



# Alpaca Documents Library

## Securities Disclosures

- Alpaca Clearing Business Continuity Plan Summary
- Alpaca PFOF Disclosure
- Alpaca Clearing Privacy Notice
- Alpaca Risks of Automated Trading
- Alpaca Conditional Orders Disclosure
- Alpaca Use and Risk Disclosures
- Alpaca Margin Disclosure Statement
- Alpaca - Supplemental Limited Margin Agreement
- Alpaca Broker API Exhibit B: Other Fees
- FINRA - Customer Identification Program Notice
- FINRA - Day Trading Risk Disclosure
- FINRA - ETF Risk Disclosure

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Accept



- PTP Withholding Disclosure
- Responsibilities of Introducing Broker and Clearing Broker
  - Alpaca Clearing Unaudited Statement of Financial Condition (June 30, 2025)
- Large Trader ID (LTID) Disclosure
- SIPC and Excess SIPC Protection
- Alpaca Options Disclosure
- Characteristics and Risks of Standardized Options
  - Important Risk Disclosures With Respect To Participating In Fully Paid Securities Lending Transactions
- Initial Public Offering Risk Disclosures

## Securities Agreements

- Alpaca Account Application and Customer Agreement
- Alpaca Terms & Conditions
- NASDAQ OMX Global Subscriber Agreement
- NYSE Market Data Display Services Agreement
- Signup Rewards Program Terms & Conditions
- Customer Options Agreement
- DVP Account Application and Agreement
  - Alpaca Master Securities Lending Agreement for Fully Paid Securities Lending
- Alpaca Elite Agreement
- ACATS Promotions Terms & Conditions

## FDIC Bank Sweep Disclosures

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## Basic Regulations

- Alpaca Clearing Profit Sharing FDIC Bank Sweep Program
- Terms and Conditions

## Retirement Account Disclosures

- Equity Trust Company Trust Agreement
- Equity Trust Company Traditional IRA Disclosures & Instructions
- Equity Trust Company Roth IRA Disclosures & Instructions
- Equity Trust Company Privacy Notice
- Equity Trust Company Account Application

## Crypto Disclosures

- Alpaca Crypto Business Continuity Plan Summary
- Alpaca Crypto Privacy Notice
- Alpaca Crypto Risk Disclosure
- Alpaca Crypto Custodial Account Disclosure Statement
- Alpaca Crypto LLC Fee Disclosure
- Washington State VC Disclosures
- Licenses and Disclosures
- Tokenization Disclosure

## Crypto Agreements

- Alpaca Terms & Conditions

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Additional crypto information:

Several federal agencies have published advisory documents surrounding the risks of cryptocurrency. [CFPB's Consumer Advisory](#), the [CFTC's Customer Advisory](#), the [SEC's Investor Alert](#), and [FINRA's Investor Alert](#).

## Securities Forms

- Customer Account Transfer Form
- Customer Free of Payment / DTC Transfer Form (Outgoing)
- Customer Free of Payment / DTC Transfer Form (Incoming)
- Letter of Instruction for DRS
- Alpaca Journal Request
- Alpaca Wire Instructions

## 606 Reports

- SEC Rule 606 - 1Q2026 (Valid File)
- SEC Rule 606 - 4Q2025 (Valid File)
- SEC Rule 606 - 3Q2025 (Valid File)
- SEC Rule 606 - 2Q2025 (Valid File)
- SEC Rule 606 - 1Q2025 (Valid File)
- SEC Rule 606 - 4Q2024 (Valid File)
- SEC Rule 606 - 3Q2024 (Valid File)
- SEC Rule 606 - 2Q2024 (Valid File)
- SEC Rule 606 - 1Q2024 (Valid File)

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- SEC Rule 606 - 3Q2022 (Valid File)
- SEC Rule 606 - 2Q2022 (Valid File)
- SEC Rule 606 - 1Q2022 (Valid File)
- SEC Rule 606 - 4Q2021 (Valid File)
- SEC Rule 606 - 3Q2021 (Valid File)
- SEC Rule 606 - 2Q2021 (Valid File)
- SEC Rule 606 - 1Q2021 (Valid File)
- SEC Rule 606 - 4Q2020 (Valid File)
- SEC Rule 606 - 3Q2020 (Valid File)
- SEC Rule 606 - 2Q2020 (Valid File)
- SEC Rule 606 - 1Q2020 (Valid File)

Under SEC Rule 606(b)(1), customers can request specific order routing and execution information for the preceding six months. The information will include the identity of the venue where your orders were routed for execution, whether the orders were directed or non-directed, and if executed, the time of execution.

Under SEC Rule 606(b)(3), broker-dealers are required, upon request of a customer that places not-held orders, to provide specific disclosures regarding routing and execution of such orders for the prior six months.

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