Trust Company OF AMERICA

TRUST COMPANY OF AMERICA NEW ACCOUNT REQUIREMENTS - EFFECTIVE 04/25/08

TCAdvisor Account Type	Account Type	Account Registration Format (Line breaks as they appear except when the information does not fit on one line)	Application Required	CIP Information Required (Name, Address, Social Security # and Date of Birth Information)	Form of Identification and ID# Required (Drivers License, Passport, etc)	Additional Documents Required	Signatures Required for Account Application Section	Signatures Required for Resolution or Certification Section
NON-RETIREMENT CUSTODIAL ACCOUNTS								
Individual	Individual	**John Doe**	Individual, Joint, UTMA / UGMA or Legal Account Application	Individual	Individual	NONE	Individual	Not Applicable
Individual	Transfer on Death Individual	**John Doe** **TOD**		Individual	Individual	Transfer on Death (TOD) Addendum Request	Individual	Not Applicable
Individual	Estate	**Estate of John Doe** **Jane Doe Executor**		Executor	Executor	Death Certificate and Letter of Testamentary	Executor	Not Applicable
Joint	Joint Tenants in Common	**John Doe** **Mary Doe TEN COM**		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable
Joint	Joint Tenants With Rights of Survivorship	**John Doe** **Mary Doe JTTEN**		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable
Joint	Transfer on Death Joint Tenants With Rights of Survivorship	**John Doe** **Mary Doe JTTEN** **TOD**		All Account Holders	All Account Holders	Transfer on Death (TOD) Addendum Request	All Account Holders	Not Applicable
Joint	Community Property	**John Doe** **Mary Doe COMPROP**		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable
Joint	Joint Tenants in Entirety	**John Doe** **Mary Doe TEN ENT**		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable
UTMA & UGMA	UTMA/UGMA	**John Doe Custodian** **Johnnie Doe UTMA TX**		Custodian and Minor	Custodian	NONE	Custodian	Not Applicable
Legal (Conservator, Guardian, Court)	Guardianship	**John Doe Guardian** **FBO Johnnie Doe**		Guardian and Beneficial Owner	Guardian	Court Documents Appointing Legal Guardian	Guardian	Not Applicable
Legal (Conservator, Guardian, Court)	Conservatorship	**John Doe Conservator** **FBO Johnnie Doe**		Conservator and Beneficial Owner	Conservator	Court Documents Appointing Legal Conservator	Conservator	Not Applicable
Trust	Trusts	**John Doe Living Trust** **Dtd 01/01/01** **Mary Doe, Jane Doe TTEE**	Trust Account Application	Authorized Trustee(s)	None	None Do Not Send Trust Agreement	Authorized Trustee(s)	All Trustees
Trust	Charitable Remainder Trust	**John Doe Living Trust** **Dtd 01/01/01** **Mary Doe, Jane Doe TTEE**		Authorized Trustee(s)	None	Separate W-9 Form with Tax Exempt Status	Authorized Trustee(s)	All Trustees
Unincorported Entity	Company (Unincorporated)	**ABC Company** **John Doe, Mary Doe**	Corporate, Unincorporated Company, Sole Proprietorship or Association Account Application	Authorized Party(ies)	None	None	Authorized Party(ies)	Secretary **and** Authorized Party(ies)
Corporation	Corporation	**ABC Corporation** **John Doe, Mary Doe**		Authorized Party(ies)	None	None	Authorized Party(ies)	Secretary **and** Authorized Party(ies)
Unincorported Entity	Sole Proprietorship	**Doe Air Conditioning** **John Doe**		Owner	None	None	Owner	Owner
Tax Exempt	Non-Profit Association	**Doe Water Works Association** **John Doe, Mary Doe** or **Doe Water Works Foundation** **John Doe, Mary Doe**		Authorized Party(ies)	None	Separate W-9 Form with Tax Exempt Status (Resolution incl in Appl)	Authorized Party(ies)	Secretary **and** Authorized Party(ies)
Ltd Liability Part/Co	Limited Liability Company	**ABC LLC** **John Doe, Mary Doe**	LLC, LLP, General Partnership or Investment Club Account Application	Authorized Party(ies)	None	None	Authorized Party(ies)	All of the Managers, if Manager Run All of the Members, if Member Run
Ltd Liability Part/Co	Limited Liability Partnership or Limited Partnership	**ABC LLP** **John Doe, Mary Doe** or **ABC LP** **John Doe, Mary Doe**		Authorized Party(ies)	None	None	Authorized Party(ies)	All of the General Partners
General Partnership	Partnership	**ABC Partnership** **John Doe, Jane Doe** or **John Doe, Mary Doe and** **Jane Smith Partnership** **John Doe, Mary Doe**	LLC, LLP, General Partnership or Investment Club Account Application	Authorized Party(ies)	None	None	Authorized Party(ies)	All of the General Partners
Unincorporated Entity	Investment Club	**ABC Investment Club** **John Doe, Mary Doe**		Authorized Party(ies)	None	None	Authorized Party(ies)	All Members

Trust Account Registration: All Trustees must be listed. **Corporate, Company, LLP, LLC, etc. Account Registrations:** All Authorized Parties named in Section 3 of the Account Application must be listed in the Account Registration.

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IRA - INDIVIDUAL RETIREMENT ACCOUNTS								
IRA - Individual Retirement Account	Traditional IRA	**John Doe**	Traditional, Rollover, SEP IRA, Custodial or SARSEP IRA Account Application	Account Owner	Account Owner	NONE	Account Owner	Not Applicable
R/O Indiv Retirement Account	Rollover IRA	**John Doe**		Account Owner	Account Owner	NONE	Account Owner	Not Applicable
IRA - Individual Retirement Account	Custodial IRA	**John Doe Custodian** **FBO Johnnie Doe**		Custodian and Minor	Custodian	None	Custodian	Not Applicable
SARSEP IRA	SARSEP IRA	**John Doe**		Account Owner	Account Owner	NONE	Account Owner	Not Applicable
SEP IRA	SEP-IRA	**John Doe**		Account Owner	Account Owner	NONE	Account Owner	Not Applicable
ROTH IRA	Roth IRA	**John Doe**	Roth IRA Account Application	Account Owner	Account Owner	NONE	Account Owner	Not Applicable
Conv ROTH IRA	Conversion Roth IRA	**John Doe**		Account Owner	Account Owner	NONE	Account Owner	Not Applicable
ROTH IRA	Custodial Roth IRA	**John Doe Custodian** **FBO Johnnie Doe**		Custodian and Minor	Custodian	None	Custodian	Not Applicable
IRA or ROTH IRA	Bene IRA	**John Doe (D)** **FBO Jane Doe (B)**	Traditional or ROTH Application	Beneficiary Account Owner	Beneficiary Account Owner	Copy of Death Certificate	Account Owner	Not Applicable
SIMPLE IRA	SIMPLE IRA	**John Doe**	SIMPLE IRA	Account Owner	Account Owner	NONE	Account Owner	Not Applicable
RETIREMENT PLAN ACCOUNTS (EMPLOYER SPONSORED PLANS)								
Solo K	Solo 401(k)	**Doe Consulting, Inc. Solo 401(k)** **Plan FBO John Doe** **John Doe TTEE** or (with multiple trustees) **Doe Consulting, Inc. Solo 401(k)** **Plan FBO John Doe** (or spouse) **John Doe, Mary Doe TTEEs** or (with no company name) **John Doe Solo 401(k) Plan** **FBO John Doe** **John Doe TTEE**	Solo 401(k) Plan Account Application	NA		401k Trust Company Adoption Agreement	Plan Administrator and Participant	Not Applicable
403B	403(b) Custodial Account	**John Doe**	403b7 Custodial Account Application	Account Owner	Account Owner	NONE	Account Owner	Investment Advisor Affirmation of Sharing Agreement with Employer
Qualified Plan or 457 Govt	Non-Prototype Retirement Plan Pooled	*<Retirement Plan Title>* **dtd 1/1/01** **John Doe, Mary Doe TTEEs**	Retirement Plan Account Application	NA	NONE	NONE (Not Adopting Trust Company Plan Documents)	Authorized Trustee(s) or Authorized Party(ies)	All Trustee(s)
Qualified Plan or 457 Govt	Non-Prototype Retirement Plan Plan Participant	*<Retirement Plan Title>* **dtd 01/01/01** **FBO John Doe** **John Doe, Mary Doe TTEEs**		NA	NONE	NONE (Not Adopting Trust Company Plan Documents)	Plan Participant and Authorized Trustee(s) or Authorized Party(ies)	All Trustee(s)
Profit Sharing Plan or Money Pension Plan	Trust Company Prototype Retirement Plan - Pooled	*<Retirement Plan Title>* **dtd 1/1/01** **John Doe, Mary Doe TTEEs**	Retirement Plan Account Application	NA	NONE	Trust Company Retirement Plan Adoption Agreement Questionnaire	Authorized Trustee(s) or Authorized Party(ies)	All Trustee(s)
Profit Sharing Plan or Money Pension Plan	Trust Company Prototype Retirement Plan - Plan Participant	*<Retirement Plan Title>* **dtd 01/01/01** **FBO John Doe** **John Doe, Mary Doe TTEEs**		NA	NONE	Trust Company Retirement Plan Adoption Agreement Questionnaire	Plan Participant and Authorized Trustee(s) or Authorized Party(ies)	All Trustee(s)
N/A	401(k)	Refer to Trust Company of America 401(k) Total Solution Program						

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