

TRUST COMPANY OF AMERICA NEW ACCOUNT REQUIREMENTS - EFFECTIVE NOVEMBER 2011

| 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 |
|--|---|--|---|---|--|--|--|
| NON-RETIREMENT CUSTODIAL ACCOUNTS | | | | | | | |
| Individual | Individual | John Doe | Individual, Joint, UTMA/UGMA or Legal Account Application | Individual | Individual | NONE | Individual |
| Individual | Transfer on Death Individual | John Doe TOD | | Individual | Individual | Transfer on Death (TOD) Addendum Request | Individual |
| Joint | Joint Tenants With Rights of Survivorship | John Doe Mary Doe JTEN | | All Account Holders | All Account Holders | NONE | All Account Holders |
| Joint | Transfer on Death Joint Tenants With Rights of Survivorship | John Doe Mary Doe JTEN TOD | | All Account Holders | All Account Holders | Transfer on Death (TOD) Addendum Request | All Account Holders |
| Joint | Joint Tenants in Common | John Doe Mary Doe TEN COM | | All Account Holders | All Account Holders | NONE | All Account Holders |
| Joint | Community Property | John Doe Mary Doe COMPROP | | All Account Holders | All Account Holders | NONE | All Account Holders |
| Joint | Joint Tenants in Entirety | John Doe Mary Doe TEN ENT | | All Account Holders | All Account Holders | NONE | All Account Holders |
| UTMA & UGMA | UTMA/UGMA | John Doe Custodian Johnnie Doe UTMA/TX | | Custodian and Minor | Custodian | NONE | Custodian |
| Legal (Conservator, Guardian, Court) | Estate | Estate of John Doe Jane Doe Executor | | Executor | Executor | Death Certificate and Letter of Testamentary | Executor |
| Legal (Conservator, Guardian, Court) | Guardianship | John Doe Guardian FBO Johnnie Doe | | Guardian and Beneficial Owner | Guardian and Beneficial Owner | Court Documents Appointing Legal Guardian | Guardian |
| Legal (Conservator, Guardian, Court) | Conservatorship | John Doe Conservator FBO Johnnie Doe | | Conservator and Beneficial Owner | Conservator and Beneficial Owner | Court Documents Appointing Legal Conservator | Conservator |
| 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) |
| Unincorporated Entity | Company (Unincorporated) | ABC Company John Doe, Mary Doe (Officer) | Corporate, Unincorporated Company, Sole Proprietorship or Association Account Application | Authorized Party(ies) | None | None | Secretary and Authorized Party(ies) |
| Corporation | Corporation | ABC Corporation John Doe, Mary Doe (Officer) | | Authorized Party(ies) | None | None | Secretary and Authorized Party(ies) |
| Unincorporated Entity or Corporation | Sole Proprietorship | Doe Air Conditioning John Doe | | Owner | None | None | Owner |
| Tax Exempt | Non-Profit Association | Doe Water Works Association John Doe, Mary Doe (Officers) | | Authorized Party(ies) | None | Separate W-9 Form with Tax Exempt Status (Resolution incl in Appl) | Secretary and Authorized Party(ies) |
| Ltd Liability Part/Co | Limited Liability Company | ABC LLC John Doe, Mary Doe (Officer) | 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 (Officer) or ABC LP John Doe, Mary Doe (Officer) | | Authorized Party(ies) | None | None | Authorized Party(ies). All of the General Partners. |
| General Partnership | Partnership | ABC Partnership John Doe, Jane Doe (Officer) or John Doe, Mary Doe and Jane Smith Partnership John Doe, Mary Doe (Officer) | | Authorized Party(ies) | None | None | Authorized Party(ies). All of the General Partners. |

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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, Bene IRA | Account Owner | Account Owner | NONE | Account Owner |
| R/O Indiv Retirement Account | Rollover IRA | John Doe | | Account Owner | Account Owner | NONE | Account Owner |
| IRA - Individual Retirement Account | Custodial IRA | John Doe Custodian FBO Johnnie Doe | | Custodian and Minor | Custodian | None | Custodian |
| Bene IRA or Bene ROTH IRA | Bene IRA | Jane Doe | | Beneficiary Account Owner | Beneficiary Account Owner | None | Account Owner |
| SARSEP IRA | SARSEP IRA | John Doe | | Account Owner | Account Owner | NONE | Account Owner |
| SEP IRA | SEP-IRA | John Doe | | Account Owner | Account Owner | NONE | Account Owner |
| ROTH IRA | Roth IRA | John Doe | Roth IRA Account Application | Account Owner | Account Owner | NONE | Account Owner |
| Conv ROTH IRA | Conversion Roth IRA | John Doe | | Account Owner | Account Owner | NONE | Account Owner |
| ROTH IRA | Custodial Roth IRA | John Doe Custodian FBO Johnnie Doe | | Custodian and Minor | Custodian | None | Custodian |
| SIMPLE IRA | SIMPLE IRA | John Doe | SIMPLE IRA | Account Owner | Account Owner | NONE | Account Owner |
| RETIREMENT PLAN ACCOUNTS (EMPLOYER SPONSORED PLANS) | | | | | | | |
| Solo K (Solo K Roth) | Solo 401(k) (Solo 401(k) Roth) | 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 | Plan Trustee | Plan Trustee | 401k Trust Company Adoption Agreement | Plan Trustee, Plan Administrator if not Employee, or Plan Participant |
| 403B | 403(b) Custodial Account | John Doe | 403b Custodial Account Application | Account Owner | Account Owner | NONE | Account Owner and Provider |
| Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other) | Non-Prototype Retirement Plan -Pooled | <Retirement Plan Title> John Doe, Mary Doe TTEEs | Qualified Plan Account Application | Plan Trustee | Plan Trustee | NONE (Not Adopting Trust Company Plan Documents) | All Trustee(s) or Authorized Party(ies) |
| Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other) | Non-Prototype Retirement Plan -Plan Participant | <Retirement Plan Title> FBO John Doe John Doe, Mary Doe TTEEs | | Plan Trustee and Plan Participant | Plan Trustee | NONE (Not Adopting Trust Company Plan Documents) | Plan Participant and All Trustee(s) or Authorized Party(ies) |
| N/A | 401(k) | Refer to Trust Company of America 401(k) Total Solution Program | | | | | |
| 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. | | | | | | | |