



New Account Application - Individual/Joint/Custodian					
Account Type	Available in Fusion?	Additional Documentation Required	Additional Information	Margin	Options
Individual	Yes	Trusted Contact Person Authorization form	Only one account holder is allowed. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.	During account opening, Margin will be established unless declined in Section 7. Margin can be added after account opening using the Margin Agreement form for Individual, Joint or Fiduciary accounts. Margin cannot be established with a Conservative Risk Tolerance.	To establish Options Trading, the Account Holder(s) must complete and sign the Options Agreement form.
Joint Tenants with Rights of Survivorship	Yes	Trusted Contact Person Authorization form	Two account holders are required. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Tenants in Common	Yes	Trusted Contact Person Authorization form	Two account holders are required. Please see Section 6 of application. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Tenants by Entirety	Yes	Trusted Contact Person Authorization form	Two account holders are required. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Joint Tenants - Community Property	Yes	Trusted Contact Person Authorization form	For use in Community Property States only. Two account holders are required. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Guardian/Conservatorship	Yes	Court appointment of Guardian, dated within 60 days and Trusted Contact Person Authorization form	For individuals who have a court appointed guardian, conservator or committee. The account owner is the Primary Account Holder. The Guardian signs and is the Secondary Account Holder. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Custodian - UTMA/UGMA	Yes	Appointment of Successor Custodian and Trusted Contact Person Authorization form	Two account holders are required. The minor is the Primary Account Holder. Please list the state where the minor resides in Section 1. If the minor is over the age of 18, their Government ID must be entered in Section 3. The Custodian is the Secondary Account Holder. It is recommended that the client(s) photo ID is uploaded at account opening for our Customer Identification Program.	Custodian accounts are ineligible for Margin.	
New Account Application - Retirement/Qualified					
Account Type	Available in Fusion?	Additional Documentation Required	Additional Information	Margin	Options
Traditional/Rollover IRA	Yes	IRA Beneficiary Designation and Trusted Contact Person Authorization form	Only one account holder is allowed. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.	IRAs and Qualified accounts are ineligible for Margin.	To establish Options Trading, the Account Holder must complete and sign the Options Agreement form.
Roth IRA	Yes	IRA Beneficiary Designation and Trusted Contact Person Authorization form	Only one account holder is allowed. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Simple/SEP IRA	Yes	IRA Beneficiary Designation and Trusted Contact Person Authorization form	Only one account holder is allowed. The client must include their Employer's address in Section 3. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		

Custodian IRA	Yes	IRA Beneficiary Designation, Parent Indemnification Form, and Trusted Contact Person Authorization form	Two account holders are required. The minor is the Primary Account Holder. The Custodian is the Secondary Account Holder. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Beneficiary IRA	Yes	IRA Beneficiary Designation, Death Certificate (copy), and Trusted Contact Person Authorization form	Complete Section 6 of the New Account Application. Only one account holder is allowed. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
Coverdell Educational Savings	Yes	IRA Beneficiary Designation and Trusted Contact Person Authorization form	Two account holders are required. The minor is the Primary Account Holder. The Custodian signs is the Secondary Account Holder. Complete Section 3 of the IRA Beneficiary Designation form, instead of Section 2. Two Account Holders are required. It is recommended that the client's photo ID is uploaded at account opening for our Customer Identification Program.		
<b>New Account Application - Business/Estate/Trust</b>					
Account Type	Available in Fusion?	Additional Documentation Required	Additional Information	Margin	Options
Business (LLC)	Yes	Limited Liability Company Authorization and Trusted Contact Person Authorization form	The Business is the Entity. The authorized signers are the Primary Account Holder, Secondary Account Holder, etc. Please note, we are required to collect the information for any Legal owners, who are not signers on the account, but have 25% or greater ownership in the business. Other documents may be requested to verify the Business name, entity type, address and the association of the individuals on the account. It is recommended that those documents be supplied for our Customer Identification Program.	The Account Holder(s) must complete and sign the Margin Agreement. The Margin Agreement for Individual, Joint or Fiduciary accounts should be used for all LLC and Non-Profit Organization accounts. The Margin Agreement for Corporate Accounts should be used for all C-Corp, S-Corp and Non-Profit Corporations.	
Business (Partnership)	Yes	Partnership Account Agreement and Trusted Contact Person Authorization form			
Business (Corporation)	Yes	Corporate Account, Security Cash Accounts Only and Trusted Contact Person Authorization form S Corp must provide W9			
Non-Profit	Yes	For Non-Profit Corporations, select the Corporate Account, Security Cash Account Only form. For Non-Profit Organizations, the Non-Corporate Agreement is required.  Both Non-Profit Corporations and Non-Profit Organizations must complete a Trusted Contact Authorization form.			
Trust	Yes	Trustee Certification of Investment Powers and Trusted Contact Person Authorization form. The Trustee Certification must be notarized in some states. In those states, DocuSign will not be available.	The Trust is the Entity. The Trustee(s) are the Primary Account Holder and Additional Account Holder(s). Provide Date of Formation in Section 1.	The Account Holder(s) must complete and sign the Margin Agreement for Individual, Joint or Fiduciary accounts.	To establish Options Trading, the Account Holder(s) must complete and sign the Options Agreement form.

Estate	Yes	Death Certificate, Court Appointment of Executor (copy), and Trusted Contact Person Authorization form	The Estate is the Entity. The Executor(s) are the Primary Account Holder and Additional Account Holder(s). A tax ID for the Estate must be obtained from the IRS.	Estates, Qualified Plans, and Investment Clubs are ineligible for Margin.
401k	Yes. DocuSign not available.	Plan Documents and Trusted Contact Person Authorization form	Provide Date of Establishment in Section 1. The Plan is the Entity. The Trustee(s) are the Primary Account Holder and Additional Account Holder(s) and would sign accordingly. The Participant/FBO (if applicable) is the last account holder listed and would sign accordingly. Plan documents must verify the Plan's information.	
Pension/Profit Sharing	Yes. DocuSign not available.	Plan Documents or Retirement Plan Certification and Trusted Contact Person Authorization form	Provide Date of Establishment in Section 1. The Plan is the Entity. The Trustee(s) are the Primary Account Holder and Additional Account Holder(s) and would sign accordingly. The Participant/FBO (if applicable) is the last account holder listed and would sign accordingly. Plan documents must verify the Plan's information.	
Defined Benefit Plan	Yes. DocuSign not available.	Plan Documents and Trusted Contact Person Authorization form	Provide Date of Establishment in Section 1. The Plan is the Entity. The Trustee(s) are the Primary Account Holder and Additional Account Holder(s) and would sign accordingly. Plan documents must verify the Plan's information.	
Investment Club	No. Paper Application Only	Choose the applicable type of agreement based on the structure of the club. A Trusted Contact Person Authorization form is required.	The Investment Club Agreement must verify the name and the relationship of the Account Holder(s) to the Investment Club Agreement.	