siebert.

Account Types And Requirements

Email: newaccounts@siebert.com | Phone: 800.872.0444 | Fax: 212.486.2784

Individual Account

Completed New Account Application with Individual information and signature

Completed Account Transfer Form with signature (if transferring an account to Siebert)

Completed Customer Profile

Joint Account

Completed New Account Application with both Individuals' information and signatures

Completed Account Transfer Form with signatures (if transferring an account to Siebert)

Completed Customer Profile

Custodial Account

Completed New Account Application with both Individuals' information and Custodians signature

(The minor's information should be listed as the Account Owner and the Adult/Parent/Guardian should be listed in Custodian Section)

Completed Account Transfer Form with Custodian signature (if transferring an account to Siebert)

Completed Customer Profile.

Transfer On Death Account

Completed New Account Application with Individual information and signature

Completed Beneficiary Information on the back of the New Account Application

Completed Account Transfer form with signature (if transferring an account to Siebert)

Completed Customer Profile

Trust Account

Completed New Account Application with Trust Name and Trustee Information and Trustee signatures

Completed Certification of Trusteeship and Investment Power Form

Correct Tax I.D. or Social Security Number of Trust

Completed Account Transfer Form with Trustee Signatures (if transferring an account to Siebert)

Completed Customer Profile

Estate Or Other Fiduciary Account

Completed New Account Application with Estate as Owner, including Estate Tax ID/Deceased Social Security number, and Executor identified separately

Copy of Certified Death Certificate

Certificate of Probate Appointment or letters testamentary (with raised seal) dated within 60 days.

Completed and notarized Affidavit of Domicile*

Completed and notarized Internal Transfer Form

Completed Account Transfer Form with Authorized Officer signatures (if transferring an account to Siebert)

Completed Customer Profile

Partnership Or Investment Club

Completed New Account Application with Managing Partners' signatures and Social Security Numbers

Partnership Tax Identification Number

Completed <u>Appointment of Managing Partners*</u> with Managing Partners' signatures

Completed Account Transfer Form with Managing Partners' signatures (if transferring an account to Siebert)

Completed Customer Profile

Corporate

Completed New Account Application for each Authorized Officer(s) including signature(s) and Social Security Numbers

Corporation's Tax Identification Number

A <u>Corporate Resolution Form</u>* signed by the Authorized Officer(s) and bearing a raised seal or notarization

Completed W-9 Form*

Completed Account Transfer Form with Authorized Officer(s) signature(s) (if transferring an account to Siebert)

Completed Customer Profile

SIMPLE IRA

Completed New Account Application with signature

Completed SIMPLE IRA Account Package* forms

Completed Account Transfer Form with individual signature (if transferring an account to Siebert)

Completed Customer Profile

^{*}This form can be found by visiting our website www.siebert.com in our "forms" section. Please print, complete, sign, and attach this form along with your New Account Application and return all forms in the business reply envelope. If you would like this form/booklet mailed to you or if you have any questions regarding opening an account, please contact our New Accounts Department at 800.872.0444.

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Profit Sharing or Money Purchase Pension Plan (Self-Trustee)

Completed New Account Application with signatures

Completed Certification of Trusteeship and Investment Power with signatures

Completed Account Transfer Form with signature(s) (if transferring an account to Siebert)

Completed Customer Profile

Profit Sharing Plan (Equity Institutional-Trustee)

Completed New Account Application with signatures

Completed <u>Profit Sharing Account Package</u> or <u>Money Purchase</u> <u>Plan Account Package</u>* with signatures

Completed Account Transfer Form with Individual signatures (if transferring an account to Siebert)

Completed Customer Profile

Individual 401K (Self-Trustee)

Completed New Account Application with signatures

Completed Certification of Trusteeship and Investment Power Form with signature

Completed W-9 Form*

Completed Account Transfer Form with signatures (if transferring an account to Siebert)

Completed Customer Profile

Individual 401K (Equity Institutional-Trustee)

Completed New Account Application with signature

Completed <u>Individual 401K Account Package</u>* and adoption agreement with signature

Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)

Completed Customer Profile

Educational Coverdell

Completed New Account Application with signature

Completed <u>Coverdell Education Account Package</u>* forms with signature

Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)

Completed Customer Profile

Employee Stock Option

Completed New Account Application with signature

Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)

Copy of unexpired Passport (for foreign clients only)

Completed and signed W-8 BEN Form* (for foreign clients only)

Completed Customer Profile

IRA, Rollover IRA, Or Roth IRA

Completed New Account Application with signature

Individual Retirement Informational Account Packages

Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)

Completed Customer Profile

SEP IRA

Completed New Account Application with signature

Completed and signed 5305 SEP Form*

Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)

Completed Customer Profile

Inherited IRA

Completed New Account Application with signature

Completed Beneficiary Distribution Election Form*

Copy of Certified Death Certificate

Completed Account Transfer Form with individual signature (if transferring an account to Siebert)

Completed Customer Profile

^{*}This form can be found by visiting our website www.siebert.com in our "forms" section. Please print, complete, sign, and attach this form along with your New Account Application and return all forms in the business reply envelope. If you would like this form/booklet mailed to you or if you have any questions regarding opening an account, please contact our New Accounts Department at 800.872.0444.