

Corporate Account Opening Instructions

Conditions to Open the Account

- Corporate accounts must use Employer Identification Number.
- The corporation's federal tax classification must be S, C, Exempt Charitable, or Non-Exempt Charitable.
- Up to three Trading Officers may be listed on the account.
- Non-officers must submit a Trading Authorization form in order to trade.

Required Forms and Agreements

Please print legibly – do not use correction fluid or cross out information.

1) Brokerage Account Application

- **Applicant** – Corporation information; DBA (“Doing Business As”) names are not acceptable.
- **Co-Applicant** – Trading Officer's information. The last three sections (regulatory questions, Online Trading & Additional Services) must be completed by the Trading Officer.
- **Signatures** – Trading Officer signs as Co-Applicant.
- **Additional Trading Officers** – up to two additional Trading Officers may be added to the account by submitting a second Brokerage Account Application with each Officer's information and signature.
- **Non-Officers** – must submit Trading Authorization form in order to place trades for the account.

2) Brokerage Account Agreement

Before signing the Application, read the Agreement and retain a copy for your records. You do not need to return this document.

3) Privacy Statement

Please read this document and retain a copy for your records. You do not need to return this document.

4) Corporate Account Certificate

The individual signing this form cannot be a Trading Officer unless all officers are traders or the corporation has a Sole Officer.

5) W-9

This form must be signed by a Trading Officer.

The image shows a Scottrade Brokerage Account Application form with several key sections highlighted by white boxes and red annotations:

- Applicant Information:** A box labeled "Corporation Information, including Street Address and EIN." covers the "Name of Individual/Organization" and "Street Address" fields.
- Co-Applicant Information:** A box labeled "Trading Officer's Personal Information" covers the "Name" and "Street Address" fields for the co-applicant.
- Citizenship and Employment:** A box labeled "Leave Date of Birth, Citizenship, and Employment blank." covers the "Date of Birth", "Citizenship Information", and "Employment" sections.
- Signature Section:** A box labeled "To be completed by Trading Officer." covers the signature lines for both the Applicant and Co-Applicant.
- Margin Section:** A box labeled "Trading Officer's signature, if applying for Margin" covers the signature line for the margin application.

Other visible elements include the Scottrade logo, a "How did you hear about us?" survey, and various checkboxes for account types (Individual, Joint, Trust, Partnership, Estate, Custodial, IRA, Corporate, Qualified Plan, etc.).

Additional Documentation

The documents listed below are most commonly used, but requirements vary by state. Please contact your local branch office for state-specific information and acceptable alternate documentation.

- A copy of the **corporation's state-issued corporate certificate**, dated within the last 13 months.
- A copy of the **corporation's certificate of good standing**, dated within the last 13 months.

Available Account Features

- Account Linking
- Margin
- Online Money Direct® Deposits (ACH)
- Options Trading
- Bank Deposit Program
- Scottrade Bank Account
- TOD Beneficiary Plan
- Trading Authorization