



ICON

SMA ESTABLISHMENT GUIDE

For Accounts Custodied at Charles Schwab Institutional

This guide outlines the documents required to establish a Separately Managed Account (SMA) with ICON Advisers, Inc. (“ICON”) utilizing Charles Schwab Institutional (“Schwab”) as custodian.

Please note that this guide indicates the most common paperwork requirements. Therefore, depending on the account type and optional services desired, additional documents may be necessary. **The pages referenced in italics indicate information needing to be completed and/or requiring signatures.**

Please contact ICON’s Sales Desk at 1-800-828-4881 with any questions or to request additional documents.

ICON’s Separately Managed Accounts Investment Management Agreement (*Pages 4, 5*, 6, 7 (if applicable), 8 and 9*)

**Please note, additional documents are required as indicated on page 5 under the “Type of Account” section #2.*

Schwab One Account Application (*This application is used to establish an Individual, Joint, Trust*, Custodial, Estate*, Conservatorship*, or Guardianship* account. Pages 1*, 2, 3, 4**, and 5. Page 6 is required for Trust accounts only.*)

**Please note additional documents are required as indicated on page 1, under Section 2 “Registration.”*

*** On page 4, under Section 7 “Authorizations,” the “Trading and Disbursement Authorization” and “Trading Authorization” are required. The “Fee Payment Authorization” is required if fees are being automatically deducted from the SMA Account.*

IRA Account Application (*Pages 1, 2, 3,4*, 5 and 6*)

**On page 4, under Section 5 “Authorizations,” the “Trading and Disbursement Authorization” and “Trading Authorization” are required. The “Fee Payment Authorization” is required if fees are being automatically deducted from the SMA Account.*

Prime Brokerage Amendment (Account Holder) (*Page 2*)

Asset-Based Pricing Addendum to Account Applications and Agreements (*Pages 1 and 3*)

Account Transfer Form (*Pages 1 and 2*)

If applicable, complete one form for each account being transferred and attach a copy of an account statement dated within the last 90 days.

Investments in separately managed accounts, like all investments, involve certain risks, including the risk of loss of principal, which will vary depending on the securities selected. Managed accounts are subject to other risks including, but not limited to the risk of a concentration in sectors, industries, asset classes, or geographic regions.

Please visit ICON online at www.iconadvisers.com or call 1-800-828-4881 for the most recent copy of ICON’s Form ADV, Part II.