Siebert

Account Types And Requirements

Email: newaccounts@siebert.com | Phone: 800.872.0444 | Fax: 212.486.2784

Individual Account

- Completed New Account Application with Individual information and signature
- Completed Account Transfer Form with signature (if transferring an account to Siebert)
- Completed Customer Profile

Joint Account

- Completed New Account Application with both Individuals' information and signatures
- Completed Account Transfer Form with signatures (if transferring an account to Siebert)
- Completed Customer Profile

Custodial Account

- Completed New Account Application with both Individuals' information and Custodians signature (The minor's information should be listed as the Account Owner and the Adult/Parent/Guardian should be listed in Custodian Section)
- Completed Account Transfer Form with Custodian signature (if transferring an account to Siebert)
- Completed Customer Profile.

Transfer On Death Account

- Completed New Account Application with Individual information and signature
- Completed Beneficiary Information on the back of the New Account Application
- Completed Account Transfer form with signature (if transferring an account to Siebert)
- Completed Customer Profile

Trust Account

- Completed New Account Application with Trust Name and Trustee Information and Trustee signatures
- Completed Certification of Trusteeship and Investment Power Form
- Correct Tax I.D. or Social Security Number of Trust
- Completed Account Transfer Form with Trustee Signatures (if transferring an account to Siebert)
- Completed Customer Profile

Estate Or Other Fiduciary Account

- Completed New Account Application with Estate as Owner, including Estate Tax ID/Deceased Social Security number, and Executor identified separately
- Copy of Certified Death Certificate
- Certificate of Probate Appointment or letters testamentary (with raised seal) dated within 60 days.
- Completed and notarized Affidavit of Domicile*
- Completed and notarized Internal Transfer Form
- Completed Account Transfer Form with Authorized Officer signatures (if transferring an account to Siebert)
- Completed Customer Profile

Partnership Or Investment Club

- Completed New Account Application with Managing Partners' signatures and Social Security Numbers
- Partnership Tax Identification Number
- Completed Appointment of Managing Partners* with Managing Partners' signatures
- Completed Account Transfer Form with Managing Partners' signatures (if transferring an account to Siebert)
- Completed Customer Profile

Corporate

- Completed New Account Application for each Authorized Officer(s) including signature(s) and Social Security Numbers
- Corporation's Tax Identification Number
- A Corporate Resolution Form* signed by the Authorized Officer(s) and bearing a raised seal or notarization
- Completed W-9 Form*
- Completed Account Transfer Form with Authorized Officer(s) signature(s) (if transferring an account to Siebert)
- Completed Customer Profile

SIMPLE IRA

- Completed New Account Application with signature
- Completed SIMPLE IRA Account Package* forms
- Completed Account Transfer Form with individual signature (if transferring an account to Siebert)
- Completed Customer Profile

* This form can be found by visiting our website www.siebert.com in our "forms" section. Please print, complete, sign, and attach this form along with your New Account Application and return all forms in the business reply envelope. If you would like this form/booklet mailed to you or if you have any questions regarding opening an account, please contact our New Accounts Department at 800.872.0444.

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Profit Sharing or Money Purchase Pension Plan (Self-Trustee)

- Completed New Account Application with signatures
- Completed Certification of Trusteeship and Investment Power with signatures
- Completed Account Transfer Form with signature(s) (if transferring an account to Siebert)
- Completed Customer Profile

Profit Sharing Plan (Equity Institutional-Trustee)

- Completed New Account Application with signatures
- Completed Profit Sharing Account Package or Money Purchase Plan Account Package* with signatures
- Completed Account Transfer Form with Individual signatures (if transferring an account to Siebert)
- Completed Customer Profile

Individual 401K (Self-Trustee)

- Completed New Account Application with signatures
- Completed Certification of Trusteeship and Investment Power Form with signature
- Completed W-9 Form*
- Completed Account Transfer Form with signatures (if transferring an account to Siebert)
- Completed Customer Profile

Individual 401K (Equity Institutional-Trustee)

- Completed New Account Application with signature
- Completed Individual 401K Account Package* and adoption agreement with signature
- Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)
- Completed Customer Profile

Educational Coverdell

- Completed New Account Application with signature
- Completed Coverdell Education Account Package* forms with signature
- Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)
- Completed Customer Profile

Employee Stock Option

- Completed New Account Application with signature
- Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)
- Copy of unexpired Passport (for foreign clients only)
- Completed and signed W-8 BEN Form* (for foreign clients only)
- Completed Customer Profile

IRA, Rollover IRA, Or Roth IRA

- Completed New Account Application with signature
- Individual Retirement Informational Account Packages
- Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)
- Completed Customer Profile

SEP IRA

- Completed New Account Application with signature
- Completed and signed 5305 SEP Form*
- Completed Account Transfer Form with Individual signature (if transferring an account to Siebert)
- Completed Customer Profile

Inherited IRA

- Completed New Account Application with signature
- Completed Beneficiary Distribution Election Form*
- Copy of Certified Death Certificate
- Completed Account Transfer Form with individual signature (if transferring an account to Siebert)
- Completed Customer Profile

* This form can be found by visiting our website www.siebert.com in our "forms" section. Please print, complete, sign, and attach this form along with your New Account Application and return all forms in the business reply envelope. If you would like this form/booklet mailed to you or if you have any questions regarding opening an account, please contact our New Accounts Department at 800.872.0444.