAs and Keoghs. In addition, the name and type of the account from which you are transferring must match the name and type of your existing TradeStation Securities account.

You may call our Client Service department at 800.797.0706 for additional information and restrictions.

#### 12. Can I transfer margin and/or options positions to TradeStation Securities?

If you are transferring Margin and/or Options positions, you must have an approved Margin and/or Options application with TradeStation Securities. In addition, the name and type of the account from which you are transferring must match the name and type of your existing TradeStation Securities account. Margin is available only for non-retirement brokerage accounts.

#### 13. Can I transfer funds to my corporate accounts?

If you are transferring funds to a corporate account, you will need to include a Certificate of Corporate Secretary. In addition, the name and type of the account from which you are transferring must match the name and type of your existing TradeStation Securities account.

## About Trading

#### 1. How do I place a trade?

TradeStation Securities provides integrated, intelligent direct-access order execution from within the TradeStation Platform, with frequency discounts on commissions. Electronic trades for stocks and indexes are placed directly from the Order Bar of TradeStation. You can also place a trade by calling our Trading Desk at 800.515.3238. Orders placed by phone will be charged a base commission fee of \$39.95.



#### 2. How do I place an options trade?

Currently, options trades must be placed by calling our Trading Desk at 800.515.3238. Before integrated execution through TradeStation's Order Bar (coming soon) is available, all options orders placed by phone will be charged a commission fee of \$19.95, plus \$2.00 per contract.

#### 3. What types of options positions does TradeStation Securities allow?

We allow all types of options positions. However you will only be able to use those for which your account has been approved.

#### 4. How do I place a futures trade?

You can place a futures trade by clicking the 'Account: Futures' icon on the Shortcut Bar within TradeStation. Once you log on, your Futures Order Placement and Account Management screens will open. For more information on placing futures trades within TradeStation, please visit the [Direct-Access Futures Execution](#) page.

#### 5. What kind of short sale inventory does TradeStation Securities offer?

TradeStation Securities clears through Bear Stearns. Among several other advantages, Bear Stearns is one of the most powerful securities lending and financing forces in the industry. This allows for more availability and flexibility when short selling.

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