FIDELITY 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	• Fidelity Advisor Authorization and Termination • 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
	• Fidelity Brokerage Account Application Personal & Trust
	  o *For Guardianship & Conservatorship: Provide copy of court documents*
	• AE Wealth Management Client Agreement
	• AE Wealth Management Fee Addendum
	• AE Wealth Management Suitability Form
	• AE Wealth Management Disclosure Booklet (See Appendix A)
	• Fidelity Brokerage Account Application Personal
	  o *For Estates: Provide copy of court order of appointment or letters testamentary dated within last 90 days, a copy of the death certificate for decedent*
		• Transfer of Assets Form
		• Standing Payment Instructions
		• Transfer on Death Form

Trust Account Application	• For Trusts: Complete Trustee Certification of Investment Powers Form OR Include 1st page and signature page of the trust document • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets Form • Standing Payment Instructions
Corporation LLC Unincorporated Business Sole Proprietorship Partnership	• Fidelity Brokerage Account Business Application • Copy of operating agreement for business 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	• Transfer of Assets Form • Standing Payment Instructions

Retirement Accounts	Required Forms Checklist	Optional Forms Checklist
Traditional IRA Rollover IRA Roth IRA	• Fidelity IRA Application • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets Form • Standing Payment Instructions
SEP IRA	• Fidelity SEP IRA Employer and Account Application Kit • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets Form • Standing Payment Instructions
Simple IRA	• Fidelity Simple IRA Employer Kit and Simple IRA Employee Kit • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets Form • Standing Payment Instructions
Inherited IRA Inherited Roth IRA	• Fidelity Inherited IRA Account Application • Death Certificate **if establishing new Beneficiary Account* • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets • Standing Payment Instructions
Self Employed Individual 401(k)	• Fidelity Self Employed 401(k) Account Application • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets Form
401(k) Plan Prototype – no 3rd party administrator	• Fidelity Retirement Plan Profit Sharing Account Application Kit • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets Form
401(k) Plan – with 3rd party administrator	• Non-Fidelity Prototype Retirement Account Application • TPA Plan Document • AE Wealth Management Client Agreement • AE Wealth Management Fee Addendum • AE Wealth Management Suitability Form • AE Wealth Management Disclosure Booklet (See Appendix A)	• Transfer of Assets Form