

<b>ICON ADVISERS, INC. AND TRUST COMPANY OF AMERICA NEW ACCOUNT APPLICATION REQUIREMENTS - EFFECTIVE 06/15/2010</b> All account types require ICON's Investment Management Agreement with Trust Company of America as Custodian.									
TCAdvisor Account Type	Account Type	Account Registration Format (Line breaks as they appear except when the line detail does not fit on one line)	Application Required	CIP Information Required (Name, Address, Social Security # and Date of Birth)	Form of Identification and ID# Required (Drivers License, Passport, etc)	Additional Documents Required	Signatures Required for Account Application Section	Signatures Required for Resolution or Certification Section	ICON's Additional Documents/ Requirements
<b>NON-RETIREMENT CUSTODIAL ACCOUNTS</b>									
Individual	Individual	John Doe	Individual, Joint, UTMA / UGMA or Legal Account Application	Individual	Individual	NONE	Individual	Not Applicable	NONE
Individual	Transfer on Death Individual	John Doe TOD		Individual	Individual	Transfer on Death (TOD) Addendum Request	Individual	Not Applicable	NONE
Individual	Estate	Estate of John Doe Jane Doe Executor		Executor	Executor	Death Certificate and Letter of Testamentary	Executor	Not Applicable	NONE
Joint	Joint Tenants in Common	John Doe Mary Doe TEN COM		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable	NONE
Joint	Joint Tenants With Rights of Survivorship	John Doe Mary Doe JT TEN		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable	NONE
Joint	Transfer on Death Joint Tenants With Rights of Survivorship	John Doe Mary Doe JT TEN TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Addendum Request	All Account Holders	Not Applicable	NONE
Joint	Community Property	John Doe Mary Doe COMPROP		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable	NONE
Joint	Joint Tenants in Entirety	John Doe Mary Doe TEN ENT		All Account Holders	All Account Holders	NONE	All Account Holders	Not Applicable	NONE
UTMA & UGMA	UTMA/UGMA	John Doe Custodian Johnnie Doe UTMA TX		Custodian and Minor	Custodian	NONE	Custodian	Not Applicable	NONE
Legal (Conservator, Guardian, Court)	Guardianship	John Doe Guardian FBO Johnnie Doe		Guardian and Beneficial Owner	Guardian	Court Documents Appointing Legal Guardian	Guardian	Not Applicable	NONE
Legal (Conservator, Guardian, Court)	Conservatorship	John Doe Conservator FBO Johnnie Doe		Conservator and Beneficial Owner	Conservator	Court Documents Appointing Legal Conservator	Conservator	Not Applicable	NONE
Trust*	Trusts	John Doe Living Trust Dtd 01/01/01 Mary Doe, Jane Doe TTEE	Trust Account Application	Authorized Trustee(s)	NONE	NONE Do Not Send Trust Agreement	Authorized Trustee(s)	All Trustees	ICON's Trust Certification
Trust*	Charitable Remainder Trust	John Doe Living Trust Dtd 01/01/01 Mary Doe, Jane Doe TTEE		Authorized Trustee(s)	NONE	Separate W-9 Form with Tax Exempt Status	Authorized Trustee(s)	All Trustees	ICON's Trust Certification
<b>*Trust Account Registration:</b> All Trustees must be listed.									
Unincorporated Entity	Company (Unincorporated)	ABC Company John Doe, Mary Doe	Corporate, Company, Association, or Sole Proprietorship Account Application	Authorized Party(ies)	NONE	NONE	Authorized Party(ies)	Secretary and Authorized Party(ies)	ICON's Certification of Organization Resolution
Corporation	Corporation	ABC Corporation John Doe, Mary Doe		Authorized Party(ies)	NONE	NONE	Authorized Party(ies)	Secretary and Authorized Party(ies)	ICON's Certification of Corporate Resolution
Corporation	Sole Proprietorship	Do Air Conditioning John Doe		Owner	NONE	NONE	Owner	Owner	ICON's Certification of Organization Resolution
Corporation	Association	ABC Association John Doe, Mary Doe		Authorized Party(ies)	NONE	NONE	Authorized Party(ies)	Secretary and Authorized Party(ies)	ICON's Certification of Organization Resolution
Tax Exempt	Non-Profit Association	Do Water Works Association John Doe, Mary Doe or Do Water Works Foundation John Doe, Mary Doe		Authorized Party(ies)	NONE	Separate W-9 Form with Tax Exempt Status (Resolution incl in Appl)	Authorized Party(ies)	Secretary and Authorized Party(ies)	ICON's Certification of Organization Resolution & IRS Determination Letter

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<b>NON-RETIREMENT CUSTODIAL ACCOUNTS CONTINUED</b>									
Ltd Liability Part/Co**	Limited Liability Company	ABC LLC John Doe, Mary Doe	LLC, LLP, General Partnership or Investment Club Account Application	Authorized Party(ies)	NONE	NONE	Authorized Party(ies)	All Managers, if Manager Run All Members, if Member Run	ICON's Certification of Organization Resolution & a copy of the Partnership Agreement
Ltd Liability Part/Co**	Limited Liability Partnership or Limited Partnership	ABC LLP John Doe, Mary Doe or ABC LP John Doe, Mary Doe		Authorized Party(ies)	NONE	NONE	Authorized Party(ies)	All of the General Partners	ICON's Certification of Organization Resolution & a copy of the Partnership Agreement
General Partnership**	Partnership	ABC Partnership John Doe, Jane Doe or John Doe, Mary Doe and Jane Smith Partnership John Doe, Mary Doe	LLC, LLP, General Partnership or Investment Club Account Application	Authorized Party(ies)	NONE	NONE	Authorized Party(ies)	All of the General Partners	ICON's Certification of Organization Resolution & a copy of the Partnership Agreement
Unincorporated Entity**	Investment Club	ABC Investment Club John Doe, Mary Doe		Authorized Party(ies)	NONE	NONE	Authorized Party(ies)	All Members	ICON's Certification of Organization Resolution & a copy of the Investment Club Agreement
<b>**Corporate, Company, LLP, LLC, etc. Account Registrations:</b> All Authorized Parties named in Section 3 of the Account Application must be listed in the Account Registration.									
Tax Exempt	Managed IRA Account	XYZ Trust Company TTEE FBO John Doe IRA Account # xxxxxx	Corporate, Company, Association, or Sole Proprietorship Account Application	NONE	NONE	Corporate Resolution	One Authorized Party in the attached Corporate Resolution	None (See attached Corporate Resolution)	ICON Management Agreement signed by Client and Trustee/Administrator
Tax Exempt	Managed 403(b) Account	XYZ Trust Company TTEE FBO John Doe 403(b) Account # xxxxxx		NONE	NONE	Corporate Resolution	One Authorized Party in the attached Corporate Resolution	None (See attached Corporate Resolution)	ICON Management Agreement signed by Client and Trustee/Administrator
Tax Exempt	Managed Qualified Plan Account	XYZ Trust Company TTEE FBO John Doe MPP/PSP Account # xxxxxx		NONE	NONE	Corporate Resolution	One Authorized Party in the attached Corporate Resolution	None (See attached Corporate Resolution)	ICON Management Agreement signed by Client and Trustee/Administrator
<b>IRA - INDIVIDUAL RETIREMENT ACCOUNTS</b>									
IRA - Individual Retirement Account	Traditional IRA	John Doe	Traditional, Rollover, SEP, Custodial or SARSEP IRA Account Application	Account Owner	Account Owner	NONE	Account Owner	Not Applicable	NONE
R/O Indiv Retirement Account	Rollover IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner	Not Applicable	NONE
IRA - Individual Retirement Account	Custodial IRA	John Doe Custodian FBO Johnnie Doe		Custodian and Minor	Custodian	NONE	Custodian	Not Applicable	NONE
Beneficiary IRA	Beneficiary IRA	John Doe	Roth IRA Account Application	Beneficiary Account Owner	Beneficiary Account Owner	Copy of Death Certificate	Account Owner	Not Applicable	NONE
SARSEP IRA	SARSEP IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner	Not Applicable	NONE
SEP IRA	SEP-IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner	Not Applicable	NONE
ROTH IRA	Roth IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner	Not Applicable	NONE
Conv ROTH IRA	Conversion Roth IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner	Not Applicable	NONE
ROTH IRA	Custodial Roth IRA	John Doe Custodian FBO Johnnie Doe		Custodian and Minor	Custodian	NONE	Custodian	Not Applicable	NONE
Beneficiary ROTH IRA	Beneficiary ROTH IRA	John Doe		Beneficiary Account Owner	Beneficiary Account Owner	Copy of Death Certificate	Account Owner	Not Applicable	NONE
SIMPLE IRA	SIMPLE IRA	John Doe	SIMPLE IRA	Account Owner	Account Owner	NONE	Account Owner	Not Applicable	NONE

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<b>RETIREMENT PLAN ACCOUNTS (EMPLOYER SPONSORED PLANS)</b>									
Solo K & ROTH Provision	Solo 401(k)	<b>Doe Consulting, Inc. Solo 401(k) Plan</b> <b>FBO John Doe</b> <b>John Doe TTEE</b> <i>or (with multiple trustees)</i> <b>Doe Consulting, Inc. Solo 401(k) Plan</b> <b>FBO John Doe (or spouse)</b> <b>John Doe, Mary Doe TTEEs</b> <i>or (with no company name)</i> <b>John Doe Solo 401(k) Plan</b> <b>FBO John Doe</b> <b>John Doe TTEE</b>	Solo 401(k) Plan Account Application	Not Applicable	Not Applicable	401k Trust Company Adoption Agreement	Plan Administrator and Participant	Not Applicable	ICON's Trust Certification
Qualified Plan or 457 Govt	Non-Prototype Retirement Plan - Pooled	<i>&lt;Retirement Plan Title&gt;</i> <b>dtd 1/1/01</b> <b>John Doe, Mary Doe TTEEs</b>	Qualified Plan Account Application	Not Applicable	NONE	NONE (Not Adopting Trust Company Plan Documents)	Authorized Trustee(s) or Party(ies)	All Trustee(s)	ICON's Trust Certification
Qualified Plan or 457 Govt	Non-Prototype Retirement Plan - Plan Participant	<i>&lt;Retirement Plan Title&gt;</i> <b>dtd 01/01/01</b> <b>FBO John Doe</b> <b>John Doe, Mary Doe TTEEs</b>		Not Applicable	NONE	NONE (Not Adopting Trust Company Plan Documents)	Plan Participant and Authorized Trustee(s) or Party(ies)	All Trustee(s)	ICON's Trust Certification
Profit Sharing Plan or Money Pension Plan	Trust Company Prototype Retirement Plan - Pooled	<i>&lt;Retirement Plan Title&gt;</i> <b>dtd 1/1/01</b> <b>John Doe, Mary Doe TTEEs</b>	Retirement Plan Account Application	Not Applicable	NONE	Trust Company Retirement Plan Adoption Agreement Questionnaire	Authorized Trustee(s) or Party(ies)	All Trustee(s)	ICON's Trust Certification
Profit Sharing Plan or Money Pension Plan	Trust Company Prototype Retirement Plan - Plan Participant	<i>&lt;Retirement Plan Title&gt;</i> <b>dtd 01/01/01</b> <b>FBO John Doe</b> <b>John Doe, Mary Doe TTEEs</b>		Not Applicable	NONE	Trust Company Retirement Plan Adoption Agreement Questionnaire	Plan Participant and Authorized Trustee(s) or Party(ies)	All Trustee(s)	ICON's Trust Certification
N/A	401(k)	Refer to Trust Company of America 401(k) Total Solution Program							
N/A	401(k) ROTH	Refer to Trust Company of America 401(k) Total Solution Program							
									ICON's Trust Certification