Roth IRA Account Opening Instructions

Conditions to Open a Roth IRA

- When filling out the Brokerage Account Application, please *Roth IRA* in the **Account Type** field.
- The account owner must be 18 years of age or older and fall within the Roth IRA income limits.

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

1. Brokerage Account Application

Application Section	Special Considerations
Do you have any other *account(s)* with Scottrade or its affiliates (Scottrade Bank)? (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.
Primary Applicant	Individual's information.
In addition to completing all name, SSN / tax ID, address and phone number fields, please take special note of:	
Citizenship	Complete all fields, where applicable.
Employment	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.
Income and Net Worth	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.
Affiliations	Answer all questions and complete fields, where applicable.
Expected Account Activities (page 1)	Complete this section to help us understand how you anticipate using your Scottrade account. This information helps us fulfill certain regulatory requirements.
Your Investment Profile	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.
Co-Applicant (page 2)	Skip this section; Co-Applicants are not allowed for Roth IRAs.
In addition to completing all name, SSN / tax ID, address and phone number fields, please take special note of:	
Signatures	Individual must sign; Co-Applicants are not allowed.
Page 4	Complete and sign the account beneficiary form to designate beneficiaries and affirm eligibility requirements.

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. Roth IRA Agreement and Disclosures
   Before signing the Application, read the Agreement and retain a copy for your records. You do not need to return this document.

4. Privacy Statement
   Please read this document and retain a copy for your records. You do not need to return this document.

Available Account Features – Restrictions may apply; contact your local Scottrade team to confirm eligibility.

☒ Account Linking ☐ Margin ☒ Online Money Direct® Deposits (ACH) ☒ Options Trading
☒ Scottrade Bank® Account ☒ Sweep Program ☐ TOD Beneficiary Plan ☒ Trading Authorization