Advisor Services

Eligible forms using a Non-Schwab DocuSign account

Schwab allows you to send completed forms to your clients to review, electronically sign, and submit to Schwab for processing using your own DocuSign license. Electronic signatures can be accepted on a majority of new Open New Account, many maintenance forms, and certain managed account forms. The list of acceptable forms and any conditions for eSignature is available in the table below.

A list of ineligible forms can be found here.

Some forms are only eligible for eSignature under certain circumstances. Review the Conditions column in the table below to determine if additional requirements must be met or if there are no exceptions.

** This list of forms is **not** the same as the eligible forms available for eSignature through Schwab Advisor Center.**

Form	Form #	Conditions	Category
1031 exchange Hold Harmless & Indemnification	APP116694		Account maintenance
1042 Exchange Hold Harmless & Indemnification	APP116695		Account maintenance
Account Application Addendum	APP20079		Account maintenance
Account Application (Schwab One Personal Accounts)	APP13582	• This form is not available for eSignature when a witness signature is required. • Note: If a court order is needed for a specific registration type, a clear copy can be included in the eSignature envelope.	Open New Account
Account Application (Schwab One Trust Accounts)	APP35101	• If submitted through eSignature, notary is not required. • If submitted through paper form, notary requirements apply where appropriate.	Open New Account
Account Applicatoin to Open a TAMP Account	APP91587		Open New Account
Account Closure Form (Close Account)	APP36078		Account maintenance

Add a Trusted Contact Person	APP101143		Account maintenance
Addition to Household Request Form	APP26798SI		Account maintenance
Additional Master Account Request	APP42449		Advisor signed
Advisor Services Addendum for International Organizations and Trusts	APP118173		Account Maintenance
Aggregate Margin Application	APP86033		Account maintenance
Alternative Investment Access IMSA Addendum	APP87075-02		Custom form
Alertnative Investment Access Investor Qualification Questionnaire	APP95501FM		Custom form
Amendment to Schwab account agreement for Advisor Billing	REG112341-00		Custom form
Asset-Based Pricing (ABP) Addendum to Account Applications and Agreements	APP112381		Custom form
Asset-Based Pricing (ABP) Legacy Addendum to Account Applications and Agreements	APP113768		Custom form
Asset-Based Pricing to Transaction-Based Pricing Conversion	APP34236		Account Maintenance
Authorization to Bill Fees on Assets Held Outside of Schwab	APP72841		Account maintenance
Authorization to Pay Fees to Investment Advisor	APP20315		Money movement
Authorized Agent Designation Form	APP13704		Advisor signed
Bank/Trust Service Agreement	APP42056		Advisor Signed, Custom form
Beneficiary Designation Form (IRA Change Beneficiary/IRA Update Beneficiary)	APP12461		Account maintenance
BillPay Enrollment Form	APP20120		Money movement
Broker Dealer Data Access Agreement	APP99194		Advisor Only Signed

Co-Branding Indemnification and Hold Harmless Agreement	APP97813		Advisor Signed
Company Retirement Account (CRA/Pension Trust)	APP10803		Open New Account
Cost Basis Date of Death Request Form	APP69525		Advisor signed
Cost Basis Edit Form for Noncovered Shares	APP33369		General Forms
Cost Basis Enrollment and Preferences Form	APP51203		Advisor Signed
Cost Basis Product Reporting Form	APP51202		Advisor Signed
Custodial/Minor IRA Application	APP93414		Open New Account
Defined Benefit Plan Funding Proposal Worksheet	SLS25634		Account maintenance
529 Education Savings Plan Account Application	APP25665		Open New Account
Explanation Letter – Attachment to the Form W-8	APP25661		Account maintenance
Designated Beneficiary Plan Agreement (Transfer on Death / TOD / DBP)	APP12439		Account maintenance
Delink Request Form	APP22165		Account maintenance
Dollar Cost Averaging Application	APP10855		Advisor signed
Education Savings Account (ESA) Application	APP93352		Open New Account
Household Asset-Based Pricing (ABP) Addendum to Account Applications and Agreements	APP112380		Custom form
Individual 401(k) Account Application	APP30718SI	This form is not available for eSignature when notarization is required.	Open New Account
Individual 401(k) Plan Adoption Agreement	REG30724		Account maintenance
Individual 401(k) Plan Summary Plan Description	REG48691		Account maintenance
Inherited IRA Account Application for Estate Beneficiary Form	APP92525		Open new account, Money movement
Inherited IRA Account Application for Individual Beneficiary	APP38899		Open new account, Money movement

Inherited IRA Account Application for Organization Beneficiary Form	APP92530		Open new account, Money movement
Inherited IRA Account Application for Trust Beneficiary Form	APP92526		Open new account, Money movement
Institutional Intelligent Portfolios Account Closure	APP85952		Account maintenance; Institutional Intelligent Portfolios™ forms
Institutional Intelligent Portfolios Advisor Enrollment	APP86269		Advisor Signed; Custom form
Institutional Intelligent Portfolios Master Account Request Form	APP86464		Advisor Signed
Insurance Dedicated Fund Hold Harmless & Indemnification	APP116689		Account maintenance
Investment Advisor Change of Address Form	APP99934		Advisor Signed
Investment Advisor Information Access	APP54180		Account maintenance; Institutional Intelligent Portfolios™ forms
Investment Advisor LOA to Open Additional Identical Accounts	APP114665		Advisor Signed
IRA Account Application	APP10539†		Open New Account
IRA Re-characterization or Excess Withdrawal Form	APP13618		Money movement
IRA Rollover Designation	APP28028		Account maintenance
IRS Form 5305-SEP	n/a		Account maintenance
Issuer Communications and Release of Information Form	APP20271		Account maintenance
Limited Power of Attorney (Investment Advisor LPOA)	APP10504		Account maintenance
Linking Request Form and Agreement	APP87196	Request to link to institutionalintelligent.schwab.com	Account maintenance
Logo Request Form	APP21042		Advisor Signed
Managed Account Asset Based Pricing Addendum to Open New Account and Agreements	APP20097	A copy of the pricing agreement can be included in the electronic envelope.	Account maintenance; Managed accounts
Managed Account Issuer Communications and Release of Information Form	APP21805		Account maintenance; Managed accounts

Managed Account Marketplace Account Application	APP20284	• This form is not available for eSignature when a witness signature is required. • If Appendix A: Funding Instructions Form is completed, the journal must come from an account of identical registration and be eSigned by your client. You cannot eSign this form on behalf of the client.	Open New Account; Managed accounts
Managed Account Marketplace Account Application for Trusts	APP83332	• If submitted through eSignature, notary is not required. • If submitted through paper form, notary requirements apply where appropriate.	Open New Account; Managed accounts
Managed Account Marketplace Add or Change a Money Manager Form	APP93501	• This form is not eligible for eSignature if in Section 1: • The "Open an Additional Managed Account" option is selected, Or • You are signing on behalf of your client and "Change a Money Manager" is selected.	Money movement; Managed accounts
Managed Account Marketplace IRA Application	APP20087	If Appendix A: Funding Instructions Form is completed, the journal must come from an account of identical registration and be eSigned by your client. You cannot eSign this form on behalf of the client.	Open New Account; Managed accounts
Managed Account Marketplace Money Manager Limited Power of Attorney (LPOA)	APP20372		Account maintenance; Managed accounts
Managed Account Marketplace Money Manager Termination Form	APP94685		Account maintenance; Managed accounts
Managed Account Marketplace TAMP Account Application	APP20284SITMP	• This form is not available for eSignature when a witness signature is required. • If Appendix A: Funding Instructions Form is completed, the journal must come from an account of identical registration and be eSigned by your client. You cannot eSign this form on behalf of the client.	Open New Account; Managed accounts
Managed Account Marketplace TAMP Account Application for IRA	APP20087SITMP		Open New Account; Managed accounts

Managed Account Marketplace TAMP Account Application for Trusts	APP83344	• If submitted through eSignature, notary is not required. • If submitted through paper form, notary requirements apply where appropriate.	Open New Account; Managed accounts
Managed Account Marketplace TAMP Money Manager Limited Power of Attorney (LPOA)	APP67450		Account maintenance; Managed accounts
Managed Account Select/Access Account Application	APP21286	• This form is not available for eSignature when a witness signature is required. • If Appendix A: Funding Instructions Form is completed, the journal must come from an account of identical registration and be eSigned by your client. You cannot eSign this form on behalf of the client.	Open New Account; Managed accounts
Managed Account Select/Access Account Application for Trusts	APP83555	• If submitted through eSignature, notary is not required. • If submitted through paper form, notary requirements apply where appropriate.	Open New Account; Managed accounts
Managed Account Select/Access Add or Change a Money Manager	APP42669		Advisor signed; Managed accounts
Managed Account Select/Access Appendix 1: Negotiated Program Fee Schedule	APP112340		Custom form
Managed Account Select/Access Gain/Loss Harvest Form	APP22149	You cannot eSign on behalf of the client. If you wish to sign the form, you must have the proper authorizations on file.	Managed accounts; Advisor signed
Managed Account Select/Access Investment Restrictions Form	APP21288	You cannot eSign on behalf of the client. If you wish to sign the form, and you have the proper authorizations on file, a paper copy is required.	Managed accounts; Advisor signed
Managed Account Select/Access IRA Application	APP21292	If Appendix A: Funding Instructions Form is completed, the journal must come from an account of identical registration and be eSigned by your client. You cannot eSign this form on behalf of the client.	Open New Account; Managed accounts
Management Fee Letter of Authorization	APP22302		Advisor Signed
MoneyLink	APP20124	A copy of a voided check, or alternative acceptable documentation for accounts without checks, must be included in the electronic envelope.	Money movement

Non-Discretionary Mutual Fund Trade Order Form	MKT86094		Money movement
Non-Registered IMSA (Investment Manager Service Agreement)	APP42055		Advisor Signed, Custom form
Options Trading and Margin Application	APP10508		Account maintenance
Personal Choice Retirement Account (PCRA) LPOA Application for Investment Advisor	APP27040		Account maintenance
Personal Trust Reporting Services Enrollment	APP38781-05		Personal Trust
Personal Trust Reporting Services Fee Schedule	APP38783-02		Personal Trust
Personal Trust Reporting Services Report Preferences	APP45100		Advisor signed
Personal Trust Reporting Services Statement Preferences and Cost Basis Enrollment	APP45095		Advisor signed
Personal Trust Reporting Services Trust Reporting Adjustment Request	APP38975-04		Account maintenance
Prime Brokerage Amendment	APP12234		Account maintenance
Prime Broker Enrollment	APP12233		Advisor Signed
Private Placement Life Insurance Hold Harmless & Indemnification	APP116688		Account maintenance
QRP Designation of Beneficiary(ies)	APP20222	This form is not available for eSignature when notarization is required	Account maintenance
Qualified Opportunity Zone Fund Hold Harmless & Indemnification	APP116693		Account maintenance
Request to Link to Schwab Alliance	APP80715		Advisor Signed
Schwab Advisor Acknowledgement	APP115167		Advisor Signed
Schwab Advisor Network Investor Acknowledgement Form	APP36946		Open New Account
Schwab Advisor Network Statement of Advisor Independence	APP96200		Open New Account
SchwabAlliance.com Custom Views Advisor Enrollment and Preferences	APP62186		Advisor Signed

Schwab Bank: Add Schwab Bank HYIC to your Schwab One Brokerage Account (Investor Checking)	APP32394		Account maintenance; Schwab Bank® forms
Schwab Custodial IRA Account Reregistration	APP113032		Account maintenance
Schwab Charitable Agency Agreement for Conveying Donor's Grant Recommendations	APP67305-01		Account maintenance
Schwab Charitable Application for Clients Associated with an Investment Advisor	APP70550		Open New Account
Schwab Charitable Investment Advisory Agreement	REG56762-03		Advisor signed
Schwab Charitable Update Your Financial Advisor Information	APP116371		Schwab Charitable
Schwab Charitable Update Succession Plan	APP115876		Schwab Charitable
Schwab One Account Application for Incorporated Organizations	APP62768	• The principal or secretary must sign last section titled "Required Certificate of Authority and Corporate Resolution." • Other required documentation to open the account must be included in the electronic envelope.	Open New Account
Schwab One Account Application for Non-Incorporated Organizations	APP65298	• Signers who are completing the section titled "Required Certificate of Authority and Resolution" must sign last. • Other required documentation to open the account must be included in the electronic envelope.	Open New Account
Schwab One Custodial Account Beneficiary Conversion	APP113034		Account maintenance
Schwab One International Advisor Services Organization Account Application	APP98279		Open new account
Schwab One International Advisor Services Personal Account Application	APP20261		Open new account
Schwab One Internatinoal Advisor Services Trust Account Application	APP114897		Open new account
Schwab Qualified Retirement Plan (QRP) Participant Account Application	APP20218		Open New Account

Second Name Letter/Name Change Form	APP20312-04		Account maintenance; Institutional Intelligent Portfolios™
Securities Lending Program Agreement for IRAs and Employee Benefit Plans	APP104375	Requires an authorized agent or principal from your firm to sign	Account maintenance
Securities Lending Program Agreement for Schwab One and Schwab Brokerage Accounts	APP104379	Requires an authorized agent or principal from your firm to sign	Account maintenance
SEP-IRA Adoption Agreement	REG20104		Advisor signed
SEP-IRA Employer's Agreement with Schwab	APP20209		Account maintenance
SIMPLE IRA Adoption Agreement	APP20100		Account maintenance
SIMPLE IRA Basic Plan Document	REG31167		Account maintenance
SIMPLE IRA Contribution Transmittal Form	APP20102	• This form is not available for eSignature when enclosing a check deposit. Please complete the form with a handwritten signature. • For existing Schwab MoneyLink contributions, an eSignature is acceptable.	Money movement
SIMPLE IRA Employer's Agreement with Schwab	APP20101		Account maintenance
Single Billing Account Designation Form	APP39730		Account maintenance
Standing Instructions for Investment Advisor to Open Additional Identical Accounts	APP114664		Open New Account
Statement Bundling Letter of Authorization Form	APP23626		Cost Basis and Statement Support
Statement Preferences Form	APP39467		Advisor Signed
Structured Installment Sale Transaction Hold Harmless & Indemnification	APP116690		Account maintenance
Substitute Form W-8IMY	APP95099		Account maintenance
Supplemental Application and Agreement for Limitd Margin and Trading Option Spreads in your IRA Account	APP120380		Account maintenance
Supplemental Trust Account Application For Entity Trustees	APP12445		Account maintenance; Account open supplemental

TAMP Asset-Based Pricing (ABP) Addendum to Account Applications and Agreements	APP112378		Custom form
TAMP LPOA for Use With Turnkey Asset Management Providers	APP88667-03		Open New Account
Tax Withholding Election Form for Individual Retirement Accounts (IRA TWE)	APP35724		Money movement
Termination of Wrap Fee Arrangement	APP106260		Account maintenance
Trade Away Service Addendum to Service Agreement	APP99419		Advisor Signed
Trade Confirmation Report Subscription Form	APP26966		Account maintenance
Trade Confirmation Report – Investment Advisor and Money Manager Subscription Form	APP30869-03		Advisor Only Signed
Trade Error Gain Declination Letter of Authorization	APP63359		Account maintenance
Trading and Withdrawal Authorization	APP114688		Account maintenance
Transfer of Account Form Instructions (TOA/Account Transfer)	APP10864	• This form is available for ACAT brokerage and direct registration system (DRS) transfers. • A copy of the client's statement must be included in the electronic envelope. • This form is NOT available for eSignature when the client is requesting a transfer of account (TOA) for the following: ○ Non-ACAT brokerage ○ Savings and loan transfers ○ Insurance company transfers ○ Mutual fund company transfers Note: If the account holder's name appears differently on either account and a signed variation of the name must be provided, the form cannot be eSigned.	Transfer of Account; Money movement
Trust Acknowlegement Letter (TAL)	Custom		Custom Form
Trust Addendum	APP100960		Account maintenance
Trust Custody Services Account Application (non-managed accounts)	Appendix E-1		

Trust Custody Services Account application (managed account marketplace)	Appendix E-2		
Trust Custody Services Account application (managed acct Select / Access)	Appendix E-3		
Trust Custody Services Account Application (non-interest bearing acct)	Appendix E-4		
Trustee Change Form	APP34372	• If submitted through eSignature, notary is not required. • If submitted through paper form, notary requirements apply where appropriate.	Account maintenance
Update Your Schwab One Organization Account	APP67998		Account maintenance
Update Your Schwab One International Corporate Account	APP41282		Account maintenance
Update Your Schwab One International Advisor Services Personal Account	APP118939		Account Maintenance
Use of Schwab Name Submission Form	Custom		Advisor Signed, Custom form
View Only Authorization	APP81688-07		Account Open Supplemental Forms; Institutional Intelligent Portfolios™ Forms
Withdrawal Power and Trading Authorization	APP33529		Account maintenance
Witholding Certificate for Michigan Pension or Annuity Payments (MI W-4P)	REG66540		Account maintenance
W-8BEN-E Substitute form for Entities	APP20295		Account Open Supplemental Forms; International Accounts
W-8BEN Substitute form for Individuals	APP81049		Account Open Supplemental Forms; International Accounts
W-8BEN Substitute Form for Individuals (Spanish)	APP81049SPA		Account Open Supplemental Forms; International Accounts
W-9 (IRS Form W-9)	APP20332FLT		Account Maintenance; Institutional Intelligent Portfolios™ Forms

Note: If a separate sheet indicating shares and assets to transfer is needed, it can be included in the eSignature envelope by your firm.

Ineligible forms

- If a form that is not eligible for eSignature is sent to Schwab, the form will not be processed.
- Your firm's forms, which may include Investment Policy Statements, Advisor Agreements, or other forms and agreements between your firm and the client.
    - Note: If your firm's forms are included in an envelope with Schwab forms, you must use the DocuSign Document Visibility feature to ensure these forms are not sent to Schwab. If Schwab receives an envelope that contains advisor forms, we will not process the Schwab forms.
- Forms listed above that indicate that a notary is required are eligible for eSignature without being notarized. If these forms are submitted via paper, then they must be notarized.
- Handwritten forms or advisor-written letters of authorization.
- Forms signed electronically using your own DocuSign account where forms were sent to Schwab not using the DocuSign carbon copy method. (i.e. eSigned forms cannot be faxed, emailed or submitted using a Service Requests on Schwab Advisor Center).
- Forms eSigned outside of the designated signature fields
- Forms to open international accounts or domestic accounts with international elements

Brokerage Products: Not FDIC Insured • No Bank Guarantee • May Lose Value

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