



FINRA Rule 3210 - Accounts At Other Broker-Dealers

Part 1: Associated Person's request to open an outside brokerage account

You Fill Out This Part

My signature confirms that my employer is a FINRA or Exchange Member Firm ("Employer Member"), and that I have requested authorization from my employer to open a new account or maintain an existing account, that was established prior to my employment, with tastytrade, Inc.

Associated Person's Name (printed):

Account Number (if applicable):

X Signature:

Date:

Part 2: Employer Member's acknowledgment & approval

Your Compliance Officer Fills Out This Part

As a Compliance Officer for _____, my signature confirms that we do not object to the opening and/or maintaining of a tastytrade, Inc. brokerage account for the following:

Name of Associated Person:

Name of Employer Member:

Compliance Address for Employer Member:

City:

State:

Zip Code:

Employer Member's Phone Number or Email:

Yes, the Employing Member _____ requests duplicate monthly statements and/or _____ trade confirmations with respect to the Associated Person's account(s) be sent to the above compliance address (*tastytrade cannot send requested documents electronically at this time*):

No, the Employing Member is not requesting duplicate monthly statements or trade confirmations with respect to the above Associated Person's account.

Compliance Officer's Name (printed):

X Compliance Officer's Signature:

Date:

Part 3: Once complete, please email this form to accounts@tastytrade.com. Your tastytrade account will be pending until we receive your firm's approval.