

# Conservatorship or Guardianship Account Opening Instructions

## Conditions to Open a Conservatorship or Guardianship Account

- When filling out the Brokerage Account Application, please indicate *Conservatorship* or *Guardianship* (whichever is applicable) in the **Account Type** field.
- For a Guardianship account, all guardians must be included on the Application unless granted abilities to act independently by the court appointment letter.

## Required Forms and Agreements – Please print legibly; do not use correction fluid or cross out information.

### 1. [Brokerage Account Application](#)

Application Section	Special Considerations
<b>Do you have any other account(s) with Scottrade or its affiliates (Scottrade Bank)?</b> (page 1)	Accounts refer to brokerage accounts, accounts over which you have power of attorney (POA), trading authority or account linking; bank accounts, loans or equipment leases.
<b>Primary Applicant</b>	Minor or Protected Person's information. All fields are required.
<i>In addition to completing all name, SSN / tax ID, address and phone number fields, please take special note of:</i>	
<b>Citizenship</b>	Complete all fields, where applicable.
<b>Employment</b>	Complete all fields, where applicable. Include a description of your roles, duties and responsibilities in the Job Description field. Use the Employer Industry and Occupation Codes information sheet to obtain codes for the Employer Industry and Occupation Code fields. Employer industry represents the overall business classification that describes your company.
<b>Income and Net Worth</b>	Please provide this information to help us understand your financial status. Net worth is defined as the sum of all your assets less your liabilities.
<b>Affiliations</b>	Answer all questions and complete fields, where applicable.
<b>Co-Applicant</b> (page 2)	Conservator or Guardian's information. For multiple guardians, make an additional copy of page 2 to complete for each guardian; all pages must be submitted together with page 1 of the Application.
<i>In addition to completing all name, SSN / tax ID, address and phone number fields, please take special note of:</i>	
<b>Expected Account Activities</b> (page 1)	Complete this section to help us understand how you anticipate using your Scottrade account. This information helps us fulfill certain regulatory requirements.
<b>Your Investment Profile</b>	Complete this section to help us understand your investment and trading experience. We will not use this information to supervise your suitability of any transaction in your account.
<b>Citizenship</b>	Complete all fields, where applicable.
<b>Employment</b>	Complete all fields, where applicable. Include a description of your roles, duties and responsibilities in the Job Description field. Use the Employer Industry and Occupation Codes information sheet on page 3 to obtain codes for the Employer Industry and Occupation Code fields. Employer industry represents the overall business classification that describes your employer.
<b>Income and Net Worth</b>	Please provide this information to help us understand your financial status. Net worth is defined as the sum of all your assets less your liabilities.
<b>Affiliations</b>	Answer all questions and complete fields, where applicable.
<b>Signatures</b>	Conservator or Guardian signs as Co-Applicant.

### 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. [Additional Documentation](#)

- A copy of court appointment of conservatorship/guardianship is required; must be dated within the last 12 months and list all applicants.
- If the court appointment letter states that it's only valid with a seal, the seal must be visible.

## Available Account Features – Restrictions may apply; contact your [local Scottrade team](#) to confirm eligibility.

- [Account Linking](#)    
 [Margin](#)    
 Online Money Direct<sup>®</sup> Deposits (ACH)  
 [Options Trading](#) – Covered Call Writing Only    
 [Scottrade Bank<sup>®</sup> Account](#)    
 Sweep Program  
 [TOD Beneficiary Plan](#)    
 [Trading Authorization](#)