

IRA BROKERAGE ACCOUNT APPLICATION

Select an Account:

- Traditional Roth SEP SIMPLE Rollover Social Upside Acct #
 This following account types require additional paperwork - please refer to the Advisor Services Forms Center. Coverdell SIMPLE Plan
 Inherited Traditional Inherited Roth Inherited Trust Other Chartered

Investment Advisor Information (to be completed by the Investment Advisor ONLY)

Investment Advisor Firm Name	Book of Business Name (if applicable)
Investment Advisor Name	Investment Advisor Email Address
Master Account Number	Fee Collection Account Number

Applicant

<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr. Name First Middle Last	Social Security/Tax ID #	Date of Birth	Are you a ?
<input type="checkbox"/> Yes - skip to 55 - provide citizenship info/employment <input type="checkbox"/> No	Citizenship	Country	
Primary Physical Address <input type="checkbox"/> send mail will be sent here State (legal residence) ZIP/City	Are you a permanent ? <input type="checkbox"/> Yes -Alien Registration Number: _____ <input type="checkbox"/> No* Visa Type: _____ *If you will be in the U.S. contact our International Department		
Mailing Address (optional) <input type="checkbox"/> send mail will be sent here State (legal residence) ZIP/City	Employment Status: <input type="checkbox"/> Employed <input checked="" type="checkbox"/> employed Unemployed <input type="checkbox"/> Student <input type="checkbox"/> Retired Homeowner		
Phone (work preferred) Home Call Work ext.	Occupation: _____		
Applicant Email Address	Employer Address: _____		

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Affiliations: Yes No **Yes** employed by or affiliated with a securities firm, a securities exchange, or FINRA? If yes, provide organization name and compliance department address in "Affiliation Details" below.

Yes No **Yes** are you a control person or officer of a public company as defined by the SEC? This generally includes 10% shareholders, members of the Board of Directors, and policy-making officers. If yes, provide company's name and CUSIP/trading symbol in "Affiliation Details" below.

Yes No **Yes** are you applicant, member of immediate family, or business associate a senior foreign political official?

Applicant Affiliation Details: _____
Co-Applicant Affiliation Details: _____

Custodian Information (to be completed for Coverdell/Custodial IRAs ONLY)

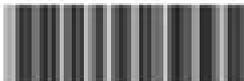
<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr. Name First Middle Last	Social Security/Tax ID #	Date of Birth	Are you a ?
<input type="checkbox"/> Yes - skip to 55 - provide citizenship info/employment <input type="checkbox"/> No	Citizenship	Country	
Primary Physical Address <input type="checkbox"/> send mail will be sent here State (legal residence) ZIP/City	Are you a permanent ? <input type="checkbox"/> Yes -Alien Registration Number: _____ <input type="checkbox"/> No* Visa Type: _____ *If you will be in the U.S. contact our International Department		
Mailing Address (optional) <input type="checkbox"/> send mail will be sent here State (legal residence) ZIP/City	Employment Status: <input type="checkbox"/> Employed <input checked="" type="checkbox"/> employed Unemployed <input type="checkbox"/> Student <input type="checkbox"/> Retired Homeowner		
Phone (work preferred) Home Call Work ext.	Occupation: _____		
Applicant Email Address	Employer Address: _____		

SIMPLE IRA Information (to be completed for SIMPLE IRAs and SIMPLE Plans ONLY)

SIMPLE IRA 4-digit ID Number (if applicable)	Employer's Plan Name	Employer's Tax ID
Employer's Name, Complete Address and Phone Number		

Inherited Trust/Entity Information (to be completed for Inherited Trusts/Entities ONLY)

Trust/Entity's Name and Entity Address	Trust/Entity's Tax ID
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SF1000/12-18

Accepted by Principal _____ Registered Principal	AA <input type="checkbox"/>
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Ira Application Scottrade

Wolfgang Guggemos



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