

**SHAREHOLDERS SERVICE GROUP
DOCUMENT REQUIREMENT TABLE**

Account Category	Account Type	Registration Format	New Account Application	Community Property Agreement	TOD Account Agreement -- Individual	TOD Account Agreement -- Joint Tenants	Letters of Testamentary	Affidavit of Domicile	Copy of Death Certificate	Copy of Court Certified Appointment of the Guardian	Adoption Agreement	Form 5305-SEP	Form 5304-SIMPLE	Trust Certification and/or Trust Agreement	Corporate Resolution	Partnership Agreement	Certificate of Sole Proprietorship	Collateral Agreement	Margin Agreement	Option Agreement	ProCash Plus Application	ACH Authorization Agreement			
TAXABLE ACCOUNTS	Individual	John Q. Doe	X																	optional	optional	optional	optional		
	Individual TOD	John Q. Doe TOD	X		X																optional	optional	optional	optional	
	Joint Tenants with Rights of Survivorship	John Q. Doe and Jane B. Doe JT TEN	X																		optional	optional	optional	optional	
	Joint Tenants in Common	John Q. Doe and Jane B. Doe TEN COM	X																		optional	optional	optional	optional	
	Joint Tenants by Entirety	John Q. Doe and Jane B. Doe TEN ENT	X																		optional	optional	optional	optional	
	Community Property	John Q. Doe and Jane B. Doe Community Property	X	X																	optional	optional	optional	optional	
	Joint Tenant TOD	John Q. Doe and Jane B. Doe JT TEN TOD	X			X															optional	optional	optional	optional	
	Custodial (UTMA or UGMA)	John Q. Doe C/F Mark T. Doe UTMA (or UGMA) state of _____ (include state abbreviation)	X																		N/A	N/A	N/A	N/A	
RETIREMENT ACCOUNTS	Traditional Participant IRA (Pershing LLC as Custodian)	IRA FBO John Q. Doe Pershing LLC as Custodian	X								X										N/A	optional	N/A	optional	
	Rollover IRA (Pershing LLC as Custodian)	Rollover IRA FBO John Q. Doe Pershing LLC as Custodian	X								X											N/A	optional	N/A	optional
	Roth IRA (Pershing LLC as Custodian)	Roth IRA FBO John Q. Doe Pershing LLC as Custodian	X								X											N/A	optional	N/A	optional
	Beneficiary IRA (Pershing LLC as Custodian)	Beneficiary IRA FBO Jane B. Doe Pershing LLC as Custodian	X								X											N/A	optional	N/A	optional
	Guardian IRA (Pershing LLC as Custodian)	Guardian IRA FBO Jane B. Doe Pershing LLC as Custodian	X								X											N/A	optional	N/A	optional
	SEP IRA (Pershing LLC as Custodian)	SEP IRA FBO John Q. Doe Pershing LLC as Custodian	X								X	X										N/A	optional	N/A	optional
	SIMPLE IRA (Pershing LLC as Custodian)	SIMPLE IRA FBO Jane B. Doe Pershing LLC as Custodian	X								X		X									N/A	optional	N/A	optional
	Qualified Retirement Plan (Pershing LLC as Custodian)	Money Purchase Pension Plan FBO John Q. Doe Pershing LLC as Custodian	X								X											N/A	optional	N/A	optional
	IRA (Custodian other than Pershing)	XYZ Trust Corp. Custodian FBO John Q. Doe IRA	X													X						N/A	optional	N/A	optional
	401(k)	Acme Widgets Inc. 401(k) Plan John Q. Doe TTEE	X												X							N/A	optional	optional	optional

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TRUSTS/ ESTATES	Estate (Intestate)	Estate of Jane B. Doe John Q. Doe, Administrator	X				X	X	X										N/A	N/A	N/A	N/A	
	Estate (Testate)	Estate of Jane B. Doe John Q. Doe, Executor	X				X	X	X										N/A	N/A	N/A	N/A	
	Estate (Testate -- Personal Rep)	John Q. Doe , Personal Rep. U/W/O Jane B. Doe	X				X	X	X										N/A	N/A	N/A	N/A	
	Living Trust (Intervivos)	The Doe Family Trust John Q. Doe TTEE U/A/D 01-01-2000 FBO Mark T. Doe	X											X						optional	optional	optional	optional
	Testamentary Trust (Under Will Of)	John Q. Doe TTEE U/W/O Jane B. Doe FBO Mark T. Doe	X											X						optional	optional	optional	optional
	Trust	Jane B. Doe Trust John Q. Doe TTEE U/A/D 01-01-2000 FBO Mark T. Doe	X											X						optional	optional	optional	optional
CORPORATIONS/ PARTNERSHIPS	Corporation	Acme Widgets Inc.	X												X				optional	optional	optional	optional	
	Partnership	Acme Widgets Co.	X													X			optional	optional	optional	optional	
MISCELLANEOUS	Bank Collateral Account	ABC Bank for John Q. Doe	X															X	N/A	N/A	N/A	N/A	
	Sole Proprietorship	John Doe dba XYZ Corp A Sole Proprietorship	X														X		optional	optional	optional	optional	
	Guardian/ Conservatorship	John Doe Guardian for Jane Doe	X							X									N/A	N/A	optional	optional	
	Non-Profit Charitable Organization	Local Union Fire Fighters Association A Non-Profit Organization	X												X				optional	optional	optional	optional	
X = required document																							
N/A = feature not available to this type of account																							