

Account Opening Checklist

Brokerage

Instructions: This form is intended to help complete the account opening paperwork and does not need to be submitted to LPL. Brokerage requires an Account Application (F1BN-CTD or F1BR-CTD) when opening a new account. Additionally, both account types require that an Account Packet as indicated below be delivered to the client. Opening a new account requires, at a minimum, one of two primary account applications.

Account Type	Documents and Agreements for you to review and keep for your records	Forms required to be completed and submitted to LPL
Non-Retirement	Account Packet - LPL Trade Direct (AP-CTD)	<ul style="list-style-type: none"> Trade Direct Account Application - Non-Retirement (F1BN-CTD) Additional Required Documentation (see below)
Retirement	Account Packet - LPL Trade Direct (AP-CTD)	<ul style="list-style-type: none"> Trade Direct Account Application - Retirement (F1BR-CTD) Additional Required Documentation (see below)

In addition to this primary form, some account types require additional forms or information. See below based on account type.

Legal entity accounts such as Estate and Guardianship accounts may require additional documentation prior to approval that is not listed.

Retirement Accounts	Form	Additional Required Documentation
Traditional & SEP IRA held at the individual account level	F1BR-CTD	Custodial Agreement PTC - IRA (FR110-CTD)
Roth IRA	F1BR-CTD	Custodial Agreement PTC - Roth IRA (FR111-CTD)

Fiduciary Accounts	Form	Additional Required Documentation
Estate	F1BN-CTD	Estate papers (letters of testamentary) and the death certificate
Guardianship or Conservatorship	F1BN-CTD	Court/Legal Paperwork

You may also choose to add specific features to your account. See below for options and the additional forms or information is required.

Non Retirement Accounts	Form	Additional Required Documentation
Margin	F1BN-CTD	Select "Margin" on the Account Application
Option	F1BN-CTD	Options Agreement and Approval (F6)
Transfer on Death (TOD) - Joint or Individual	F1BN-CTD	Transfer on Death Account Agreement - Non-Retirement (F75)

