Financial & Tax Architects, Inc.

Account Application

Account Title: Mark Herman
Customer Type: Retirement Account (Roth) Advisor Client
Account ID: U4000770
Advisor Title: Financial & Tax Architects
Advisor Country: United States

Return your completed and signed application (along with a signed government issued ID) via any of the following methods:

Scan & Email (recommended)	newaccounts@interactivebrokers.com Acceptable file formats include: JPG, JPEG, PNG, PDF Include your Account ID in the Email Subject.
Courier/Overnight Service	Interactive Brokers LLC ATTN: Document Processing 209 South LaSalle Street 10th Floor Chicago, IL 60604 United States
Fax	(312) 984-1017 Include your Account ID in the Fax Cover Sheet.
Mail	Interactive Brokers LLC ATTN: Document Processing P.O. Box A3770 Chicago, Chicago 60690-3770 United States
Electronic Signature	IBKR accepts electronic signatures via Docusign and other e-signature platforms.

Financial & Tax Architects, Inc.

About Your Client

Contact Information

Salutation	First Name	Middle Name(s)
Mr.	Mark	

Last Name	Suffix
Herman	

Address Line One

1704 Blue Jay Cv

Address Line Two

City	State/Province	Zip/Postal Code
Saint Louis	Missouri	63144-1604

- [ ] I have a different mailing address.
- [ ] I have a different Country of Citizenship other than United States.
- [ ] I was born outside of United States.

Phone Type	Country	Phone Number
Mobile	United States	+12244061778

Personal Information

Date of Birth

1993-04-04

Marital Status	Number of Dependents
Single	0

Tax Residency Country

United States

- [x] I have a Tax Identification Number.

Employment

Employment Status

Employed

Full Employer Name

Financial & Tax Architects, Inc.

Nature of Business	Occupation
Finance/Broker Dealer	Personal Financial Advisor

Country

United States

Address Line One

12412 Powerscourt Dr. Suite 25

Address Line Two

City	State/Province	Zip/Postal Code
St. Louis	Missouri	63131

Account Information

Account Type

IRA Margin

Financial & Tax Architects, Inc.

Base Currency

United States Dollar USD

Financial & Tax Architects, Inc.

Beneficiary Information

Beneficiaries

Enter up to six primary and/or contingent beneficiaries by clicking the appropriate button below. Contingent beneficiaries are not required. Note that contingent beneficiaries become primary beneficiaries if there are no living primary beneficiaries. The percentage interest of the beneficiaries will be increased proportionately if multiple primary or secondary beneficiaries are named and one or more beneficiaries predeceases me.

Beneficiaries may be edited at any time after your account has been opened. We recommend that you consult your accountant or attorney for guidance on designating beneficiaries.

Name	Beneficiary Type	Ownership		
Mr. John Herman	Primary	100 %		
	Primary Total	**100 %**		
	Contingent Total	**0 %**		

Personal Information

Salutation	First Name	Middle Name(s)
Mr.	John	

Last Name	Suffix
Herman	

Date of Birth

1996-06-18

Residential Address

Country

United States

Address Line One

Address Line Two

City	State/Province	Zip/Postal Code

Identification

Country of Citizenship

United States

Social Security Number

Other Information

Beneficiary Type

Primary

Relationship to You

Brother

Percentage of Ownership

100 %

Configure Your Trading Account

Income and Worth

Annual Net Income in USD

Net Worth in USD

Liquid Net Worth in USD

Investment Objectives and Intended Purpose of Trading

- ✔ Growth
- Hedging
- Preservation of Capital and Income Generation
- Profits from Active Trading and Speculation

Trading Experience & Permissions

Stocks	6 - 10 Years of Experience	11 - 25 Trades per Year	Good Knowledge
	United States, United States (Algorithmic Execution Venue), United States (T+1 Settlement Program)		

Employer Information

Are you or anyone in your immediate family employed by or registered with a broker-dealer, investment advisor, futures commission merchant, hedge fund, exchange or other financial services firm?

Yes **No**

Is the account holder a director, a 10% shareholder or a policy-making officer of any publicly traded company?

Yes **No**

Financial & Tax Architects, Inc.

Confirm Your Tax Residence

Substitute Form W-9

Review the Following

1. Name (as shown on your income tax return)

Mr. Mark Herman

2. Business name/disregarded entity name, if different from above

3. Check appropriate box for federal tax classification:

- [x] 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. Address

1704 Blue Jay Cv, Saint Louis, MO 63144-1604 United States

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

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

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

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorized Interactive Brokers to confirm the accuracy of the information as it deems necessary.

Account Title
Mark Herman

Dated
2020 May 07 2:26PM EDT

Signature - Mark Herman

Financial & Tax Architects, Inc.

Agreements & Disclosures

Documents are available for review in the Agreements & Disclosures package provided by your Advisor (or Broker).

Sub Account Fees Review

Review the fee methodology set by Financial & Tax Architects below.
Interactive Brokers calculates Advisor Fees and deducts these fees from your client account automatically and sends them to your advisor as follows:

Annualized Percentage of Net Liquidation Value applied on a Quarterly basis

Account Application

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorized Interactive Brokers to confirm the accuracy of the information as it deems necessary. I certify that I have read, understood and agree to all documents in the Agreements & Disclosures package.

Account Title	Dated
Mark Herman	2020 May 07 2:26PM EDT

Signature - Mark Herman