

SIMPLE Plan Account Opening Instructions

For Employers Establishing a Plan

Conditions to Open an Account

When filling out the Brokerage Account Application, please select the “Qualified Plan” check box and write in “SIMPLE.”

Depending on the Entity Type:

- **Corporation** – A copy of the state-issued corporate certificate and a certificate of good standing from the state are required. (As an alternative, a print-out from the Secretary of State’s website can be accepted, provided that it shows both active status and good standing with the state.)
- **LLC** – A copy of your state-issued LLC certificate and a copy of the company’s Articles of Organization is required.
- **Partnership or Investment Club** - Client Partnership Agreement
- **Sole Proprietorship** – Scottrade’s Sole Proprietorship Certification

Required Forms and Agreements

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

1) Brokerage Account Application

- **Applicant** – Entity’s information
- **Co-Applicant** – Employer’s information
- **Signatures** – Employer must sign.

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) SIMPLE IRA Adoption Agreement

Page 1 and 2 are required. Pages 3-5 should be retained by the client.

5) Basic Plan Document

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

6) Employee Participation Documents

Provide these documents to participating employees (see page one for more information).

The image shows a Scottrade Brokerage Account Application form with several key areas highlighted by white boxes and red 'X' marks:

- Entity's Information, including street address.** (Points to the Applicant/Co-Applicant name and address fields)
- Employer's Personal Information.** (Points to the Employer information section)
- Leave Employment blank.** (Points to the Employment status section)
- To be completed by Employer.** (Points to the 'This an Online Trade?' and 'Additional Services' sections)
- Leave blank** (Points to the Applicant/Authorized Person's Signature line)
- Employer's signature** (Points to the Co-Applicant/Authorized Person's Signature line)
- These account types don't offer margin** (Points to the Margin section)

Other visible text on the form includes: "Scottrade BROKERAGE ACCOUNT APPLICATION", "Select an Account:", "Applicant", "Co-Applicant", "Employment", "Additional Services", and "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."

Available Account Features

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

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