

# BUSINESS 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 [trustamerica.com/tca](http://trustamerica.com/tca). This form is required to open a managed account through your designated investment advisor, with E\*TRADE Advisor Services providing custodial services to you and your investment advisor.

**Where to get additional forms** - If additional E\*TRADE Advisor Services 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 [etrade.com/advisorservices/advisorforms](http://etrade.com/advisorservices/advisorforms).

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 [etrade.com/advisorservices/advisorforms](http://etrade.com/advisorservices/advisorforms).

**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 E\*TRADE Advisor Services 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, E\*TRADE Advisor Services requires this information for any person(s) authorized to effect transactions in an account. *Note: E\*TRADE Advisor Services 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 E\*TRADE Advisor Services cannot verify required information. E\*TRADE Advisor Services 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.

### Business account types

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

- [☐ Company](#)
- [☐ S Corporation](#)
- [☐ C Corporation](#)
- [☐ Exempt Entity](#)
- [☐ Exempt – Other](#)
- [☐ General Partnership](#)
- [☐ Limited Partnership](#)
- [☐ Limited Liability Partnership](#)
- [☐ Limited Liability Company](#)

# BUSINESS 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. E\*TRADE Advisor Services 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. E\*TRADE Advisor Services 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. E\*TRADE Advisor Services 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 E\*TRADE Advisor Services if the exempt payee status changes.**

**Exempt Entity Account** is an account that will receive informational reporting from E\*TRADE Advisor Services 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 E\*TRADE Advisor Services if the exempt payee status changes.**

**Exempt Other Account** is an account that will not receive informational reporting from E\*TRADE Advisor Services 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 E\*TRADE Advisor Services if the exempt payee status changes.**

**IMPORTANT:** By signing the Entity Account Application (Section 7), the authorized party(is) hereby certifies that E\*TRADE Advisor Services is authorized to follow the instructions of the authorized party(s) 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 [trustamerica.com/tca](http://trustamerica.com/tca).

*Note: E\*TRADE Advisor Services 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: Business 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: Business Account Information

#### A. Account Registration

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

#### B. State of Organization

You must provide the state in which the organization is registered.

#### C. Business Tax Id, EIN or SSN

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

#### D. Business Mailing Address

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. Business Street Address

This should only be completed if a PO Box or Mailbox was provided in section 2D.

#### F. Industry business operates- select one:

- a) Manufacturing Food, Textile, and Leather
- b) Manufacturing Wood, Paper, Chemical and Nonmetallic Minerals
- c) Manufacturing Metal, Machinery and Other
- d) Transportation
- e) Professional, Scientific, and Technical Services
- f) Health Care and Social Assistance
- g) Arts, Entertainment, and Recreation
- h) Educational Services
- i) Agriculture, Forestry, Fishing and Hunting
- j) Administrative and Support and Waste Management and Remediation Services
- k) Public Administration
- l) Mining, Quarrying, and Oil and Gas Extraction
- m) Utilities
- n) Wholesale Trade
- o) Retail Trade - Motor Vehicle, Home, Clothing, and Food
- p) Retail Trade - Sport, Gift, Department Store, and other
- q) Warehousing and Delivery
- r) Information
- s) Accommodation and Food Services
- t) Other Services (except Public Administration)
- u) Other Industry
- v) Construction
- w) Finance and Insurance
- x) Real Estate and Rental and Leasing
- y) Management of Companies and Enterprises

# BUSINESS ACCOUNT APPLICATION INSTRUCTIONS

BY ACCOUNT TYPE



## Company/S Corporation/C Corporation/exempt entity/exempt other (continued)

### G. Source of Funds

Select only one box.

### H. Purpose and expected use of the account

Select only one box.

### Section 3: Beneficial Ownership Information

Please complete this section only if the trust is a statutory trust created by filing with a Secretary of State or similar office.

If the individual who has significant responsibility for managing the entity also owns 10% or more of the entity, please enter the information in both the Control Person and Beneficial Owner sections.

**Sign and date.** Acknowledge certification.

### Section 4: Authorized Party 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. Physical 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.

### Section 5: Additional Authorized Party 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. Physical Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 5B.

### 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 6: 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 7: Email and Electronic Delivery

#### A. Email Address

Please type or print legibly. One valid email 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 Opt-in to e-delivery of statements and other account documents, please log in to [etrade.com/liberty](http://etrade.com/liberty). Go to: About your Account – then Document Delivery. 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 8: 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: [app.trustamerica.com/tca](http://app.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.*

# BUSINESS 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(s) in Sections 3 and 4, or complete the "Additional Information Application Addendum."

*Note: E\*TRADE Advisor Services 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: Business 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: Business Account Information

#### A. Account Registration

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

#### B. State of Organization

You must provide the state in which the organization is registered.

#### C. Business Tax Id, EIN or SSN

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

#### D. Business Mailing Address

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. Business Street Address

This should only be completed if a PO Box or Mailbox was provided in section 2D.

### F. Industry business operates

- a) Manufacturing Food, Textile, and Leather
- b) Manufacturing Wood, Paper, Chemical and Nonmetallic Minerals
- c) Manufacturing Metal, Machinery and Other
- d) Transportation
- e) Professional, Scientific, and Technical Services
- f) Health Care and Social Assistance
- g) Arts, Entertainment, and Recreation
- h) Educational Services
- i) Agriculture, Forestry, Fishing and Hunting
- j) Administrative and Support and Waste Management and Remediation Services
- k) Public Administration
- l) Mining, Quarrying, and Oil and Gas Extraction
- m) Utilities
- n) Wholesale Trade
- o) Retail Trade - Motor Vehicle, Home, Clothing, and Food
- p) Retail Trade - Sport, Gift, Department Store, and other
- q) Warehousing and Delivery
- r) Information
- s) Accommodation and Food Services
- t) Other Services (except Public Administration)
- u) Other Industry
- v) Construction
- w) Finance and Insurance
- x) Real Estate and Rental and Leasing
- y) Management of Companies and Enterprises

### G. Source of Funds

Select only one box.

### H. Purpose and expected use of the account

Select only one box.

### Section 3: Beneficial Ownership Information

If the individual who has significant responsibility for managing the entity also owns 10% or more of the entity, please enter the information in both the Control Person and Beneficial Owner sections.

**Sign and date.** Acknowledge certification.

### Section 4: Authorized Party 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.

## General partnership/limited partnership/limited liability partnership/limited liability corporation (continued)

### 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

## Section 5: Additional Authorized Party 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 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 5B.

### 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 6: 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.

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## Section 7: Email and Electronic Delivery

### A. Email Address

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

### B. Electronic Delivery (e-delivery)

To Opt-in to e-delivery of statements and other account documents, please log in to [etrade.com/liberty](http://etrade.com/liberty). Go to: About your Account – then Document Delivery. Please contact your advisor for any questions you may have.

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## Section 8: 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: [app.trustamerica.com/tca](http://app.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.

**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 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.*