

Opening a New TD Ameritrade Account

On the main screen there is a menu bar on the left side. To create an account you need to go to Account Management>Account Wizard>Open New Account. Select “New Client”

The screenshot displays the TD Ameritrade VeoOne web interface. At the top, there is a search bar and navigation icons. The left sidebar contains a menu with 'Account Wizard' expanded, and 'Open New Account' selected. The main content area shows the 'Account Wizard' title and a series of tabs: 'Overview', 'Open New Account', 'Initiate Transfer', 'Choose Forms', 'Check Status', and 'Laser App/DocuSign Setup'. Below the tabs, the 'Open A New Account' section is active, featuring two radio button options: 'New Client' (which is selected) and 'Existing Client'. A green 'Open A New Account' button is positioned below these options. A disclaimer at the bottom of the main content area reads: 'TD Ameritrade Institutional and DocuSign are separate and unaffiliated, and not responsible for each other's services or policies.' A 'Screen share' button is visible in the bottom right corner.

A pop up application will appear (you will have to allow pop ups). Then you will fill it out accordingly. If you need a transfer form it is right in the middle, and then it allows you to add supplemental forms. When just establishing an account the most notable “supplemental forms” would be the Move Money Authorization(If they want to contribute/distribute) and the LPOA Advisor Authorization for FTA to trade on the account. At the bottom you can see you can either Print or use eSignature. Then Save & Continue.

Forms Wizard

New Account Forms

Standard Account Application IRA/QRP Beneficiary Application Business Account Application

IRA Application Personal Trust Coverdell Application

Minor IRA Application Retirement Trust Third-Party Investment Management Program Account(TPIMA)

Select Transfer Form

Account Transfer Form

Note: To submit additional transfer requests for this account, select the Account Transfer Form. If you need to add three or more, you can do so from the next screen.

Select Supplemental Forms

Enter the form name or select from the list below

408 (b)(2) Disclosure Summary

Account Application Supplement

Account Re-Registration Application (Account Update Application)

Advisor Authorizations (LPOA)

How would you like to send the application package to your client?

Print
Please use this choice to obtain a physical signature from your client(s). Please note that all account information will be required when you select this.

eSignature
Please use this option to obtain an electronic signature from your client(s). Please note that TD Ameritrade Institutional currently uses DocuSign for signature authentication.

[Cancel process](#)

Account number: 944172631
Account title:

Client information:
Client name
Address
City, State, Zip

Account package

This is the next screen, fill out the required info. Then Save & Continue.

Open New Account

Account Application | Transfer Wizard | Delivery Options

Advisor Information

Advisor code: Firm name: FINANCIAL & TAX ARCHITECTS INC Primary contact:

Do you have an account number for this account? Yes No

Account Information

Account type: Case # (optional): Account segment: Standard Account

Primary Account Owner Information

First name: Middle initial (optional): Last name: Suffix:

Citizenship Status: U.S. citizen Permanent resident Not a U.S. citizen Dual citizenship of U.S. and other country

Personal Information: SSN/ITIN (optional): Birth date (optional):

Contact Information: Primary phone: Secondary phone (optional):

[Cancel process](#)

Account number:
Account title:
Client information:
Client name
Address
City, State, Zip

Account package
IRA Deposit Slip

Add additional forms

Supporting documents
Request supporting documents from client

The next two screens are employment info and then Trusted Contact(optional). Then Save & Continue.

Open New Account
Account Application
Transfer Wizard
Delivery Options

Advisor Information

Advisor code: BC1Q
 Firm name: FINANCIAL & TAX ARCHITECTS INC
 Primary contact (optional): Mark Herman

Account Owner Information

Employment Information

Employment status: Select

Financial Information

Annual Income: Select Approximate Net Worth: Select

Initial source of funding: Select Ongoing source of funding: Select

Personal Affiliations

Check here if you or your spouse or any member of your immediate family, including parents, in-laws, siblings, and dependents, is a director, 10% shareholder, or policy-making officer of a publicly traded company.

Check here if you or your spouse or any member of your immediate family, including parents, in-laws, siblings, and dependents, is licensed, employed by, or

Account number:
Account title:

Client information:
Mark Herman
1704 Blue Jay Cove
Saint Louis MO 63144

Account package

IRA Deposit Slip ✕

Add additional forms

Select Add

Supporting documents

Request supporting documents from client

Cancel process
Back
Save & finish later
Save & continue

Open New Account
Account Application
Transfer Wizard
Delivery Options

Trusted Contact (Optional)

By Completing this section, you authorize TD Ameritrade to contact the person(s) named below for the following reasons: If there are questions or concerns about my whereabouts or health status; If TD Ameritrade suspects that I may be a victim of fraud or financial exploitation; If TD Ameritrade suspects that I might no longer be able to handle my financial affairs; To confirm the identity of any legal guardian, executor, trustee, authorized trader or holder of a power of attorney; or if TD Ameritrade has any other concerns or is unable to contact me about my account(s) held at TD Ameritrade. Please review the Client Agreement for the full terms and conditions regarding how TD Ameritrade uses this information.

First Name Middle Initials Last Name

Relationship: select

Primary Telephone Number

Non-U.S. Phone, email or address are required

Email Address: Phone, email or address are required

Country: UNITED STATES OF AMERICA

Address line 1: City:

Address line 2 (optional): State: Select ZIP:

Add Trusted Contact

Account number:
Account title:

Client information:
Mark Herman
1704 Blue Jay Cove
Saint Louis MO 63144

Account package

IRA Account Application

Account Transfer Form

IRA Deposit Slip ✕

Add additional forms

Select Add

Supporting documents

Request supporting documents from client

Cancel process
Back
Save & finish later
Save & continue

Then there is a page to review everything. Save & Continue.

Review Account Information

Account Application | Transfer Wizard | Delivery Options

Advisor Information

Advisor code:	BC1Q
Firm name	FINANCIAL & TAX ARCHITECTS INC
Primary contact (optional)	Mark Herman

Account Information [Edit](#)

Name:	Mark Herman
Citizenship status:	U.S. citizen
SSN/ITIN:	348-88-8524
Birth date:	04/04/1993
Email:	mark.herman@fta-ria.com
Primary phone:	(224) 406 1778
Secondary phone:	
Physical address:	1704 Blue Jay Cove Saint Louis MO 63144 UNITED STATES OF AMERICA
Mailing address:	1704 Blue Jay Cove Saint Louis MO 63144 UNITED STATES OF AMERICA
Employment status:	

[Cancel process](#) | [Save & finish later](#) | [Save & continue](#)

Account number:

Account title:

Client information:

Mark Herman
1704 Blue Jay Cove
Saint Louis MO 63144

Account package

IRA Account Application

Account Transfer Form

IRA Deposit Slip ✕

Add additional forms

Select

Supporting documents

Request supporting documents from client

Next you are at the page to create a transfer form, fill out the necessary info if needed. Save and Continue.

Fund Account

Account Application | **Transfer Wizard** | Delivery Options

Advisor code:	BC1Q
Firm name	FINANCIAL & TAX ARCHITECTS INC
Primary contact (optional)	GORDON HAAVE

Transfer To:

Account type:	Individual
Account title:	MARK HERMAN
Account number:	944280897

Transfer From:

For a full or partial ACATS transfer, please complete the information below. For all other options, [skip this step](#) and add the appropriate forms to the package.

Transfer type

Full Partial

Delivering firm:

Account type:

Account title:

Delivering firm account number:

Does the delivering firm account hold an annuity or a life insurance product? Yes No

[Cancel transfer](#)

Account number: 944280897
Account title: MARK HERMAN

Client information:
MARK HERMAN
1704 BLUE JAY CV
SAINT LOUIS MO 63144-1604

Account package

Standard Account Application

Account Transfer Form

Add additional forms

Supporting documents

Request supporting documents from client

Next is the confirmation page, you can add another account at the bottom or complete package.

Confirmation

Account Application Transfer Wizard Delivery Options

Complete & Print Package

Step 1: Add additional forms

Select and add any additional forms for this package.

Step 2: Open another account for this client

Add another account application to the package for this client

OR

Complete and send package

Add supporting documents, fill out any additional required fields, review, and have documents signed by the appropriate parties.

Important:

- Please be aware that any changes to the account number or advisor code could impact the account opening process, and these changes will not show up when you go to the Check Status tab.
- Please remind the account owner that if they update any information on the paperwork, the same update(s) must be made on the accompanying forms.
- **We recommend you print a copy of the Signature Verification Form and mail or fax it back to TD Ameritrade Institutional once you have signed it. Although this form is not required at this time, it may save time in the future if, at some point, you need to send us instructions by phone, mail or fax and we need to verify the signature.**

Special Instructions

Please enter special instructions (these will only be seen by your service team):

Account number: 944279566
Account title: MARK HERMAN IRA TD
AMERITRADE CLEARING, CUSTODIAN

Client information:
Mark Herman
1704 Blue Jay Cove
Saint Louis MO 63144

Account package

IRA Account Application

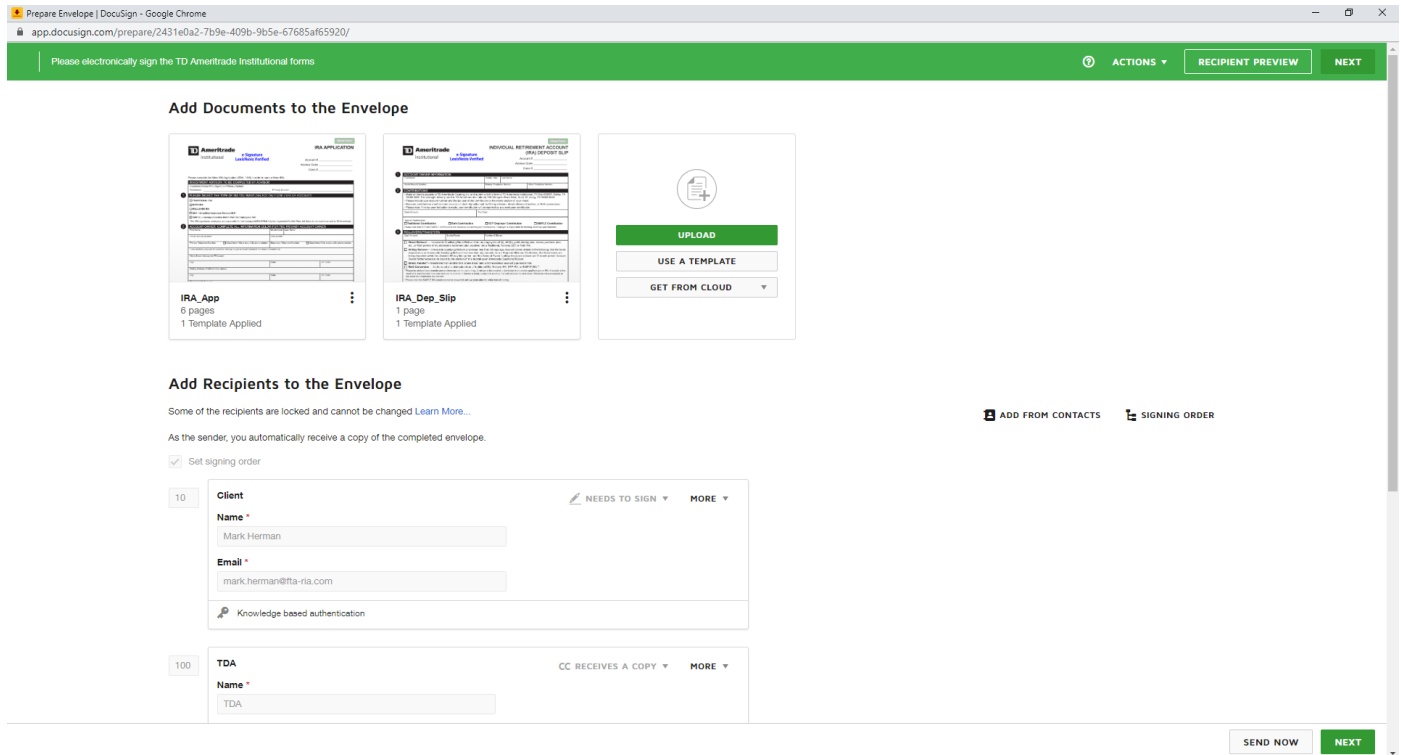
IRA Deposit Slip

Add additional forms

Select

When you complete Package, DocuSign will pop up, you simply go to the bottom and select next, it will already have their email added. It copies TD Ameritrade to the DocuSign so once they sign you are done.

***If you elected to print, this is where you will be able to download the application.



If you just want to use paper forms that is allowed as well. The forms are located under Account Management>Download Forms. These forms can be submitted multiple ways.

You can submit account paperwork and other items in the following ways:

- Open accounts online
- Email to your service team using the [Secure Message Center](#), clicking New Message and selecting "Upload attachments (only)"
- Fax to 866-226-4617
- Mail in your paperwork:

Regular Mail

TD Ameritrade Institutional
PO Box 650567
Dallas, TX 75265-0567

Overnight Mail

TD Ameritrade Institutional
7801 Mesquite Bend Drive, Suite 112
Irving, TX 75063-6043