

## Purpose

This document shows all the agreements required when opening different account types at SWS Securities. It also shows what formats the paperwork will be accepted, when sent to SWS. Be sure these agreements are completed and are on file for future reference.

Account Type	Agreements Required
Individual	<ul style="list-style-type: none"> <li>• New Account Application (includes W9)</li> </ul>
Joint Account	<ul style="list-style-type: none"> <li>• New Account Application (includes Joint and W9)</li> </ul>
Any account with Power of Attorney (POA)	<ul style="list-style-type: none"> <li>• Copy of Power of Attorney</li> <li>• Standard account documentation</li> </ul>
Profit Sharing Plan <i>OR</i> Pension Plan	<ul style="list-style-type: none"> <li>• Copy of the Plan</li> <li>• New Account Application (includes W9)</li> <li>• Profit Sharing Plan Agreement (Plan must be approved by SWS IRA department)</li> <li>• Pension Plan Agreement (Plan must be approved by SWS IRA department)</li> </ul>
401(k)	<ul style="list-style-type: none"> <li>• 401(k) Profit Sharing Plan Adoption Agreement (Plan must be approved by SWS IRA department)</li> <li>• New Account Application (includes W9)</li> </ul>
SWS Securities IRA	<ul style="list-style-type: none"> <li>• One of the following retirement application/agreements: <ul style="list-style-type: none"> <li>○ Traditional agreement (includes W9)</li> <li>○ Roth agreement (includes W9)</li> <li>○ SIMPLE agreement (includes W9)</li> <li>○ SEP agreement (includes W9)</li> </ul> </li> </ul>
Trust Account	<ul style="list-style-type: none"> <li>• Copy of Trust <i>OR</i> Trustee Certification</li> <li>• New Account Application (includes W9)</li> </ul>
Under the Will (U/W) Testamentary Trusts	<ul style="list-style-type: none"> <li>• Copy of Will*</li> <li>• New Account Application (includes W9)</li> </ul>
UGMA <i>OR</i> UTMA	<ul style="list-style-type: none"> <li>• New Account Application (includes W9, must have minor's SSN)</li> </ul>
Corporate Account	<ul style="list-style-type: none"> <li>• Corporate Account Agreement</li> <li>• New Account Application (includes W9)</li> </ul>
Partnership Account	<ul style="list-style-type: none"> <li>• Partnership Agreement</li> <li>• New Account Application (includes W9)</li> </ul>
Investment Club	<ul style="list-style-type: none"> <li>• Investment Club Agreement</li> <li>• New Account Application (includes W9)</li> </ul>
Estate Account	<ul style="list-style-type: none"> <li>• Letters of Testamentary*</li> <li>• Affidavit of Domicile</li> <li>• Death Certificate*</li> <li>• New Account Application (includes W9)</li> </ul>
Non-Corporate Account	<ul style="list-style-type: none"> <li>• Non-Corporate Agreement</li> <li>• New Account Application (includes W9)</li> </ul>
Guardianship	<ul style="list-style-type: none"> <li>• Guardian Papers*</li> <li>• New Account Application (includes W9)</li> </ul>
Sole Proprietorship	<ul style="list-style-type: none"> <li>• Sole Proprietorship Agreement</li> <li>• New Account Application (includes W9)</li> </ul>
Foreign Account	<ul style="list-style-type: none"> <li>• New Account Application</li> <li>• W-8 BEN</li> </ul>
DVP (Delivery vs. Payment)	<ul style="list-style-type: none"> <li>• Institutional Delivery Instructions</li> <li>• New Account Application (includes W9)</li> </ul>

\*These agreements are NOT provided by SWS Securities

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The following chart shows how paperwork must be submitted to SWS for scanning and for official booking.

Document	Must have Original Signature	Fax OK, with Original to Follow	Need Fax or Copy of Document
A/C H Authorization	<input checked="" type="checkbox"/> Must have for Image Indexing		
Certification of Adoption	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	
Corporate Account Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	
Corporate Resolution	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	
Email/Fax Confirm Request	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to set up Email/Fax	
Full Trading Authority	<input checked="" type="checkbox"/> Must have for Image Indexing		
General Partnership Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	<input checked="" type="checkbox"/> Don't need original
Guardian/Conservator			
Investment Club Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	<input checked="" type="checkbox"/> Don't need original
IRA Application			
IRA Approval for Distribution	<input checked="" type="checkbox"/> SWS IRA Department must have to process		
IRA Rollover Certification	<input checked="" type="checkbox"/> Must have for Image Indexing		
Joint Account Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing		
Letters of Authority/Instruction	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Can use to make changes	
Letters of Testamentary			
Limited Partnership Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	<input checked="" type="checkbox"/> Don't need original
Limited Trading Authority	<input checked="" type="checkbox"/> Must have for Image Indexing		
Margin Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing		
Non-Corporate Account Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	
Option Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing		
POA (Power of Attorney)			<input checked="" type="checkbox"/> Don't need original
Profit Sharing of Pension Plan			<input checked="" type="checkbox"/> Don't need original
Sole Proprietorship Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	
Transfer on Death	<input checked="" type="checkbox"/> Must have for Image Indexing		
Trust Cert/Agreement	<input checked="" type="checkbox"/> Must have for Image Indexing		
Vision Application	<input checked="" type="checkbox"/> SWS Money Market Department must set up on account		
W-9/W-8	<input checked="" type="checkbox"/> Must have for Image Indexing	<input checked="" type="checkbox"/> Used to book TEFRA	
Will (copy)			<input checked="" type="checkbox"/> Don't need original