



SIMPLE Plan Employer Account Opening Instructions

Conditions to Open the Account:

- No margin.
- No options.
- When filling out the Brokerage Account Application, please mark the "Qualified Plan" check box and write in "SIMPLE."

Required Forms:

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

- **Brokerage Account Application** – All applicants must sign.
- **Brokerage Account Agreement** – Read before signing the Application and retain a copy for your records. You do not need to return this document.
- **Plan Adoption Agreement** – Complete, sign and return pages one and two and retain a copy of pages three, four and five for your records.
- **Basic Plan Document** – Read this document and retain a copy for your records. You do not need to return this document.
- **Employee Participation Documents** – Provide these documents to participating employees (see page one for more information).

Additional Documents Needed:

- **If the employer is a 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.)
- **If the employer is a Limited Liability Company** – A copy of your state-issued LLC certificate and a copy of the company's Articles of Organization is required.
- **If the employer is a Partnership (including Limited Partnerships, LLPs and LLLPs)** – A copy of your partnership agreement is required.