

# Roth IRA Account Opening Instructions

## Conditions to Open an Account

The investor must be age 18 and over and fall within the Roth IRA income limits. Co-Applicants are not allowed for Roth IRAs.

## Required Forms and Agreements

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

### 1) Brokerage Account Application

- **Applicant** – Individual's information.
- **Co-Applicant** – Co-Applicants not allowed for Roth IRAs.
- **Signatures** – Individual must sign.

**Note:** Make sure you complete page 2 of the application.

### 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) Roth IRA Agreement and Disclosures

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

### 4) Privacy Statement

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

**Scottrade**  
BROKERAGE ACCOUNT APPLICATION

Select an Account:  
 Individual - type  
 Trust  
 Estate  
 Joint - type  
 Partnership - type  
 Custodial  
 Conservation/Guardianship  
 IRA - type  
 Corporate - type  
 Qualified Plan - type  
 Coverdell ESA  
 Investment Club  
 Update Acct.#

How did you hear about us?  
 Internet  
 TV/Radio Ad  
 Print Ad  
 News Article  
 Already a Client  
 Referral/Phone Code  
 Non-Corporate Cfp

**Applicant**  
 Information about the primary account holder - depending on the account type, this may be the minor, protected person, or organization (trust, corporation, partnership, etc.)  
 Name of Individual/Organization - If an individual, list first, middle & last names  
 Mr. Mrs. Ms.  
 Street Address - P.O. box or PO address not permitted  
 City State ZIP plus 4 (legal residence)  
 Account Mailing Address (if different from home address; P.O. boxes may be used)  
 Account Email Address  
 Phone Numbers - Home Cell Work  
 S. State  
 C. City  
 ZIP plus 4  
 CHRS Country of citizenship  
 Are you a permanent U.S. resident?  Yes - Alien Registration Number:  No\* - 1) indicate visa type: 2) submit a U.S. Visa Holder Statement (form SF 1038)  
 If you will be in the U.S. 183 days or less, contact our International Department for assistance

**Co-Applicant**  
 Information about the secondary account holder - depending on the account type, this may be a custodian, trustee, trading officer/partner, or other authorized representative  
 Name First Middle Last  
 Mr. Mrs. Ms.  
 Street Address - P.O. box or PO address not permitted  
 City State ZIP plus 4 (legal residence)  
 Account Mailing Address (if different from home address; P.O. boxes may be used)  
 Account Email Address  
 Phone Numbers - Home Cell Work  
 S. State  
 C. City  
 ZIP plus 4  
 CHRS Country of citizenship  
 Are you a permanent U.S. resident?  Yes - Alien Registration Number:  No\* - 1) indicate visa type: 2) submit a U.S. Visa Holder Statement (form SF 1038)  
 If you will be in the U.S. 183 days or less, contact our International Department for assistance

**Employment**  
 Employed - list occupation:  Self-employed  Unemployed  Homemaker  Student  Retired  
 Employer: list occupation if self-employed Employer Address  
 Yes  No - Is any applicant employed by or affiliated with a securities firm, a securities exchange, or FINRA?  
 Yes  No - Is any applicant a control person or affiliate of a public company as defined by the SEC? This would generally include 10% shareholders, members of the Board of Directors, and policy-making officers. If yes, provide company's trading symbol and name.  
 Yes  No - Is any applicant, member of immediate family, or business associate a senior foreign political official?  
 Is this an Online Trading Account?  
 Yes - Trade confirmations and monthly account statements are posted electronically. To receive paper copies, log into your account and access the "My Account" tab to change your document delivery settings ( fees may apply).  
 No - Non-Internet commissions apply. Trade confirmations and monthly account statements are mailed free of charge. **Sales Proceeds:**  Mail or  Hold **Dividends & Interest:**  Mail or  Hold  
**Additional Services**  Margin - sign Margin section below. Not available for IRAs, Custodial accounts, Coverdell ESAs, Conservatorships, Guardianships or Estate accounts. check all that apply.  Options - complete an Options Application\*\*  Account Transfer - complete an Account Transfer Form\*\* \*\*Go to the Scottrade.com Forms Center, or contact us to have the form sent to you.

Under penalties of perjury, I certify that:  
 1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me).  
 2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, (b) I have not been notified by the IRS that I am subject to backup withholding as a result of failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding. If you are subject to backup withholding, cross out item 2. The IRS does not require your consent to any provision of this document other than the certification required to avoid backup withholding.  
 3) I am a U.S. person (including a U.S. resident alien).

By signing this Application, I acknowledge that I have received, read and agree to abide by the terms of the accompanying Brokerage Account Agreement, which contains a pre-dispute arbitration clause on page 4 at section 29.

X Individual's signature Date X Leave blank Date  
 Applicant/Authorized Person's Signature Co-Applicant/Authorized Person's Signature

Margin - sign below ONLY if you are applying for margin privileges  
 By signing the Application I acknowledge that I have received, read and agree to abide by the terms of the Margin Accounts provisions starting at Section 55.  
 X Leave blank X  
 Applicant/Authorized Person's Signature Date

\*SF1000\* SF1000/1-11 For Scottrade Use Only Registered Principal

## Available Account Features

Restrictions may apply; contact your local branch office to confirm eligibility.

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