



ICON ADVISERS, INC. AND TRUST COMPANY OF AMERICA NEW ACCOUNT APPLICATION REQUIREMENTS - EFFECTIVE 01/16/14
All account types require ICON's Investment Management Agreement with Trust Company of America as Custodian



TCAdvisor Account Type	Entity Type	Account Registration Format (Line breaks as they appear except when the information does not fit on one line) *if applicable	Application Required	CIP Information Required (Name, Address, Social Security and Date of Birth Information)	Form of Identification and ID# Required (Drivers License, Passport, etc)	Additional Documents Required	Signatures Required for Account Application Section	ICON's Additional Documents and/or Requirements	Signatures Required for Restitution or Certification Section
NON-RETIREMENT CUSTODIAL ACCOUNTS									
Individual	Individual	John Doe *TOD	Individual, Joint, UTMA/UGMA or Legal Account Application	Individual	Individual	Transfer on Death (TOD) Add. Request	Individual	None	Not Applicable
Joint	Joint Tenants With Rights of Survivorship	John Doe Mary Doe JTEN *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders		
Joint	Joint Tenants by the Entirety	John Doe Mary Doe TEN ENT *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders		
Joint	Community Property with Rights of Survivorship (WROS)	John Doe Mary Doe COM PROP (WROS) *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders		
Joint	Community Property	John Doe Mary Doe COM PROP		All Account Holders	All Account Holders	NONE	All Account Holders		
Joint	Joint Tenants in Common	John Doe Mary Doe TEN COM		All Account Holders	All Account Holders	NONE	All Account Holders		
UTMA & UGMA	UTMA/UGMA	John Doe Custodian Johnnie Doe UTMA/TX		Custodian and Minor	Custodian	NONE	Custodian		
Legal (Conservator, Guardian, Court)	Estate	Estate of John Doe Jane Doe Executor		Executor	Executor	Death Certificate and Letter of Testamentary	Executor		
Legal (Conservator, Guardian, Court)	Guardianship	John Doe Guardian FBO Johnnie Doe		Guardian and Beneficial Owner	Guardian and Beneficial Owner	Court Documents Appointing Legal Guardian	Guardian		
Legal (Conservator, Guardian, Court)	Conservatorship	John Doe Conservator FBO Johnnie Doe		Conservator and Beneficial Owner	Conservator and Beneficial Owner	Court Documents Appointing Legal Conservator	Conservator		
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)	ICON's Trust Certification	All Trustee(s)
Trust	Charitable Trust	John Doe Charitable Remainder Trust Dtd 01/01/01 Mary Doe, John Doe TTEE		Authorized Trustee(s)	None	If Tax Exempt, include W-9 with exempt box marked	Authorized Trustee(s)		
Trust	Donor Advised Trust	John Doe Donor Advised Trust Dtd 01/01/01 Mary Doe, John Doe TTEE		Authorized Trustee(s)	None	If Tax Exempt, include W-9 with exempt box marked	Authorized Trustee(s)		
Unincorporated Entity	Company (Unincorporated)	ABC Company John Doe, Mary Doe (Officer)	Corporate, Unincorporated Company, Sole Proprietorship or Association Account Application	Authorized Party(ies)	None	None	Secretary and Authorized Party(ies)	ICON's Certification of Organization Resolution	Secretary and Authorized Party(ies)
Corporation	Corporation	ABC Corporation John Doe, Mary Doe (Officer)		Authorized Party(ies)	None	None	Secretary and Authorized Party(ies)	ICON's Certification of Corporate Resolution	Secretary and Authorized Party(ies)
Unincorporated Entity or Corporation	Sole Proprietorship	Doe Air Conditioning John Doe		Owner	None	None	Owner	ICON's Certification of Organization Resolution	Owner
² Tax Exempt	² Managed IRA Account	XYZ Turst Company TTEE FBO John Doe IRA Account #XXXXXX		Not Applicable	None	Corporate Resolution	One of the Authorized Parties in the attached Corporate Resolution	ICON Management Agreement signed by Participant and Trustee Administrator	None (See attached Corporate Resolution)
² Tax Exempt	² Managed Qualified Plan Account	XYZ Turst Company TTEE FBO John Doe MPP/PSP Account #XXXXXX		Not Applicable	None	Corporate Resolution	One of the Authorized Parties in the attached Corporate Resolution	ICON Management Agreement signed by Participant and Trustee Administrator	None (See attached Corporate Resolution)
Tax Exempt	Non-Profit Association	Doe Water Works Association John Doe, Mary Doe (Officers)		Authorized Party(ies)	None	Separate W-9 Form with Tax Exempt Status (Resolution incl in Appl)	Secretary and Authorized Party(ies)	ICON's Certification of Organization Resolution	Secretary and Authorized Party(ies)
Tax Exempt/Corp/Trust (As Applicable)	Endowments	ABC Endowment Fund John Doe, Mary Doe (Officer/Trustee)	Corporate, Unincorporated Company, Sole Proprietorship or Association Account Application/Trust Account Application/LLC, LLP, General Partnership or Investment Club Account Application (As Applicable)	Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)	None	If Tax Exempt, include W-9 with exempt box marked	Secretary and Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)	ICON's Certification of Organization Resolution	Secretary and Authorized Party(ies)
Tax Exempt/Corp/Trust (As Applicable)	Foundations	ABC Foundation John Doe, Mary Doe (Officer/Trustee)		Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)	None	If Tax Exempt, include W-9 with exempt box marked	Secretary and Authorized Party(ies)/Authorized Trustee(s) - (As Applicable)	ICON's Certification of Organization Resolution	Secretary and Authorized Party(ies)



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Ltd Liability Part/Co	Limited Liability Company	ABC LLC John Doe, Mary Doe (Officer)	LLC, LLP, General Partnership or Investment Club Account Application	Authorized Party(ies)	None	None	Authorized Party(ies). All of the Managers, if Manager Run. All of the Members, if Member Run.	ICON's Certification of Organization Resolution & a copy of the Partnership Agreement	All of the Managers, if Manager, Run all of the Members; if Member Run
Ltd Liability Part/Co	Limited Liability Partnership or Limited Partnership	ABC LLP John Doe, Mary Doe (Officer) or ABC LP John Doe, Mary Doe (Officer)		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	All of the General Partners
General Partnership	Partnership	ABC Partnership John Doe, Jane Doe (Officer) or John Doe, Mary Doe and Jane Smith Partnership John Doe, Mary Doe (Officer)		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	All of the General Partners
IRA - INDIVIDUAL RETIREMENT ACCOUNTS									
IRA - Individual Retirement Account	Traditional IRA	John Doe	Traditional, Rollover, SEP IRA, Custodial or SARSEP IRA Account Application, Bene IRA	Account Owner	Account Owner	NONE	Account Owner	None	Not Applicable
R/O Indiv Retirement Account	Rollover IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner		
IRA - Individual Retirement Account	Custodial IRA	John Doe Custodian FBO Johnnie Doe		Custodian and Minor	Custodian	None	Custodian		
Bene IRA or Bene ROTH IRA	Bene IRA	Jane Doe		Beneficiary Account Owner	Beneficiary Account Owner	If Trust is Beneficiary Account Owner, a Certification of Trusts (IRAs) Form for needs to be signed by TTEE's	Account Owner		
SARSEP IRA	SARSEP IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner		
SEP IRA	SEP-IRA	John Doe	Account Owner	Account Owner	NONE	Account Owner			
ROTH IRA	Roth IRA	John Doe	Roth IRA Account Application	Account Owner	Account Owner	NONE	Account Owner	None	Not Applicable
Conv ROTH IRA	Conversion Roth IRA	John Doe		Account Owner	Account Owner	NONE	Account Owner		
ROTH IRA	Custodial Roth IRA	John Doe Custodian FBO Johnnie Doe		Custodian and Minor	Custodian	None	Custodian		
SIMPLE IRA	SIMPLE IRA	John Doe	SIMPLE IRA	Account Owner	Account Owner	NONE	Account Owner	None	Not Applicable
RETIREMENT PLAN ACCOUNTS (EMPLOYER SPONSORED PLANS)									
Solo K (Solo K Roth)	Solo 401(k) (Solo 401(k) Roth)	Doe Consulting, Inc. Solo 401(k) Plan FBO John Doe John Doe TTEE or (with multiple trustees) Doe Consulting, Inc. Solo 401(k) Plan FBO John Doe (or spouse) John Doe, Mary Doe TTEEs or (with no company name) John Doe Solo 401(k) Plan FBO John Doe John Doe TTEE	Solo 401(k) Plan Account Application	Plan Trustee	Plan Trustee	401k Trust Company Adoption Agreement	Plan Trustee, Plan Administrator if not Employee, or Plan Participant	ICON's Trust Certification	Not Applicable
Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other)	Non-Prototype Retirement Plan - Pooled	<Retirement Plan Title> John Doe, Mary Doe TTEEs	Qualified Plan Account Application	Plan Trustee	Plan Trustee	NONE (Not Adopting Trust Company Plan Documents)	All Trustee(s) or Authorized Party(ies)	ICON's Trust Certification	All Trustee(s)
Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other)	Non-Prototype Retirement Plan - Plan Participant	<Retirement Plan Title> FBO John Doe John Doe, Mary Doe TTEEs		Plan Trustee and Plan Participant	Plan Trustee	NONE (Not Adopting Trust Company Plan Documents)	Plan Participant and All Trustee(s) or Authorized Party(ies)	ICON's Trust Certification	All Trustee(s)
N/A	401(k)	Refer to Trust Company of America 401(k) Total Solution Program							

Trust Account Registration: All Trustees must be listed. Corporate, Company, LLP, LLC, etc. **Account Registrations:** All Authorized Parties named in Section 3 of the Account Application must be listed in the Account Registration. **Paperwork requirements could change without notice. ICON makes no representation as to the accuracy or completeness of the information contained in or requested by these forms.**