

Trust Account Application



For use with trust accounts using advisory services from
TD Ameritrade Investment Management, LLC

Return Options:

Electronically via Message Center:

Log in and go to Client Services >
Message Center to attach the file

Regular Mail:

PO Box 2760, Omaha, NE 68103-2760

Overnight Mail:

200 South 108th Avenue
Omaha, NE 68154-2631

Fax: 866-468-6268

Questions? Call a New Accounts representative at 800-276-8746.

Internal Use Only _____

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Please Note that the Advisory Services Offered by TD Ameritrade Investment Management, LLC are Generally Not Available to Foreign Investors.

In order to open a TD Ameritrade Investing Account, you generally must:

1. Be a U.S. citizen or Permanent Resident;
2. Have a taxpayer identification number (such as a Social Security Number); and
3. Have a valid U.S. residential address (not including a PO Box) (with the exception of United States military personnel residing outside of the United States with Army Post Office ("APO") or Fleet Post Office ("FPO") addresses)

[Check here if you satisfy the three requirements listed above.](#)

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What Type of Account Do You Wish to Open? (Please select only one. Additional paperwork is required for some account types.)

Please note for all accounts listed provide a copy of the trust document, plan document, or other governing instrument. All accounts are reviewed prior to opening, and additional documents may be requested before investing:

- Revocable Trust Irrevocable Trust:

QUALIFIED RETIREMENT PLANS (Please provide a signed plan document)

- Individual 401(k) Profit Sharing Plan (PSP)
 Roth 401(k) Money Purchase Pension Plan (MPPP)

With the Retirement Plans using the TD Ameritrade Investment Management, LLC service, pooled or omnibus Plans benefiting more than one participant are not allowed. Only Plans for single participants are accepted. (Plan participants include ONLY the business owner and spouse or a business partner.)

I agree that if my Plan status changes due to hiring employees, including but not limited to relatives (other than my spouse), minor children coming of legal age, nonbusiness partners, etc., I will be responsible for notifying TD Ameritrade Investment Management, LLC and TD Ameritrade. This will enable TD Ameritrade Investment Management, LLC and TD Ameritrade to update the Plan to ERISA covered status, so that TD Ameritrade Investment Management, LLC and TD Ameritrade may take such actions as may be necessary or appropriate, which may include terminating the TD Ameritrade Investment Management, LLC advisory agreement.

By opening this account, I agree to these terms and acknowledge that my Plan is NOT covered under the Employee Retirement Income Security Act of 1974 (ERISA).



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Trust Information

Title of Trust:

Date of Formation:

Date of the Last Amendment to the Trust

Tax ID Number:

U.S. Social Security Number:

OR

Grantor(s)/Settlor(s)/Trustor(s) of the Trust:

Employee Participant: *(where applicable)*

Employee Participant Date of Birth *(where applicable)*:

Home Address: *(no PO Box or mail drop)*

City:

State:

Zip Code:

Country:

Mailing Address: *(if different from above)*

City:

State:

Zip Code:

Country:

Primary Phone number:

Email Address *(required for electronic delivery of your account statement and trade confirmations)*:

Name(s) of the Successor Trustee(s): *(if applicable)*

Primary Beneficiaries of the Trust:

Annual Income:

\$0-\$24,999

\$25,000-\$49,999

\$50,000-\$99,999

\$100,000-\$249,999

\$250,000+

Approximate Net Worth: *(not including primary residence)*

\$0-\$14,999

\$15,000-\$49,999

\$50,000-\$99,999

\$100,000-\$249,999

\$250,000-\$499,999

\$500,000-\$999,999

\$1,000,000-\$1,999,999

\$2,000,000+

Approximate Liquid Net Worth: *(cash, stocks, etc.)*

\$0-\$14,999

\$15,000-\$49,999

\$50,000-\$99,999

\$100,000-\$249,999

\$250,000-\$499,999

\$500,000-\$999,999

\$1,000,000-\$1,999,999

\$2,000,000+

Section 3, Trust Information continued

What best describes the initial source of funds for this account?

- Employment/Wages
- Retirement Funds
- Gift
- Savings
- Inheritance/Trust
- Investments
- Unemployment/Disability
- Legal Settlement
- Lottery/Gaming
- Spousal/Parental Support
- Other (describe source of funds): _____

What best describes the ongoing source of funds for this account?

- Employment/Wages
- Retirement Funds
- Gift
- Savings
- Inheritance/Trust
- Investments
- Unemployment/Disability
- Legal Settlement
- Lottery/Gaming
- Spousal/Parental Support
- Other (describe source of funds): _____

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Affiliations

- Check here if any Trustee, their spouse, any member of their immediate family living in the same household, including parents, in-laws, siblings, and dependents is a member of the board of directors, 10% shareholder, or policy-making officer of a publicly traded company. **Specify the name of the affiliated person/Trustee, the company name, ticker symbol, address, city, and state:**

- Check here if any Trustee, their spouse, any member of their immediate family living in the same household, including parents, in-laws, siblings, and dependents is licensed, employed by or associated with a broker-dealer firm, a financial services regulator, securities exchange, or member of a securities exchange. If checked, please specify the name of the affiliated person/Trustee and affiliated entity below. **If this entity requires its approval for you to open this account, please provide a copy of the required authorization letter (with this application):**

- Check here if any Trustee, their spouse, any member of their immediate family, including parents, in-laws, siblings, and dependents is, or is employed by, a federal or state registered Investment Advisor. **Specify the name of the person affiliated with the Trustee employed by the Registered Investment Advisor and Investment Advisor company name:**

- Check here if any Trustee, their spouse, any member of their immediate family, including parents, in-laws, siblings, and dependents is using a license in a professional sale or trading capacity and being compensated for providing investment advice on this account. **Specify the name of the licensed professional, their relationship to the trustee, and if associated with an entity:**

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Trustee Information

Full Legal Name:

Date of Birth:

U.S. Social Security Number:

OR Tax ID Number:

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Country of Dual/Secondary Citizenship (if applicable):

Country of Birth:

Home Address: (no PO box or mail drop)

City:

State:

Zip Code:

Country:

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Section 5, Trustee Information continued

Mailing Address: (if different from above)

City: State: Zip Code: Country:

Primary Phone number: Email Address (required for electronic delivery of your account statement and trade confirmations):

Please specify if you are:

- Employed Unemployed Retired Homemaker Student Self-Employed

Annual Income:

- \$0-\$24,999 \$25,000-\$49,999 \$50,000-\$99,999 \$100,000-\$249,999 \$250,000+

Employer Name (If Self-Employed, provide the name of your business):

Please choose from the list provided on page 8 the occupation code and industry of occupation code that most accurately describes your situation.

Occupation Code: Industry of Occupation Code:

Employer Address:

City: State: Zip Code: Country:

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Co-trustee Information

Full Legal Name:

Date of Birth: U.S. Social Security Number: OR Tax ID Number:

Country of Dual/Secondary Citizenship (if applicable): Country of Birth:

Home Address: (no PO box or mail drop)

City: State: Zip Code: Country:

Mailing Address: (if different from above)

City: State: Zip Code: Country:

Primary Phone number: Email Address (required for electronic delivery of your account statement and trade confirmations):

Section 6, Co-Trustee Information continued

Please specify if you are:

Employed Unemployed Retired Homemaker Student Self-Employed

Annual Income:

\$0-\$24,999 \$25,000-\$49,999 \$50,000-\$99,999 \$100,000-\$249,999 \$250,000+

Employer Name (If Self-Employed, provide the name of your business):

Please choose from the list provided on page 8 the occupation code and industry of occupation code that most accurately describes your situation.

Occupation Code:

Industry of Occupation Code:

Employer Address:

City:

State:

Zip Code:

Country:

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Investment Permitted

We certify that we have the power, under the Trust Agreement and applicable law, to open a brokerage account and enter into purchases and sales of securities as well as all other transactions in a cash account. Margin and options accounts are not permitted in this TD Ameritrade Investing Account.

We acknowledge having received account documentation, agreements, and risk disclosure forms, including the TD Ameritrade Client Agreement. This request is consistent with the terms and conditions of the Trust. We, the Trustees, jointly and severally indemnify TD Ameritrade, Inc. and its affiliates and hold TD Ameritrade, Inc. and its affiliates harmless from any liability for effecting any transactions if TD Ameritrade, Inc. acts pursuant to instructions given by any of the individuals listed in this Certification. We agree to immediately inform TD Ameritrade, Inc. and its affiliates, in writing, of any amendment to the Trust, any change in the composition of the Trustees, or any other event which would materially alter the Certifications made above.

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Trade Confirmations and Account Statements

I understand that I will receive monthly account statements and trade confirmations electronically, unless I make a selection below. Not all statement and confirmation delivery choices are available for all accounts, and paper documents may incur additional fees. With electronic delivery, an email will be sent to the Account Owner's email address when your statement or confirmation is available. Just log in to your account from any computer to view, print, or save your documents.

If I do not provide a valid email address, I will receive a monthly paper statement. I will be responsible for any fees that may apply.

Please note: If I elect to receive either electronic statements or electronic confirmations, I will receive shareholder information electronically when available.

Account statement:

Electronic Monthly Paper Monthly (\$2 fee may apply each month)

Trade Confirmation:

Electronic Paper

Unless I have checked this box, TD Ameritrade will provide my name to corporations whose securities I hold in my account for the purpose of additional corporate communications.

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Account Agreement

In this agreement, "Account Owner," "I," and "my" refer to the entity for which this account is established and/or the natural person(s) authorized to represent and act on behalf of the entity.

I acknowledge that I have received and read the TD Ameritrade Client Agreement ("Client Agreement"), available at tdameritrade.com or by calling 800-276-8746, that will govern my account. I agree to be bound by the Client Agreement, which may be amended from time to time and which is incorporated by this reference. I release and agree to indemnify and hold harmless TD Ameritrade, Inc. and its divisions and affiliates from any and all liability and claims for damages resulting from any action taken pursuant to this Agreement. By my signature below, I attest that I am of legal age to contract and that the information contained in this application is true and correct. I hereby request, subject to acceptance by TD Ameritrade, a TD Ameritrade Investing Account be opened in the name(s) set forth below.

All securities, dividends, and proceeds will be held at TD Ameritrade Clearing, Inc. unless otherwise instructed.

I understand that TD Ameritrade may obtain a current consumer or credit report to determine my eligibility, or continuing eligibility, for credit or for other legitimate business purposes. Any decision by TD Ameritrade to extend credit may be based on information contained in a consumer or credit report, as well as the policies of TD Ameritrade Clearing, Inc. I understand that TD Ameritrade may relate information regarding this account, including account delinquency and voluntary closures, to consumer or credit-reporting agencies. Upon my request, TD Ameritrade shall inform me of each consumer or credit-reporting agency from which it has obtained and/or reported my consumer or credit report. TD Ameritrade agrees to notify the consumer or credit-reporting agencies if I dispute the completeness or accuracy of the information furnished by TD Ameritrade. By my signature below, I authorize TD Ameritrade to obtain consumer or credit reports for the name(s) set forth below.

I understand that nondeposit investments purchased through TD Ameritrade are not insured by the Federal Deposit Insurance Corporation (FDIC), are not obligations of or guaranteed by any financial institution and are subject to investment risk and loss that may exceed the principal invested.

Important information about procedures for opening a new account:

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means for you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also utilize a third-party information provider for verification purposes and/or ask for a copy of your driver's license or other identifying documents. By my signature below, I attest that I am of legal age to contract, and I certify, to the best of my knowledge that the information provided on this application is complete and correct.

All Active Trustees must provide their signatures below.

If I am a U.S. person for tax purposes:
Under penalties of perjury, I certify that: (1) the number shown on this form is my correct taxpayer identification number; (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Services (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; (3) I am a U.S. citizen or other U.S. person; and (4) the FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

If I have been notified by the IRS that I am subject to backup withholding because I have failed to report all interest and dividends on my tax return, I must cross out (2) in this certification.

If I am not a U.S. Person for tax purposes:
I am submitting the applicable Form W-8 with this form to certify my foreign status.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

The Client Agreement applicable to this brokerage account contains a predispute arbitration clause. By signing this agreement, the parties agree to be bound by the terms of the Client Agreement, including the arbitration agreement located in Section 12 of the Client Agreement on page 8. The agreement to arbitrate does not constitute a waiver of any right provided to me by the Advisers Act, including the right to choose the forum, whether arbitration or adjudication, in which to seek resolution of disputes.

Sign Here

Trustee's Signature: (individual who completed Section 5)

X

Date: _____

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Co-Trustee's Signature: (individual who completed Section 6)

X

Date: _____

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Original signatures are required; electronic signatures and/or signature fonts are not authorized

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

Advisory services are provided by TD Ameritrade Investment Management, LLC ("TD Ameritrade Investment Management") a registered investment advisor. Brokerage services provided by TD Ameritrade, Inc., and TD Ameritrade Clearing, Inc., members FINRA/SIPC. TD Ameritrade Investment Management provides discretionary advisory services for a fee. Risks applicable to any portfolio are those associated with its underlying securities. For more information, please see the Disclosure Brochure (Form ADV Part 2A) <http://www.tdameritrade.com/forms/TDA4855.pdf>.

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Occupation Codes

A42 Accountant/Auditor/Bookkeeper	C82 Compliance/Regulatory Professional	N21 Nurse
A62 Adjuster	C92 Consultant	O11 Office Associate
A82 Advertiser/Marketer/PR Professional	C43 Counselor/Therapist	O21 Other; If Other, include a description in the Occupation box.
A33 Air Traffic Controller	C53 Customer Service Representative	P81 Pharmacist
A43 Ambassador/Consulate Professional	D11 Dealer	P91 Physical Therapist
A53 Analyst	D61 Dentist	P22 Pilot
A63 Appraiser	D31 Distributor	P32 Police Officer/Firefighter/Law Enforcement Professional
A73 Architect/Designer	D41 Doctor/Surgeon/Physician	P42 Politician
A83 Artist/Performer/Actor/Dancer	D51 Driver	P52 Project Manager
A93 Assistant/Executive Assistant	E51 Engineer	R81 Real Estate Professional
A44 Athlete	E71 Exterminator	R71 Researcher
A64 Attorney/Judge/Legal Professional	F71 Factory/Warehouse Worker	S41 Salesperson
A74 Auctioneer	F81 Farmer/Rancher	S51 Scientist
L51 Banker/Lending Professional	F91 Financial Planner/Advisor	S61 Seamstress/Tailor
B21 Barber/Beautician/Hairstylist	F22 Flight Attendant	S71 Security Guard
B31 Broker/Registered Rep	F32 Human Resources Professional	S81 Social Worker
B41 Business Executive (VP, Director, etc.)	I41 Importer/Exporter	T41 Teacher/Professor
B51 Business Owner	I51 Inspector/Investigator	T51 Technician
C81 Caregiver	I81 Investor	T61 Teller
C91 Carpenter/Construction Worker/Contractor	I91 IT Professional/IT Associate	T71 Tradesperson/Craftsperson
C22 Cashier	J31 Janitor	T81 Trainer/Instructor
C32 Chef/Cook	J41 Jeweler	U21 Underwriter
C42 Chiropractor	L31 Laborer	V11 Veterinarian
C52 Civil Servant	L41 Landscaper	W21 Writer/Journalist/Editor
C62 Clergy	M91 Mechanic	
C72 Clerk	M22 Military, Officer or Associated	
	M32 Mortician/Funeral Director	

Industry of Occupation Codes

A11 Accounting	F11 Fashion/Clothing	O31 Other; If Other, include a description in the Industry of Occupation box
A21 Advertising/Marketing	F21 Financial Services	P11 Parking and Car Washes
A31 Aerospace/Defense	F51 Firearms and Explosives	P21 Pawn Shops/Brokers
A41 Agriculture/Forestry	G11 Gaming/Casino/Card Club	P31 Personal Care/Hygiene (Beauty, Salon, Cosmetics, Massage, etc.)
A51 Amusement and Recreation	G21 Government/Public Administration	P41 Pharmaceuticals
A61 Animal Services and Veterinary	G31 Grocery/Supermarket	P51 Printing/Publishing
A71 Architecture/Design	H11 Healthcare/Medical Services	P71 Professional/Civic Organizations (Non-Retail)
A81 Arts/Antiques	H21 Hotel/Hospitality	R11 Real Estate
A91 Athletics/Fitness	I11 Import/Export	R21 Religious Organization
A32 Automotive	I21 Information Technology (IT)	R31 Repair Services - Home, Auto, and Other
B11 Aviation	I31 Insurance	R41 Restaurant/Food Service
C11 Bar/Nightclub/Adult Entertainment Club	J11 Jewelry, Gems, and Precious Metals	R51 Retail Sales/Retail Trade
C21 Childcare	L11 Legal Services/Public Safety	S11 Science and Biotechnology
C31 Cleaning/Janitorial/Housekeeping	L21 Logistics/Supply Chain	S21 Security
C41 Communications/Telecommunications	M11 Manufacturing	T11 Transportation
C51 Construction/Carpentry/Landscaping	M21 Maritime	T31 Travel
C61 Convenience Store/Liquor Store/Gas Station	M31 Media/Entertainment	U11 Utilities (Public)
C71 Customer Service and Support	M41 Mining, Oil, and Gas	W11 Wholesale Sales/Trade
E11 Education	M51 Money Services Businesses (Check Cashing, Money Transmitting, Payday Loans, Currency Exchange)	
E21 Embassy/Consulate	N11 Non-Profit/NGO (Non-Government Agency)/Charity	
E31 Energy		
E41 Engineering		