

Expanded list of forms eligible for eSignature using your own DocuSign account

**** This list of forms is only available to Advisors with the 2nd DocuSign Addendum in place. Envelopes will be rejected if they include any of these forms and the Addendum is not on file.**

Schwab allows you to send completed forms to your clients to review, electronically sign, and submit for processing using your own DocuSign license. 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.

| Form | Form # | Conditions | Category |
|---|------------|--|---------------------|
| 403(b)(7) Distribution Form | APP20327 | | Money movement |
| Add Schwab Bank HYIC to your Schwab One Brokerage Account (Investor Checking) | APP88308 | This form is not available for eSignature when funding the account with a check. Please complete the form with a handwritten signature. For an electronic funds transfer (ACH transfer), a copy of a voided check or deposit must be submitted with the form. An original is not required. | Money movement |
| Alternative Investment Billing Account Designation Form | APP57050 | | Account maintenance |
| Alternative Investment Letter of Authorization | APP47122AS | | Advisor signed |
| Alternative Investments Marketplace LOA | APP107900 | | Money movement |
| Alternative Investment OneSource Letter of Instruction | APP31788 | | Account maintenance |
| Change of Address Form | APP12237 | | Account maintenance |

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|--|-----------|--|-------------------------------------|
| Charitable Gift Transfer Letter of Authorization | APP39630 | | Money movement |
| Check and Journal Request Form | APP12242 | | Money movement |
| Check/Stock Certificate Funding Coversheet | MKT38050 | | Account maintenance |
| Check Writing and Visa Debit Card Application for Organization Accounts | APP78815 | | Money movement |
| Company Retirement Account Fee Disclosure Worksheet | REG66083 | | Account Maintenance |
| Custodial Account Beneficiary Disbursement Form | APP37043 | | Money movement |
| Custodial Account Distribution Form | APP20306 | | Money movement |
| ESA Distribution Form | APP90829 | | Money movement |
| FM Alternative Investment Access Letter of Authorization | APP95500 | | Account maintenance |
| Individual 401K Distribution Request Form | APP36151 | | Money movement |
| IRA & ESA Divorce Transfer Form (New) | APP90843 | | Money movement |
| IRA Distribution Form | APP12179 | | Money movement |
| IRA Qualified Charitable Distribution Request Form | APP117217 | | Money movement |
| Managed Account Select/Access Dividend and Interest Payment Authorization Form | APP77339 | | Money movement; Managed accounts |
| Managed Account Select/Access Withdrawal Form | APP24900 | | Money movement; Managed accounts |
| Money Movement Cover Letter | MKT69724 | | Advisor signed |

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|---|-------------|--|-------------------------|
| Personal Trust Reporting Services Disbursement Instructions and Authorization | APP38782-07 | | Personal Trust |
| Pledged Asset Line Wire Transfer Request and Authorization | APP35678 | | Money Movement |
| Prefilled SAC/Move Money Journal LOA for IRA Accounts | APP110756 | | Money Movement |
| Prefilled SAC/Move Money Journal LOA | APP110757 | | Money Movement |
| Prefilled SAC/Move Money Check LOA for IRA Accounts | APP110754 | | Money Movement |
| Prefilled SAC/Move Money Check LOA | APP110755 | | Money Movement |
| Prefilled Wire LOA | APP110753 | | Account Maintenance |
| Prefilled Wire LOA for IRA Accounts | APP10752 | | Account Maintenance |
| QRP Employers Agreement with Schwab | APP20217 | | Open New Account |
| QRP/Keogh Distribution Form | APP35811 | | Money movement |
| Schwab Charitable Contribute to Your Donor-Advised Fund Account | APP20090-23 | | Schwab Charitable Forms |
| Schwab Charitable Recommend a Grant to Charity | APP20091-13 | | Schwab Charitable Forms |
| Schwab Charitable Update Doner-Advised Fund Account Information | APP20092 | | Schwab Charitable Forms |
| Schwab Charitable Update Account Information | APP115811 | | Schwab Charitable |
| Schwab Charitable Update Investment Pool Allocation | APP115810 | This form is not eligible for e-signature when signed by advisors. | Schwab Charitable |
| Schwab Designated Beneficiary Plan Distribution Authorization Form | APP36983 | | Money movement |

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|---|----------|--|---------------------|
| Seller's Rep Letter for Sale of Restricted or Control Securities Under Rule 144 | APP22576 | | Account maintenance |
| SEP-IRA Transmittal Form | APP20208 | | Account maintenance |
| Standing Instructions for Alternate Mailing Address | APP59462 | | Account maintenance |
| Standing Instructions for Checks and Journals | APP56209 | | Money movement |
| Third Party Representative Address Authorization | APP30550 | | Account maintenance |
| Update your Schwab or Schwab One Account | APP36776 | | Account maintenance |
| Wire Transfer LOA | APP20201 | | Money movement |

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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