CLIENT ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE

By clicking your account type below, you will be taken to the necessary instructions to complete the application based on your account type.

Purpose of this form. *By completing and signing this application the account owner is establishing an account subject to the terms and conditions outlined at www.trustamerica.com/tca*. This form is required to open a managed account through your designated investment advisor, with Trust Company of America (TCA) providing custodial services to you and your investment advisor.

Where to get additional forms. If additional TCA forms are needed, you may either ask your investment advisor or client representative for a copy of the form or download the form online at www.trustamerica.com/advisor-forms.

You must **complete all required fields and provide all required additional forms and documentation** to expedite processing and to avoid requests for additional information. The only exceptions are if a section or entry is listed as 'optional' or 'if applicable'. 'Optional' indicates the section or entry is an elective and nonobligatory service or feature. By entering information in an optional section or entry, you are choosing to participate in the service or feature. 'If applicable' indicates the section or entry is required if certain conditions apply. These conditions are outlined in detail in these instructions.

Print or type all entries. Print clearly in all CAPITAL LETTERS to complete this application. To type entries, a fillable PDF of this form can be found online at www.trustamerica.com/advisor-forms.

Unknown information. If information is requested and you do not know where to obtain the requested information, contact your investment advisor or client representative for direction.

Important New Account Information To help the government fight the funding of terrorism and money-laundering activities, federal law requires TCA to verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, TCA requires this information for any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identification documentation is not required. However, TCA reserves the right to request identifying documentation in certain circumstances. Your account may be restricted and/or closed if TCA cannot verify this information. TCA will not be responsible for any losses or damages (including but not limited to lost opportunities) resulting from any failure to provide this information or from any restriction placed upon, or close of, your account.

You must complete all required fields and provide all required forms and documentation to expedite processing and to avoid unnecessary requests for additional information.

Note: TCA reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.

Client Account Types

Click the account type you wish to open and it will send you to the appropriate instructions.

- ❑ Individual
- ❑ Joint (With Rights of Survivorship (WROS))
- ❑ Joint (Tenants in Common)
- ❑ Joint (Tenants by the Entirety)
- ❑ Joint (Community Property)
- ❑ Joint (Community Property WROS)
- ❑ Custodial (UTMA/UGMA)
- ❑ IRA (Traditional, Rollover, Custodial)
- ❑ Roth IRA
- ❑ Beneficiary IRA (Beneficiary Roth IRA)
- ❑ SEP IRA
- ❑ SARSEP
- ❑ SIMPLE IRA (Type 5304)
- ❑ Legal

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CLIENT ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE

Individual

Individual Account is an account where there is one beneficial owner.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Individual" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; it is not applicable for this account type.

Section 3: Additional Account Owner Information

Skip this section; it does not apply for this account type.

Section 4: IRA Beneficiary Designation, if applicable

Skip this section; it is not applicable for this account type.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://app.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties to receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death

To add a TOD to this account type, complete, sign and provide the Transfer on Death (TOD) Designation Request with this application

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Joint (With Rights of Survivorship (WROS))

Joint Tenants with Rights of Survivorship Account is an account where there is more than one account owner and each owner has an equal and undivided interest in the account. Upon the death of an account owner, account ownership passes to the other owner(s).

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Joint (With Rights of Survivorship (WROS))" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

Primary account owner: The individual whose social security number is on the account for tax reporting.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner
Check the box labeled "Additional Owner" in Section 3, and provide the person's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable

Skip this section, it is not applicable for this account type.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then all account owners should sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death

To add a TOD to this account type, complete, sign and provide the Transfer on Death (TOD) Designation Request with this application.

Joint (Tenants in Common)

Joint Tenants in Common Account is an account where there is more than one account owner and each owner has a specified percentage interest in the account. Upon the death of an owner, the deceased owner's percentage interest is retained by the deceased owner's heirs and is not passed to the surviving owner(s).

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Joint (Tenants in Common)" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.
Primary account owner: The individual whose social security number is on the account for tax reporting.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner
Check the box labeled "Additional Owner" in Section 3 and provide the person's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.
IMPORTANT: To designate additional account owners, complete the Additional Information Application Addendum.

Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum. (See Interested Third Party section below)

Section 4: IRA Beneficiary Designation, if applicable

Skip this section; it is not applicable for this account type.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then all account owners must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death

A Transfer on Death (TOD) Designation is not available with this account type.

Joint (Tenants by the Entirety)

Joint Tenants by the Entirety Account is an account for married couples that live in a state where a Joint Tenants by the Entirety designation is available.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Joint (Tenants by Entirety) in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

Primary account owner: The individual whose social security number is on the account for tax reporting.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner
Check the box labeled "Additional Owner" in Section 3 and provide the person's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable

Skip this section, it is not applicable for this account type.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then both account owners must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death

To add a TOD to this account type, complete, sign and provide the Transfer on Death (TOD) Designation Request with this application.

Joint (Community Property)

Joint Community Property Account is an account for married couples currently living in a community property state (or whoever lived in a community property state while they were married) where owners have equal rights to the assets. Upon divorce or death, half the account belongs to each spouse (similar to Joint Tenants in Common).

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Joint (Community Property)" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

Primary account owner: The individual whose social security number is on the account for tax reporting.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; *it is not applicable for this account type.*

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner
Check the box labeled "Additional Owner" in Section 3 and provide the person's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable

Skip this section, it is not applicable for this account type.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then both account owners must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death

A Transfer on Death (TOD) Designation is not available with this account type.

Joint (Community Property WROS)

Joint Community Property WROS Account is an account for married couples currently living in a community property state (or whoever lived in a community property state while they were married) where and each owner has an equal and undivided interest in the account and upon the death of one account owner, account ownership passes to the other owner.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Joint (Community Property WROS)" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

Primary account owner: The individual whose social security number is on the account for tax reporting.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner
Check the box labeled "Additional Owner" in Section 3 and provide the person's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable

Skip this section, it is not applicable for this account type.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then both account owners must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death

To add a TOD to this account type, complete, sign and provide the Transfer on Death (TOD) Designation Request with this application.

Custodial (UTMA/UGMA)

Custodial (UTMA/UGMA) Uniform Transfer to Minors Act (UTMA)/Uniform Gift to Minors Act (UGMA) account is an account that holds amounts owned by a minor in the minor's name without having to establish a trust or name a legal guardian. TCA no longer opens new UGMA accounts; however, accounts that are UGMA at other custodians can be transferred as UGMAs at TCA.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Custodial UTMA/UGMA" in section 1.

Section 2: Primary Account Owner Information

Note: Unless notified in writing, the minor's state of residence in Section 2 will be used.

A. Account Owner – *For UTMA/UGMA the minor is the primary owner*
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.
Note: Identification information is not required for a minor who is a U.S. citizen.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner - *For UTMA/UGMA the custodian is the additional owner*
Check the box labeled "Custodian" in Section 3 and enter the custodian's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Note: For the guardian to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable

Skip this section; *it is not applicable for this account type.*

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then the, custodian must sign and date the application. Signature by the minor is not required.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death

A Transfer on Death (TOD) Designation is not available with this account type.

IRA (Traditional and Custodial)

Traditional Individual Retirement Account (IRA) is an individual retirement plan that may accept both deductible (before tax), nondeductible (after tax) and rollover contributions and is not a Roth or SIMPLE IRA.

Custodial Individual Retirement Account (IRA) is a traditional IRA established on behalf of the minor or incapacitated individual, usually by the minor's parent or guardian of the incapacitated individual. *Ensure that custodian is checked in section 3, and then the account will designated as a custodial IRA.*
Complete Section 2 for the minor and Section 3 for the custodian or guardian. *Note: The custodian or guardian, not the minor or incapacitated individual, is responsible for signing this account application.*

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "IRA" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information. For a Custodial IRA, the minor or incapacitated individual is the primary account owner.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.
Note: Identification information is not required if account owner is a minor

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner - *For Custodial IRAs the custodian is the additional owner*
Check the box labeled "Custodian" in Section 3 and enter the person's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Note: For the custodian to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable

Enter the primary beneficiary(ies) and any contingent beneficiary(ies) information for this account. For each entry, check the appropriate box to indicate if the designated beneficiary is a primary or contingent beneficiary. Complete the "Additional Information Application Addendum" form if designating more than five beneficiaries.

Note:
- *The beneficiary must be an individual, trust, or entity. The beneficiary must be named on this form; 'spouse' or 'children' is not an acceptable designation.*
- *Beneficiary names provided without a social security number will be maintained on file. These names will not be displayed in your online account inquiry application.*
- *If more than one beneficiary is designated, each asset in the account will be divided based on the percent of account balance designation upon the account owner(s) death.*

Important: Due to the important tax consequences, if the account may be subject to community property rules (because the account owner currently lives in a community property state or lived in a community property state while married), the account holder is married, and their spouse is not named as sole primary beneficiary, the beneficiary designations should be reviewed by a tax or legal advisor.

Percentage shares. The percentage shares must add up to 100% for the designated primary beneficiaries and 100% for the designated contingent beneficiaries. If the percentages do not add up to 100%, TCA will assume the beneficiaries are entitled to equal shares.
Note: If any primary or contingent beneficiary dies before the account owner, their interest and the interest of their heirs will terminate completely. The percentage shares of any remaining primary beneficiaries will be increased proportionately. If no primary beneficiaries survive the account owner, the contingent beneficiaries will acquire the IRA at their designated percentages.

More than five beneficiaries. If you would like to designate additional beneficiaries, complete, sign, and provide an "Additional information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.

Trust as beneficiary. To designate a trust as a beneficiary enter the beneficiary information on this application as follows.

Name of beneficiary. Provide the full legal title of the trust. Include a list of all trustees and the date of the trust.
Social security number. Provide the Tax Identification Number (TIN) or the social security number for the trust.
Percentage share. Provide the percentage allocated to the trust.

If you need more space for trust information, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional Information is attached' box at the end of the section.

Note: If the Tax Identification Number (TIN) for a trust is the same as another beneficiary's social security number, the beneficiary information for the trust will be maintained on file. The trust will not be displayed in your online account inquiry application.

No beneficiaries. If no valid beneficiary is designated for your account, your beneficiary will be determined under your IRA Plan agreement.
Note: Beneficiary information can be provided and/or modified at any time by completing and signing an "IRA Beneficiary Designation Request" form.

IRA (Traditional and Custodial) (Continued)

Section 5: Account Management

A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address

Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)

To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.

Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then the account owner or if this is a Custodial IRA, the custodian, must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an “Additional Information Application Addendum” form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Roth IRA

Roth Individual Retirement Account (IRA) is an individual retirement plan that accepts only non-deductible (after tax) contributions, accepts contributions after the age of 70 1/2, allows you to leave amounts in your Roth IRA as long as you live, and offers qualified distributions tax free after 5 years.

Custodial Roth IRA is a Roth IRA established on behalf of a minor or incapacitated individual usually by the minor's custodian or the incapacitated individual's guardian.
Complete Section 2 for the minor and Section 3 for the custodian or guardian. *Note: The custodian or guardian, not the minor, is responsible for signing this account application.*

Note: A conversion to a Roth should be opened as a Roth IRA
Note: TCA reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.

Section 1: Client Account Type, *check only one*
Check the appropriate box to indicate the type of account you want to create with this application.
Select "Roth IRA" in section 1.

Section 2: Primary Account Owner Information
A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

For a Custodial Roth IRA, the minor or incapacitated individual is the primary account owner.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.
Note: Identification information is not required if account owner is a minor.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information
A. Account Owner - *For Custodial IRAs the custodian is an additional owner*
Check the box labeled "Custodian" in Section 3 and enter the person's name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.
Note: Identification information is not required if account owner is a minor.

Note: For the "additional account owner" to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable
Enter the primary beneficiary(ies) and any contingent beneficiary(ies) information for this account. For each entry, check the appropriate box to indicate if the designated beneficiary is a primary or contingent beneficiary. Complete the "Additional Information Application Addendum" form if designating more than five beneficiaries.

Note:
- *The beneficiary must be an individual, trust, or entity. The beneficiary must be named on this form; 'spouse' or 'children' is not an acceptable designation.*
- *Beneficiary names provided without a social security number will be maintained on file. These names will not be displayed in your online account inquiry application.*
- *If more than one beneficiary is designated, each asset in the account will be divided based on the percent of account balance designation upon the account owner(s) death.*

Important: Due to the important tax consequences, if account may be subject to community property rules (because the account owner currently lives in a community property state or lived in a community property state while married), the account holder is married, and their spouse is not named as sole primary beneficiary, the beneficiary designations should be reviewed by a tax or legal advisor.

Percentage share. The percentage shares must add up to 100% for the designated primary beneficiaries and 100% for the designated contingent beneficiaries. If the percentages do not add up to 100%, TCA will assume the beneficiaries are entitled to own equal shares.
Note: If any primary or contingent beneficiary dies before the account owner does, their interest and the interest of their heirs will terminate completely. The percentage shares of any remaining primary beneficiaries will be increased proportionately. If no primary beneficiaries survive the account owner, the contingent beneficiaries will acquire the IRA at their designated percentages.

More than five beneficiaries. If you would like to designate additional beneficiaries, complete, sign, and provide an "Additional information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.

Trust as beneficiary. To designate a trust as a beneficiary enter the beneficiary information on this application as follows.
- **Name of beneficiary**. Provide the full legal title of the trust. Include a list of all trustees and the date of the trust.
- **Social security number**. Provide the Tax Identification Number (TIN) or the social security number for the trust.
- **Percentage share**. Provide the percentage allocated to the trust.

If you need more space for trust information, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.

Note: If the Tax Identification Number (TIN) for a trust is the same as another beneficiary's social security number, the beneficiary information for the trust will be maintained on file. The trust will not be displayed in your online account inquiry application.

Roth IRA (Continued)

No beneficiaries. If no valid beneficiary is designated for your account, your beneficiary will be determined under your IRA Plan agreement.
Note: Beneficiary information can be provided and/or modified at any time by completing and signing an "IRA Beneficiary Designation Request" form.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then the account owner or if this is a Custodial Roth IRA, the custodian must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Beneficiary IRA / Beneficiary Roth IRA

Beneficiary Individual Retirement Account (IRA) is a traditional IRA established by a non-spouse beneficiary for the assets from a deceased account owner's IRA. A spouse beneficiary may also establish a Beneficiary IRA if they choose not to treat the deceased account owner's IRA as their own.

Beneficiary Roth Individual Retirement Account (IRA) is a Roth IRA that is established by a non-spouse beneficiary for the assets from a deceased account owner's Roth IRA. A spouse beneficiary may also establish a Beneficiary Roth IRA if they choose not to treat the deceased account owner's Roth IRA as their own.

Beneficiary IRA/Beneficiary Roth IRA: Provide decedent's information in Section 4. *Note: You do not need to send a copy of the death certificate to TCA.*

Trust as beneficial owner. To designate a trust as a beneficiary, complete a "Trust Change Certification, Indemnity, and Agreement" form.

Estate as beneficial owner. Provide a copy of certified letters of testamentary with visible court seal for the estate.

Legal entity as beneficial owner. Provide copy of corporate resolution for the legal entity.

Note: TCA reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "Beneficiary IRA" or "Beneficiary Roth IRA" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner -
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information. The beneficiary is the primary account owner.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

A. Account Owner - The decedent should be listed as the "additional account owner".
Check the box labeled "Decedent" in Section 3 and enter the person's name and contact information.

B. Residential Address
Skip this section; it is not needed for this account type.

C. Mailing Address
Skip this section; *it is not needed for this account type.*

D. Citizenship status
Skip this section; it is not needed for this account type.

Section 4: IRA Beneficiary Designation, if applicable

For this Beneficiary IRA, If you wish to make a beneficiary designation, enter the primary beneficiary(ies) and any contingent beneficiary(ies) information for this account. For each entry, check the appropriate box to indicate if the designated beneficiary is a primary or contingent beneficiary. Complete the "Additional Information Application Addendum" form if designating more than five beneficiaries.

Note:
- *The beneficiary must be an individual, trust, or entity. The beneficiary must be named on this form; 'spouse' or 'children' is not an acceptable designation.*
- *Beneficiary names provided without a social security number will be maintained on file. These names will not be displayed in your online account inquiry application.*
- *If more than one beneficiary is designated, each asset in the account will be divided based on the percent of account balance designation upon the account owner(s) death.*

Percentage shares. The percentage shares must add up to 100% for the designated primary beneficiaries and 100% for the designated contingent beneficiaries. If the percentages do not add up to 100%, TCA will assume the beneficiaries are entitled to own equal shares.
Note: If any primary or contingent beneficiary dies before the account owner does, their interest and the interest of their heirs will terminate completely. The percentage shares of any remaining primary beneficiaries will be increased proportionately. If no primary beneficiaries survive the account owner, the contingent beneficiaries will acquire the IRA at their designated percentages.

More than five beneficiaries. If you would like to designate additional beneficiaries, complete, sign, and provide an "Additional information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.

Trust as beneficiary. To designate a trust as a beneficiary enter the beneficiary information on this application as follows.

Name of beneficiary. Provide the full legal title of the trust. Include a list of all trustees and the date of the trust.

Social security number. Provide the Tax Identification Number (TIN) or the social security number for the trust.

Percentage share. Provide the percentage allocated to the trust.

If you need more space for trust information, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.
Note: If the Tax Identification Number (TIN) for a trust is the same as another beneficiary's social security number, the beneficiary information for the trust will be maintained on file. The trust will not be displayed in your online account inquiry application.

No beneficiaries. If no valid beneficiary is designated for your account, your beneficiary will be determined under your IRA Plan agreement.
Note: Beneficiary information can be provided and/or modified at any time by completing and signing an "IRA Beneficiary Designation Request" form.

Beneficiary IRA / Beneficiary Roth IRA (Continued)

Section 5: Account Management

A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address

Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)

To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.

Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then the account owner must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an “Additional Information Application Addendum” form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative*

SEP IRA

SEP Individual Retirement Account (IRA), or Simplified Employee Pension (SEP) IRA, is an employer-sponsored retirement account that allows your employer to make deductible contributions to your IRA, set up for you to receive such contributions.

Note: TCA reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "SEP IRA" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information *(REQUIRED)*
Provide employer's name and address in Section 2E. No additional information is required. *Note: You should verify your employer has a valid, signed SEP IRA Plan document. Your employer is required to provide you with the Plan document. You do not need to provide a copy of the Plan document with this application.*

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

Skip this section; *it is not applicable for this account type.*

Section 4: IRA Beneficiary Designation, if applicable

Enter the primary beneficiary(ies) and any contingent beneficiary(ies) information for this account. For each entry, check the appropriate box to indicate if the designated beneficiary is a primary or contingent beneficiary. Complete the "Additional Information Application Addendum" form if designating more than five beneficiaries.

Note:
- *The beneficiary must be an individual, trust, or entity. The beneficiary must be named on this form; 'spouse' or 'children' is not an acceptable designation.*
- *Beneficiary names provided without a social security number will be maintained on file. These names will not be displayed in your online account inquiry application.*
- *If more than one beneficiary is designated, each asset in the account will be divided based on the percent of account balance designation upon the account owner(s) death.*

Important: Due to the important tax consequences, if the residence of the account holder is located in a community property state, the account holder is married, and they are not naming their spouse as sole primary beneficiary, the beneficiary designations should be reviewed by a tax or legal advisor.

Percentage shares. The percentage shares must add up to 100% for the designated primary beneficiaries and 100% for the designated contingent beneficiaries. If the percentages do not add up to 100%, TCA will assume the beneficiaries are entitled to own equal shares.

Note: If any primary or contingent beneficiary dies before the account owner does, their interest and the interest of their heirs will terminate completely. The percentage shares of any remaining primary beneficiaries will be increased proportionately. If no primary beneficiaries survive the account owner, the contingent beneficiaries will acquire the IRA at their designated percentages.

More than five beneficiaries. If you would like to designate additional beneficiaries, complete, sign, and provide an "Additional information Application Addendum" form and check the 'Additional beneficiary information provided' box at the end of the section.

Trust as beneficiary. To designate a trust as a beneficiary enter the beneficiary information on this application as follows.

Name of beneficiary. Provide the full legal title of the trust. Include a list of all trustees and the date of the trust.
Social security number. Provide the Tax Identification Number (TIN) or the social security number for the trust.
Percentage share. Provide the percentage allocated to the trust.

If you need more space for trust information, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.

Note: If the Tax Identification Number (TIN) for a trust is the same as another beneficiary's social security number, the beneficiary information for the trust will be maintained on file. The trust will not be displayed in your online account inquiry application.

No beneficiaries. If no valid beneficiary is designated for your account, your beneficiary will be determined under your IRA Plan agreement.
Note: Beneficiary information can be provided and/or modified at any time by completing and signing an "IRA Beneficiary Designation Request" form.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.
Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

SEP IRA (Continued)

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then the account owner must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

SARSEP

SARSEP Individual Retirement Account (IRA) is an account for a SARSEP IRA established prior to December 31, 1996. *These account types may not be opened unless you are transferring an existing SARSEP IRA account.*

Note: TCA reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "SEP IRA" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information *(REQUIRED)*
Provide employer's name and address in Section 2E. No additional information is required. *Note: You should verify your employer has a valid, signed SEP IRA Plan document. Your employer is required to provide you with the Plan document. You do not need to provide a copy of the Plan document with this application.*

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information

Skip this section; *it is not applicable for this account type.*

Section 4: IRA Beneficiary Designation, if applicable

Enter the primary beneficiary(ies) and any contingent beneficiary(ies) information for this account. For each entry, check the appropriate box to indicate if the designated beneficiary is a primary or contingent beneficiary. Complete the "Additional Information Application Addendum" form if designating more than five beneficiaries.

Note:
- *The beneficiary must be an individual, trust, or entity. The beneficiary must be named on this form; 'spouse' or 'children' is not an acceptable designation.*
- *Beneficiary names provided without a social security number will be maintained on file. These names will not be displayed in your online account inquiry application.*
- *If more than one beneficiary is designated, each asset in the account will be divided based on the percent of account balance designation upon the account owner(s) death.*

Important: Due to the important tax consequences, if the residence of the account holder is located in a community property state, the account holder is married, and they are not naming their spouse as sole primary beneficiary, the beneficiary designations should be reviewed by a tax or legal advisor.

Percentage shares. The percentage shares must add up to 100% for the designated primary beneficiaries and 100% for the designated contingent beneficiaries. If the percentages do not add up to 100%, TCA will assume the beneficiaries are entitled to own equal shares.

Note: If any primary or contingent beneficiary dies before the account owner does, their interest and the interest of their heirs will terminate completely. The percentage shares of any remaining primary beneficiaries will be increased proportionately. If no primary beneficiaries survive the account owner, the contingent beneficiaries will acquire the IRA at their designated percentages.

More than five beneficiaries. If you would like to designate additional beneficiaries, complete, sign, and provide an "Additional information Application Addendum" form and check the 'Additional beneficiary information provided' box at the end of the section.

Trust as beneficiary. To designate a trust as a beneficiary enter the beneficiary information on this application as follows.

Name of beneficiary. Provide the full legal title of the trust. Include a list of all trustees and the date of the trust.
Social security number. Provide the Tax Identification Number (TIN) or the social security number for the trust.
Percentage share. Provide the percentage allocated to the trust.

If you need more space for trust information, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.

Note: If the Tax Identification Number (TIN) for a trust is the same as another beneficiary's social security number, the beneficiary information for the trust will be maintained on file. The trust will not be displayed in your online account inquiry application.

No beneficiaries. If no valid beneficiary is designated for your account, your beneficiary will be determined under your IRA Plan agreement.
Note: Beneficiary information can be provided and/or modified at any time by completing and signing an "IRA Beneficiary Designation Request" form.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if selected below in section 6B.

SARSEP (Continued)

B. Electronic Delivery (e-delivery)

To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.

Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then the account owner must sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an “Additional Information Application Addendum” form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

SIMPLE IRA

SIMPLE Individual Retirement Account (IRA) is an IRA for a Savings Incentive Match Plan for Employees (SIMPLE) of Small Employers IRA Plan. A SIMPLE IRA plan is a written arrangement that provides small employers and their employees with a simplified way to make contributions.

SIMPLE IRA Establishment Date: Check the appropriate box for the account type that applies to your SIMPLE IRA. If transferring an account, provide the date of the first contribution in the account at the transferring financial institution in section 2F.

IMPORTANT: SIMPLE IRA funds may transfer to another SIMPLE IRA. During the first two years, distributions carry a 25% premature distribution penalty tax and funds may not transfer, convert, roll over, nor directly roll over to another plan type.

Note: TCA reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.

Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.
Select "SIMPLE IRA" in section 1.

Section 2: Primary Account Owner Information

A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information.

Primary account owner: The individual whose social security number is on the account for tax reporting.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Note: Identification information is not required if account owner is a minor.

E. Employer Information *(REQUIRED)*
Provide employer information in Section 2E. No additional documentation is required. *Note: You should verify your employer has a valid, signed SIMPLE IRA Plan document. Your employer is required to provide you with the Plan document. You do not need to provide a copy of the Plan document with this application*

F. Simple IRAs only: 1st Funding Date
If transferring an account, provide in section 2F the date of the first contribution to the account.

Section 3: Additional Account Owner Information

Skip this section; *it is not applicable to this account type.*

Section 4: IRA Beneficiary Designation, if applicable

Enter the primary beneficiary(ies) and any contingent beneficiary(ies) information for this account. For each entry, check the appropriate box to indicate if the designated beneficiary is a primary or contingent beneficiary. Complete the "Additional Information Application Addendum" form if designating more than five beneficiaries.

Note:
- *The beneficiary must be an individual, trust, or entity. The beneficiary must be named on this form; 'spouse' or 'children' is not an acceptable designation.*
- *Beneficiary names provided without a social security number will be maintained on file. These names will not be displayed in your online account inquiry application.*
- *If more than one beneficiary is designated, each asset in the account will be divided based on the percent of account balance designation upon the account owner(s) death.*

Important: Due to the important tax consequences, if the residence of the account holder is located in a community property state, the account holder is married, and they are not naming their spouse as sole primary beneficiary, the beneficiary designations should be reviewed by a tax or legal advisor.

Percentage shares. The percentage shares must add up to 100% for the designated primary beneficiaries and 100% for the designated contingent beneficiaries. If the percentages do not add up to 100%, TCA will assume the beneficiaries are entitled to own equal shares.
Note: If any primary or contingent beneficiary dies before the account owner does, their interest and the interest of their heirs will terminate completely. The percentage shares of any remaining primary beneficiaries will be increased proportionately. If no primary beneficiaries survive the account owner, the contingent beneficiaries will acquire the IRA at their designated percentages.

More than five beneficiaries. If you would like to designate additional beneficiaries, complete, sign, and provide an "Additional information Application Addendum" form and check the 'Additional beneficiary information provided' box at the end of the section.

Trust as beneficiary. To designate a trust as a beneficiary enter the beneficiary information on this application as follows.

Name of beneficiary. Provide the full legal title of the trust. Include a list of all trustees and the date of the trust.
Social security number. Provide the Tax Identification Number (TIN) or the social security number for the trust.
Percentage share. Provide the percentage allocated to the trust.

If you need more space for trust information, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional information is attached' box at the end of the section.

Note: If the Tax Identification Number (TIN) for a trust is the same as another beneficiary's social security number, the beneficiary information for the trust will be maintained on file. The trust will not be displayed in your online account inquiry application.

No beneficiaries. If no valid beneficiary is designated for your account, your beneficiary will be determined under your IRA Plan agreement.
Note: Beneficiary information can be provided and/or modified at any time by completing and signing an "IRA Beneficiary Designation Request" form.

Section 5: Account Management

A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

SIMPLE IRA (Continued)

B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery

A. E-Mail Address

Please write legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)

To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.

Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then the account owner and/or if applicable, the joint owner, custodian, guardian, executor, or conservator sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an “Additional Information Application Addendum” form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Legal

Guardianship or Conservatorship Account is an account for a beneficial owner, usually a minor or a person who can no longer manage his/her financial matters, where a court-appointed guardian or conservator has been legally named. A copy of the court documents appointing the guardian or conservator is required.

Estate Account is an account created when an account owner dies and that is administered by an executor or administrator of the estate.
Note: Provide a copy of the certified death certificate with visible certification seal and copy of certified letters of testamentary with visible court seal.

Note: TCA reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.

Section 1: Client Account Type, *check only one*
Check the appropriate box to indicate the type of account you want to create with this application.

Select "Legal" in section 1 and print the type of legal account on the line provided (i.e. Estate, Guardianship or Conservatorship).

Section 2: Primary Account Owner Information
A. Account Owner
Enter the account owner information for this account including but not limited to name, address, social security number, date of birth, and contact information. *(See below)*

Primary account owner: The individual whose social security number is on the account for tax reporting.

Estate: The name field will contain the name of the estate, and the SSN field will contain the estate's EIN.

Custodian/Guardian: The minor will be the primary owner so it will be the minor's name, accompanied by the minor's SSN.

B. Mailing Address (PO BOX allowed)
You must provide the primary account owner's mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

D. Citizenship status
Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

E. Employer Information
Skip this section; it is not applicable for this account type.

F. Simple IRAs only: 1st Funding Date
Skip this section; *it is not applicable for this account type.*

Section 3: Additional Account Owner Information
A. Account Owner
Check the appropriate box (Executor, Conservator, or Other) for the additional account owner and enter their legal name and contact information.

B. Mailing Address (PO BOX allowed)
You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

C. Residential Address (PO BOX NOT allowed)
This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

D. Citizenship status
Check the box for the type of identification you are providing for the additional account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

IMPORTANT: To designate additional account owners, complete the Additional Information Application Addendum.

Section 4: IRA Beneficiary Designation, if applicable
Skip this section; it is not applicable for this account type.

Section 5: Account Management
A. Client Representative
Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing the account.

B. Investment Advisor Information
Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

Section 6: E-Mail and Electronic Delivery
A. E-Mail Address
Please type or print legibly. One valid e-mail address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

B. Electronic Delivery (e-delivery)
To consent to e-delivery of statements and other account documents, please log in to https://www.trustamerica.com/liberty. Please contact your advisor for any questions you may have.

Important: If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

Section 7: Authorized Signatures
It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: www.trustamerica.com/tca.

Sign and date. Read over the signature section carefully, then all account owners must sign and date the application.

Interested Third Party(ies)
If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.
Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

Transfer on Death
A Transfer on Death (TOD) Designation is not available with this account type.