TD AMERITRADE ACCOUNT FORMS MATRIX

Appendix A: AE Wealth Management Disclosure Booklet Required For All Accounts
***AE Wealth Management Disclosure Booklet Includes** • AE Wealth Management Privacy Policy • AE Wealth Management ADV Part 2A-Appendix 1 Wrap Fee Disclosure • Sawtooth Solutions Privacy Policy • Sawtooth Solutions ADV

Existing Accounts	Required Forms Checklist
All Registration Types	• TD Ameritrade Advisor Authorizations (LPOA) • Move Money Form • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)

Non-Retirement Accounts	Required Forms Checklist	Optional Forms Checklist

Individual
Joint
Custodial (UTMA/UGMA)
Guardianship
Conservatorship
Estate
	• TD Ameritrade Standard Application
	  o *For Guardianship & Conservatorship: Provide copy of court documents*
	  o *For Estates: Provide Death Certificate and court documents/letters of testamentary*
	• TD Ameritrade Client Agreement
	• AE Wealth Management Client Agreement
	• AE Wealth Management Fee Addendum
	• AE Wealth Management Suitability Form
	• AE Wealth Management Disclosure Booklet (See Appendix A)
		• Account Transfer Form
		• Move Money Form
		• Transfer on Death Form

Trust	• TD Ameritrade Personal Trust Application • TD Ameritrade Client Agreement • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Account Transfer Form • Move Money Form
Corporation LLC Unincorporated Business Sole Proprietorship Partnership	• TD Ameritrade Business Application • TD Ameritrade Client Agreement • Copy of operating agreement showing official name and authorized signers, (*i.e., Articles of Incorporation, Partnership Agreement, etc.*) • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A) • Proof of filing with the state, if applicable	• Account Transfer Form • Move Money Form

<table>
<tr><th>Retirement Accounts</th><th>Required Forms Checklist</th><th>Optional Forms Checklist</th></tr>
<tr><td>Traditional IRA
Rollover IRA
Roth IRA
Simple IRA
SEP IRA</td><td>• TD Ameritrade IRA Application
• TD Ameritrade Client Agreement
• AE Wealth Management Client Agreement
• AE Wealth Management Fee Addendum
• AE Wealth Management Suitability Form
• AE Wealth Management Disclosure Booklet (See Appendix A)</td><td>• Account Transfer Form
• Move Money Form</td></tr>
<tr><td>Inherited IRA
Inherited Roth IRA</td><td>• TD Ameritrade IRA/QRP Beneficiary Account Application
• Death Certificate *If new: Death Certificate | *If existing: Death Certificate OR Statement showing beneficiary IRA open
• TD Ameritrade Client Agreement
• AE Wealth Management Client Agreement
• AE Wealth Management Fee Addendum
• AE Wealth Management Suitability Form
• AE Wealth Management Disclosure Booklet (See Appendix A)</td><td>• Account Transfer Form
• Move Money Form</td></tr>
<tr><td>Coverdell - Education Savings IRA</td><td>• TD Ameritrade Coverdell ESA Custodial Account Application
• TD Ameritrade Client Agreement
• AE Wealth Management Client Agreement
• AE Wealth Management Fee Addendum
• AE Wealth Management Suitability Form
• AE Wealth Management Disclosure Booklet (See Appendix A)</td><td>• Account Transfer Form</td></tr>
<tr><td>Individual 401(k)</td><td>• TD Ameritrade Participant Application and Designation of Beneficiary Application
• TD Ameritrade QRP Individual 401(k) Adoption Agreement (Simplified Version)
• TD Ameritrade Client Agreement
• AE Wealth Management Client Agreement
• AE Wealth Management Fee Addendum
• AE Wealth Management Suitability Form
• AE Wealth Management Disclosure Booklet (See Appendix A)</td><td>• Account Transfer Form</td></tr>
<tr><td>401(k) Plan Prototype – no 3rd party administrator</td><td>• TD Ameritrade Participant Application and Designation of Beneficiary Application
• TD Ameritrade QRP Flexible 401(k) Adoption Agreement (Expanded Version)
• TD Ameritrade Client Agreement
• AE Wealth Management Client Agreement
• AE Wealth Management Fee Addendum
• AE Wealth Management Suitability Form
• AE Wealth Management Disclosure Booklet (See Appendix A)</td><td>• Account Transfer Form</td></tr>
<tr><td>401(k) Plan – with 3rd party administrator</td><td>• TD Ameritrade Retirement Trust Application
• TPA Plan Document
• TD Ameritrade Client Agreement
• AE Wealth Management Client Agreement
• AE Wealth Management Fee Addendum
• AE Wealth Management Suitability Form
• AE Wealth Management Disclosure Booklet (See Appendix A)</td><td>• Account Transfer Form</td></tr>
</table>