

**E\*TRADE Advisor Services NEW ACCOUNT REQUIREMENTS  
EFFECTIVE MAY 2019**

Liberty Account Type	Entity Type	Account Registration Format (Line breaks as they appear except when the information does not fit on one line) *if applicable	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
<b>NON-RETIREMENT CUSTODIAL ACCOUNTS</b>							
Individual	Individual	John Doe *TOD	Non Qualified Application	Individual	Individual	Transfer on Death (TOD) Add. Request	Individual
Joint	Joint Tenants With Rights of Survivorship	John Doe Mary Doe JTWROS *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders
Joint	Joint Tenants by the Entirety	John Doe Mary Doe TEN ENT *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders
Joint	Community Property with Rights of Survivorship (WROS)	John Doe Mary Doe CPWROS *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders
Joint	Community Property	John Doe Mary Doe COM PROP		All Account Holders	All Account Holders	NONE	All Account Holders
Joint	Joint Tenants in Common	John Doe Mary Doe TEN COM		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		Trust Application	Executor	Executor	Death Certificate and Letter of Testamentary
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	Authorized Trustee(s)		None	None. Do Not Send Trust Agreement	Authorized Trustee(s)
Trust	Charitable Trust	John Doe Charitable Remainder Trust Dtd 01/01/01 Mary Doe, John Doe TTEE	Authorized Trustee(s)		None	If Tax Exempt, include W-9 with exempt box marked	Authorized Trustee(s)
Trust	Donor Advised Trust	John Doe Donor Advised Trust Dtd 01/01/01 Mary Doe, John Doe TTEE	Authorized Trustee(s)		None	If Tax Exempt, include W-9 with exempt box marked	Authorized Trustee(s)
Unincorporated Entity	Company (Unincorporated)	ABC Company John Doe, Mary Doe (Officer)	Business Application		Authorized Party(ies)	None	None
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)

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Tax Exempt/Corp/Trust (As Applicable)	Endowments	ABC Endowment Fund John Doe, Mary Doe (Officer/Trustee)	Business Application	Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)	None	If Tax Exempt, include W-9 with exempt box marked	Secretary and Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)
Tax Exempt/Corp/Trust (As Applicable)	Foundations	ABC Foundation John Doe, Mary Doe (Officer/Trustee)		Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)	None	If Tax Exempt, include W-9 with exempt box marked	Secretary and Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)
Ltd Liability Part/Co	Limited Liability Company	ABC LLC John Doe, Mary Doe (Officer)		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)			None	None	Authorized Party(ies). All of the General Partners.

**IRA - INDIVIDUAL RETIREMENT ACCOUNTS**

IRA - Individual Retirement Account	Traditional IRA	John Doe	Retirement Application	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	If Trust is Beneficiary Account Owner, a Certification of Trusts (IRAs) Form for needs to be signed by TTEE's	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		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		Account Owner	Account Owner	NONE	Account Owner

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<b>RETIREMENT PLAN ACCOUNTS (EMPLOYER SPONSORED PLANS)</b>							
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	Qualified Plan Application	Plan Trustee	Plan Trustee	401k E*TRADE Advisor Services Adoption Agreement	Plan Trustee, Plan Administrator if not Employee, or Plan Participant
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		Plan Trustee	Plan Trustee	NONE (Not Adopting E*TRADE Advisor Services 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	Plan Trustee	NONE (Not Adopting E*TRADE Advisor Services Plan Documents)	Plan Participant and All Trustee(s) or Authorized Party(ies)
403B	403(b) Custodial Account	John Doe	403b Custodial Account Application	Account Owner	Account Owner	NONE	Account Owner and Provider
N/A	401(k)	Refer to E*TRADE Advisor Services 401(k) Total Solution Program					
<b>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.</b>							