

# SIMPLE IRA Account Opening Instructions

## For Employees Opening an Account

### Conditions to Open an Account

- SIMPLE IRA (DFI) accounts are accounts where the employer designates Scottrade as the financial institution for all employees. The employer must have established a SIMPLE Plan account at Scottrade prior to the employee opening a SIMPLE IRA (DFI) account. Be sure to include the plan ID number on page 2 under "SIMPLE IRA Account Identification."
- SIMPLE IRA (Non DFI) accounts are accounts where the employer allows the employee to choose the financial institution to open a SIMPLE IRA. Potentially, each employee could choose a different firm. The employer does not have a SIMPLE Plan account with Scottrade.

### 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 are not allowed for SIMPLE 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) SIMPLE 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  Joint - type  
 Trust  Partnership - type  
 Estate  Custodian  Conservatorship/Guardianship  
 IRA - type  
 Corporate - type  
 Qualified Plan - type  
 Coverdell ESA  
 Investment Club  
 Update exist #  
 Non-Corporate Org

**Applicant**  
 Information about the primary account holder, depending on the account type, this may be the spouse, partner, parent, or organization (trust, corporation, partnership, etc.)  
 Name of Individual/Organization - First, last, middle & last names  
 Mr. Mrs. Ms. Miss  
 Street Address - P.O. box or old address not permitted  
 City State ZIP plus 4 (legal residence)  
 Account Mailing Address (if different from home address, P.O. boxes may be used)  
 Country of citizenship  
 Are you a permanent U.S. resident?  Yes - Alien Registration Number  No -  Mar- 1) indicate visa type, 2) submit a U.S. Visa Holder Statement (Form SF-923B)  
 Employment:  Employed - list occupation,  Self-employed,  Unemployed,  Homemaker,  Student,  Retired  
 Employer Address (if self-employed)  
 Yes  No Is any applicant employed by or affiliated with a securities firm, a securities exchange, or FINRA? (If yes, provide organization name and compliance department address)  
 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 police officer?  
 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, check 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.  
 Individual's Signature \_\_\_\_\_ Leave blank \_\_\_\_\_  
 Applicant/Authorized Person's Signature Date Co-Applicant/Authorized Person's Signature Date  
 Margin - sign below ONLY if you are applying for margin privileges  
 By signing this Application I acknowledge that I have received, read and agree to abide by the terms of the accompanying Brokerage Account Agreement, including the Margin Accounts provisions starting at Section 55.  
 \*SF1000\* This account type does not offer Margin.  
 Co-Applicant/Authorized Person's Signature Date For Scottrade Use Only Registered Principal

### Available Account Features

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

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|---|--|
| <input checked="" type="checkbox"/> Account Linking       | <input checked="" type="checkbox"/> Options Trading          |
| <input checked="" type="checkbox"/> Bank Deposit Program  | <input type="checkbox"/> Scottrade Bank Account              |
| <input checked="" type="checkbox"/> Trading Authorization | <input type="checkbox"/> Margin                              |
| <input type="checkbox"/> TOD Beneficiary Plan             | <input type="checkbox"/> Online Money Direct® Deposits (ACH) |