

U.S. Entity Account Checklist



Contact Information:

Log in and go to Client Services >
Message Center to contact us

Mailing Address:

PO Box 2760, Omaha, NE 68103-2760

To assist with the account opening process, please send us the following materials. Additional support documents may be required.

For Help or More Information, Please call:

- English: 800-276-8746 (24 hours/7 days a week)
- Spanish: 888-376-4684 (8A-4P CST, 7 days a week)
- Mandarin: 877-888-1238 (M-F 5A-12A CST, S-S 8A-6P)

If calling from outside of the U.S., please visit us online at <https://tdameritrade.com/contact-us-for-assistance>

Limited Liability Company, Sole Member LLC, Investment Club, Partnership, Limited Partnership

LLC, Investment Club, Partnership Application (TDA 1186)

- Type of business
 - Provide the Industry of Occupation code provided on the last page of the application.
 - Also provide a brief description of how your entity generates income and is funded.
- Is this a Pooled Asset Vehicle?
 - Pooled Asset Vehicles combine investor capital which is deployed according to a predetermined investment strategy.
- Personal information for all general partners/authorized agents (*At least one Authorized Agent is required*)
 - A copy of the following documents for each authorized party that is NOT a U.S. Citizen/ U.S. Permanent Resident, or U.S. Resident Alien status:
 - * Copy of current, non-expired Passport
 - * Proof of residence
 - A bank or utility (gas, water, electricity) statement.
 - The document must be in English characters or a certified English translation.
 - We cannot accept a credit card statement, TV/Satellite bill, cell phone bill, or landline phone bill as proof of residence.
- All Members/Partners must sign in the *Member/Partner Signatures* section.
 - Entity Authorized Agent Form (TDA 1187) if an Entity is a member/partner
- All Authorized parties listed in *Partner/Authorized Agent Only* section must sign the *Account Agreement* section
- If signing "For Benefit Of" an entity or IRA, add these signatures in the *Member/Partner Signatures* section.
- If a single member LLC, please check the box on page 1 in the *Type of Account* section
- A *Control Person* is required in addition to the Partner/Authorized Agents, even if this is the same person.

Ownership Structure Form (TDA 100935)

- For entities listed as Beneficial Owners



Corporations, Nonprofit/Charitable Organizations, Non-Incorporated Organizations

○ Business Account Application (TDA 1086)

- Type of business
 - Provide the Industry of Occupation code provided on the last page of the application.
 - Also provide a brief description of how your entity generates income and is funded.
- Is this a Pooled Asset Vehicle?
 - Pooled Asset Vehicle is an organization that combines capital from many investors to deploy it according to a particular investment strategy, such as a mutual fund or hedge fund
- Personal information for all general partners/authorized agents (*At least one Authorized Agent is required*)
 - A copy of the following documents for each authorized party that is NOT a U.S. Citizen/ U.S. Permanent Resident, or U.S. Resident Alien status:
 - * Copy of current, non-expired Passport
 - * Proof of residence
 - A bank or utility (gas, water, electricity) statement.
 - The document must be in English characters or a certified English translation.
 - We cannot accept a credit card statement, TV/Satellite bill, cell phone bill, or landline phone bill as proof of residence.
- All Officers, including the Secretary must sign in the Account Agreement section. If there is not a separate Secretary, another Officer must sign in this spot.
- A Control Person is required in addition to the Officers, even if this is the same person.

○ Ownership Structure Form (TDA 100935)

- For entities listed as Beneficial Owners

Sole Proprietorship (NOT a Limited Liability Company)

○ Business Account Application (TDA 1086)

- Type of business
 - Provide the Industry of Occupation code provided on the last page of the application.
 - Also provide a brief description of how your entity generates income and is funded.
- Personal information for Sole Proprietor in President or Sole Proprietor Information
- Sole Proprietor must sign the Account Agreement section
- Proof of Filing of Assumed Name must be provided

Where to Send the Forms:

- Fax: 866-468-6268
- Mail: 200 S 108 Ave, Omaha NE 68154-2631, USA
- For E-mail delivery of forms, please call 800-276-8746 for upload instructions

After You Send Us the Forms:

- Please check your email for any possible updates or additional steps that may be needed

Once your account has been opened, you will receive a four-digit personal identification number (PIN) and your account number via regular mail. You will also be able to access your account by calling and speaking with a representative. If an email address is provided, you will also receive notice of your account opening via email.

Investment Products: Not FDIC Insured • No Bank Guarantee • May Lose Value

TD Ameritrade, Inc., member FINRA/SIPC, a subsidiary of The Charles Schwab Corporation.
TD Ameritrade is a trademark jointly owned by TD Ameritrade IP Company, Inc. and The Toronto-Dominion Bank.
©2021 Charles Schwab & Co. Inc. All rights reserved.