

ENTITY 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 made available by your advisor and 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. *Note: TCA reserves the right to request additional information for an entity and/or as otherwise required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.* An account may be restricted and/or closed if TCA cannot verify required 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.

Entity Account Types

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

- [☐ Irrevocable Trust](#)
- [☐ Testamentary Trust](#)
- [☐ Revocable/Amendable Trust](#)
- [☐ Other Trust](#)
- [☐ Company](#)
- [☐ S Corporation](#)
- [☐ C Corporation](#)
- [☐ Exempt Entity](#)
- [☐ Exempt – Other](#)
- [☐ General Partnership](#)
- [☐ Limited Partnership](#)
- [☐ Limited Liability Partnership](#)
- [☐ Limited Liability Company](#)
- [☐ Solo\(k\)](#)
- [☐ Solo\(k\) w/Roth](#)
- [☐ Qualified Retirement Plan – with tax reporting \(Pooled Plan/Participant Plan\)](#)
- [☐ Qualified Retirement Plan – with no tax reporting \(Pooled Plan/Participant Plan\)](#)

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Trust

Irrevocable Trust Account is an account for a trust which cannot be changed or canceled once it is set.

Revocable and Amendable Trust Account is an account for a trust that may be altered or terminated during the grantor's lifetime.

Testamentary Trust Account is an account for a trust that is created within a Will.

Other Trust Account: Please specify trust type. Consult with your legal adviser if you have questions.

Note: A Living Trust is a trust created for the trustor while the trustor is still alive and can be either revocable or irrevocable.

IMPORTANT: TCA is authorized to follow the individual and independent instructions of any of the authorized trustee(s) listed on this application to deliver funds, securities or any other assets in this account to any party. This is a representation that either (1) the trust agreement expressly provides that each trustee is authorized to act individually, independently and without the consent of the other trustees for all purposes related to the trust account with TCA, or (2) if the trust agreement does not contain such an express provision, the authorized trustee so acting has obtained the requisite consent of the other trustees in accordance with the requirements of the trust agreement made available by your advisor and found at www.trustamerica.com/tca.

Section 1: Entity Account Type, check only one

Check the appropriate box to indicate the type of account you want to create with this application.

Social security number and date of birth. The social security number and the date of birth are required for authorized trustee(s), other than Corporate Trustees

More than two authorized trustees. If there are more than two trustees authorized to act individually and independently on behalf of the trust, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional authorized party information provided' box at the end of the section.

Note: All trustees including those listed as authorized trustee(s) in this section must sign the account application in Section 7.

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 2: Entity Account Information

A. Account Registration

Enter the legal title of the trust.

B. Date of Trust or Plan

Enter the date of the trust. Do not provide the dates of any updates, nor the dates of any amendments to the trust unless the actual date of the trust has been restated.

C. Entity Tax ID

Provide the Tax ID, EIN or SSN of the trust for tax filing purposes.

D. Entity Mailing Address (PO BOX allowed)

You must provide the trust'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 2E must be completed to provide the residential address for mail.

E. Entity Street Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2D.

Section 3: Authorized Party/Participant Information

Corporate Trustee. If a trustee is a corporate trustee, a corporate resolution is required designating the individuals authorized to act on behalf of the corporate trustee.

A. Name and Contact Information.

Enter the legal name and contact information of the trustee authorized to act individually and independently on behalf of the trust applying for the account.

B. Mailing Address (PO BOX allowed)

You must provide the trustee'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 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 authorized party. Enter the identification number and expiration date in the spaces provided. Enter the state designation, if applicable.

Section 4: Additional Authorized Party/Employer Information, if applicable

A. Name and Contact Information.

Enter the legal name and contact information of an additional trustee, if any, authorized to act individually and independently on behalf of the trust opening the account.

B. Mailing Address (PO BOX allowed)

You must provide the trustee'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 4C 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 4B.

D. Citizenship status

Check the box for the type of identification you are providing for the authorized party. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

IMPORTANT: To designate additional authorized parties, complete the Additional Information Application Addendum.

E. For Solo K Employer Only

Skip this section; it is not required for this account type

Section 5: Account Management

A. Client Representative Information

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 the account. *Note: As authorized party, you are granting the exclusive authority to the investment advisor or money manager firm to direct the investment activities of this account.*

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Trust (Continued)

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, insert "TTEE" as your designation in the title box, then sign and date the application.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of 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.*

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Company / S Corporation / C Corporation / Exempt Entity / Exempt Other

Company Account is an account for an unincorporated business, such as a Sole Proprietorship or an individual doing business under a trade name. TCA will report all Forms 1099 B, D I & M activity for the account. Provide the tax reporting name if it is different from the business name.

S Corporation Account is an account for a corporation that elects special federal tax treatment under Subchapter S of the Internal Revenue Code. TCA will report all Form 1099 B activity and will provide only Forms 1099-D & I informational reporting for the account.

C Corporation Account is an account for a business entity that is recognized as a separate taxpaying entity by the state in which it was formed. TCA will provide only informational tax reporting for all Forms 1099 B, D I & M account activity. **IMPORTANT: By checking this box, you certify that this account is being established for an exempt payee entity, that all appropriate activities will be reported on the entity's tax return, and that you will notify TCA if the exempt payee status changes.**

Exempt Entity Account is an account that will receive informational reporting from TCA but for which no tax reporting will be made to the IRS. This is to be used by any exempt payee entity that is not a C Corporation but wishes to receive informational reporting for all Forms 1099 B, D, I & M account activity such as non-profit foundations. **IMPORTANT: By checking this box, you certify that this account is being established for an exempt payee entity, that all appropriate activities will be reported on the entity's tax return, and that you will notify TCA if the exempt payee status changes.**

Exempt Other Account is an account that will not receive informational reporting from TCA and for which tax reporting will not be made to the IRS. This is to be used by any exempt payee entity that does not wish to receive information tax reporting regardless of the form of entity. **IMPORTANT: By checking this box, you certify that this account is being established for an exempt payee entity, that all appropriate activities will be reported on the entity's tax return, and that you will notify TCA if the exempt payee status changes.**

IMPORTANT: By signing the Entity Account Application (Section 7), the authorized party(ies) hereby certifies that TCA is authorized to follow the instructions of the authorized party(ies) listed below and to deliver funds, securities or any other assets in this account to any party or on any authorized party's individual and independent instructions, because the authorized party so acting has obtained the requisite consent of the organization and has the authority under the terms of the Resolution, Indemnity and Agreement made available by your advisor and found at www.trustamerica.com/tca.

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: Entity Account Type, check only one

Check the appropriate box to indicate the type of account you want to create with this application; whether that be a "Company," "S Corporation," "C Corporation," "Exempt Entity" or "Exempt – Other."

Section 2: Entity Account Information

A. Account Registration

Enter the name of the business entity, or the tax reporting name if different from the business name.

B. Date of Trust or Plan

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

C. Entity Tax ID

Provide the Tax ID, EIN or SSN of the business entity or business name.

D. Mailing Address (PO BOX allowed)

You must provide the mailing address for the business entity and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2E must be completed to provide the residential address for mail.*

E. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2D.

Section 3: Authorized Party/Participant Information

A. Name and Contact Information

Enter the name and contact information of the Authorized Party who may act individually and independently on behalf of the entity applying for the account.

B. Mailing Address (PO BOX allowed)

You must provide the Authorized Party'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 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 Authorized Party. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Section 4: Additional Authorized Party/Employer Information, if applicable

A. Name and Contact Information

Enter the name and contact information of the Authorized Party who may act individually and independently on behalf of the entity applying for the account.

B. Mailing Address (PO BOX allowed)

You must provide the Authorized Party'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 4C 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 4B.

D. Citizenship status

Check the box for the type of identification you are providing for the Authorized Party. 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.

E. For Solo K Employer Only

Skip this section; it is not required 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 the account. *Note: As Authorized Party, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account*

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Company / S Corporation / C Corporation / Exempt Entity / Exempt Other (Continued)

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, insert your designation in the title box ("Officer," "Owner" or "Authorized Party," then sign and date the application. Remember to sign in the capacity under which you are acting for this account.

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.*

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



General Partnership / Limited Partnership / Limited Liability Partnership / Limited Liability Corporation

General Partnership Account is an account for a business organization featuring two or more general partners, without special (limited) partners.

Limited Partnership Account is an account for a business organization that has one or more general partners who manage the business and are liable for its debts, and one or more limited partners who invest in the business and have limited personal liability.

LLP Account is an account for a business organization that has limited liability for all partners, except for professional negligence of each.

LLC Account is an account for an unincorporated company whose owners and managers receive the limited liability benefits of a corporation without having to conform to the corporation restrictions.

IMPORTANT: All partners, members, or managers that manage this organization are required to sign Section 7 and provide authorized party(ies) in Sections 3 and 4, or complete the "Additional Information Application Addendum."

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; whether that be a "General Partnership," "Limited Partnership," "Limited Liability Partnership" or "Limited Liability Corporation."

Section 2: Entity Account Information

A. Account Registration

Enter the name of the business entity, or the tax reporting name if different from the business name.

B. Date of Trust or Plan

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

C. Entity Tax ID

Provide the EIN of the business entity.

D. Mailing Address (PO BOX allowed)

You must provide the mailing address for the business entity and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop is provided in this section, then Section 2E must be completed to provide the residential address for mail.*

E. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2D.

Section 3: Authorized Party/Participant Information

A. Name and Contact Information (Partner/Manager/Member).

Enter the name and contact information of the Authorized Party who may act individually and independently on behalf of the business entity applying for the account.

B. Mailing Address (PO BOX allowed)

You must provide the Authorized Party'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 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 Authorized Party. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Section 4: Additional Authorized Party/Employer Information

A. Account Owner - Authorized Trustee Name.

Enter the legal name and contact information of an additional authorized party who may act individually and independently on behalf of the business entity applying for the account.

B. Mailing Address (PO BOX allowed)

You must provide the Authorized Party'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 4C 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 4B.

D. Citizenship status

Check the box for the type of identification you are providing for the Authorized Party. 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.

E. For Solo K Employer Only

Skip this section; it is not required 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 their 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, insert your designation in the title box ("Partner," "Officer," "Member," "Manager," or "Authorized Party") then sign and date the application. Remember to sign in the capacity under which you are acting for this account.

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



General Partnership / Limited Partnership / Limited Liability Partnership / Limited Liability Corporation (Continued)

General partners for LLP, LP, or general partnership. All General Partners must sign in Section 7 as "Partner."

Member-run LLC. All members must sign in Section 7 as "Member."

Manager-run LLC. All managers must sign in Section 7 as "Manager."

Corporate Management Company. If any authorized party, partner, member, or manager is a management company, a Corporate Resolution is required designating the individuals authorized to act on behalf of the management company.

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.*

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Solo(k) / Solo(k) Roth

Solo(k)

Check the account type Solo(k) if you would like to make or have already made regular contributions to your account.

Solo(k) with ROTH

Check the account type Solo(k) with Roth if you would like to make or have already made ROTH contributions to your account. Both Solo(k) and Solo(k) Roth accounts will be setup to keep the contributions segregated.

If you are opening a new TCA Plan, an Adoption Agreement for Trust Company of America Solo 401(k) Profit Sharing Plan and Trust is required.

Please indicate if you are opening an additional Participant Account for an Existing TCA Solo(k) Plan by completing section 4, E, iii.

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: Entity Account Type, check only one

Check the appropriate box to indicate the type of account you want to create with this application; whether that be a "Solo(k)" or a "Solo(k) Roth."

Section 2: Entity Account Information – for this account type, enter the Plan information

A. Account Registration

Enter the Solo(k) plan name and contact information.

B. Date of Trust or Plan

Enter the date the Plan or Trust was established.

C. Entity Tax ID

If the Plan has an EIN, enter it here. The Employer's EIN should be entered at section 4E.

D. Mailing Address (PO BOX allowed)

You must provide the Plan'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 2E must be completed to provide the residential address for mail.*

E. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2D.

Section 3: Authorized Party/Participant Information – for this acct type, enter the Participant information

A. Name and Contact Information.

Enter the name and contact information of the Participant for whom the account is being established.

B. Mailing Address (PO BOX allowed)

You must provide the Participant'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 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 Participant. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Section 4: Additional Authorized Party – for this account type, enter the Trustee and Employer information

A. Name and Contact Information.

Enter the legal name and contact information of the Authorized Trustee who may act individually and independently on behalf of the Plan applying for the account.

B. Mailing Address (PO BOX allowed)

You must provide the Authorized Party'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 4C 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 4B.

D. Citizenship status

Check the box for the type of identification you are providing for the Authorized Party. 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.

E. For Solo K Employer Only

Enter the name and EIN of the employer for this account.

Important: The employer identification number (EIN) is the tax identification number assigned to your business. Do not use your social security number.

Note: If your business does not have a tax identification number, you or your tax advisor may obtain one immediately online or by telephone; the instructions for IRS Form SS-4 (available at www.irs.gov).

i. Type of Business: Check the box indicating the Employer's type of business. If other, check the box marked 'Other' and enter the type of business below.

ii. IRS Business Activity Code. The IRS Business Activity Code is the same activity code required on IRS forms. If you do not know the activity code for your business, you may search for the appropriate code at www.naicscode.com

iii. Existing TCA Plan #. If this account is being established under a plan that already exists at TCA, please input the account number for that plan and do not complete an additional Adoption Agreement.

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 the account. *Note: As Authorized Party, 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.

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Solo(k) / Solo(k) Roth (Continued)

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, insert your designation in the title box ("Employer," "Participant," or "Plan TTEE"), then sign and date the application. Remember to sign in the capacity under which you are acting for this account.

Note: Enter the Trustee information for the plan associated with this account.

By signing this application, the Trustee(s) is accepting their appointment under the Trust Company Adoption Agreement under which the Solo 401(k) Plan is maintained.

Designating Beneficiaries

If a Participant would like to designate beneficiaries for a Solo(k)/Solo(k) Roth account, he or she should complete the Solo 401(k) Beneficiary Designation/Change Request. The form and instructions to complete the document can be made available by your advisor and at www.trustamerica.com/advisor-forms.

Interested Third Party(ies)

If you would like to designate interested third parties receive copies of 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.*

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Qualified Retirement Plan (with or without tax reporting)

Qualified Retirement Plan – with Form 1099-R reporting: TCA provides Form 1099-R participant level reporting.

Qualified Retirement Plan – with NO Form 1099-R reporting: TCA does not provide Form 1099-R reporting.

Pooled Account. This is a trustee-directed pooled account in which all assets are owned at the plan level.

Participant Account. This is an account for one participant (also known as For the Benefit Of (FBO) account). For individual FBO accounts, assets for each participant are held in separate accounts. If you choose this option, you must submit a separate application for each participant.

Important: To open a Solo 401(k) Plan account with Trust Company Plan documents, complete the Solo 401(k) Plan Account Application and the Solo 401(k) Adoption Agreement. To open a 401(k), contact your representative or investment advisor for information regarding TCA 401(k) services.

Note: Additional information for beneficiaries and account funding may also be required to complete the application.

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: Entity Account Type

Check the appropriate box to indicate the type of account you want to create with this application; whether that be a “Qualified Retirement Plan – with tax reporting,” or a “Qualified Retirement Plan – without tax reporting.” Then check the appropriate box to indicate if this is a Pooled Account, or Participant Account.

Section 2: Entity Account Information – Provide the plan information here

A. Account Registration

Enter the Plan name and contact information.

B. Date of Trust or Plan

Enter the date the plan was established.

C. Entity Tax ID

Enter the Tax ID of the plan, if applicable

D. Mailing Address (PO BOX allowed)

You must provide the Plan’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 2E must be completed to provide the residential address for mail.*

E. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2D.

Section 3: Authorized Party/Participant Information

A. Name and Contact Information

Pooled Account: Enter the name and contact information of the trustee in Section 3A. If there is more than 1 authorized trustee, complete section 4.

Participant Account: Enter the name and contact information of the participant in section 3A, and the plan trustee’s Information in section 4.

Note: Correspondence, including quarterly statements, will be mailed to the address specified in Section 2. For additional copies, complete the Interested Third Party section of the Additional Information Application Addendum.

B. Mailing Address (PO BOX allowed)

You must provide the Participant’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 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 Participant. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Section 4: Additional Authorized Party/Employer

A. Account Owner - Authorized Trustee Name.

Enter the legal name and contact information of the Authorized Party who may act individually and independently on behalf of the Plan applying for the account.

B. Mailing Address (PO BOX allowed)

You must provide the Authorized Party’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 4C 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 4B.

D. Citizenship status

Check the box for the type of identification you are providing for the Authorized Party. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

Corporate trustee. One or more authorized trustee(s) are a corporate trustee. A corporate resolution is required.

Important: More than two authorized parties. If there are more individuals authorized to act individually and independently on behalf of the Plan, complete, sign, and provide an “Additional Information Application Addendum” form and check the ‘Additional authorized party information provided’ box at the end of the section.

Note: The authorized parties listed in this section must sign the account application in Section 7, or the additional information application addendum.

E. For Solo K Employer Only

Skip this section; it not required 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 the account. *Note: As Authorized Party, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

ENTITY ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



Qualified Retirement Plan (with or without tax reporting) (Continued)

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.

Note: Correspondence, including quarterly statements, will be mailed to the address specified in Section 2. For additional copies, enter the information in Section 7, Interested Third Party.

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

Important: This document uses the term 'authorized party' to imply 'plan trustee' or 'plan administrator'.

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.

Participant Account - Sign and date. Read over the signature section carefully. Then the "Participant," and the "Plan TTEE or Authorized Party," will both need to insert their designation in the "title" box, and sign and date the application.

Pooled Account – Sign and date. Read over the signature section carefully. Then the "Plan TTEE" or the "Authorized Party," will need to insert their designation in the "title" box, and sign and date the application.

Note: Enter the Trustee information for the plan associated with this account.

Corporate trustee. One or more authorized trustee(s) are a corporate trustee. A corporate resolution is required.

More than two authorized parties. If there are more individuals authorized to act individually and independently on behalf of the Plan, complete, sign, and provide an "Additional Information Application Addendum" form and check the 'Additional authorized party information provided' box at the end of the section.

Note: The authorized parties listed in Section 3 and/or 4, must sign the account application in Section 7.

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.*