

# 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 & 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) Corporate Account Certification

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

### 4) 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 'X' marks. The highlighted areas include: 'Corporation Information, including Street Address and EIN.'; 'Trading Officer's Personal Information'; 'Leave Date of Birth, Citizenship, and Employment blank.'; 'To be completed by Trading Officer.'; 'Leave blank' (for the Applicant's signature); 'Trading Officer's signature'; 'Leave blank' (for the Applicant's signature); and 'Trading Officer's signature, if applying for Margin'. The form also includes sections for 'Applicant', 'Co-Applicant', 'Account Information', 'Additional Services', and 'Signatures'. A small box in the top right corner asks 'How did you hear about us?' with options like Internet, TV/Radio Ad, Print Ad, News Article, Already a Client, and Referral/Intro Code. A box in the bottom right corner is labeled 'For Scottrade Use Only' and contains a 'Registered Principal' field.

## 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

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

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