



Account Applications and New Data Fields Now Available on Liberty

The newly rebranded TCA by E*TRADE account applications will be available on Liberty starting on August 31, 2018. These applications will be pre-populated with shell account data for you to present to account owners for execution. These applications also have eSignature functionality.

Prior to this update, these account applications have only been available on the TCA by E*TRADE website and in LaserApp.

The rebranded account applications that will be available on Liberty include:

- Non-Qualified Account application
- Retirement Account application
- Qualified Plan application
- Trust Account application
- Business Account application

Of course, the overall process and flow for opening accounts remains the same. You will just be using the rebranded applications.

Changes you'll see on Liberty

New Anti-Money Laundering Fields

Account applications (Section 2) will now pre-populate with the government-required Anti-Money Laundering (AML) questions. You will be able to see the new AML questions, which are at the bottom of Liberty's Registration Steps in the Account Details section:

ANTI-MONEY LAUNDERING (AML)	
<i>Where will the assets to fund this account primarily come from?</i>	<i>What is the purpose and expected use of the account?</i>
<input type="text" value="Please Select"/>	<input type="text" value="Please Select"/>
<i>Other</i>	<i>Other</i>
<input type="text"/>	<input type="text"/>
<i>Industry in which the business operates</i>	
<input type="text" value="Please Select"/>	

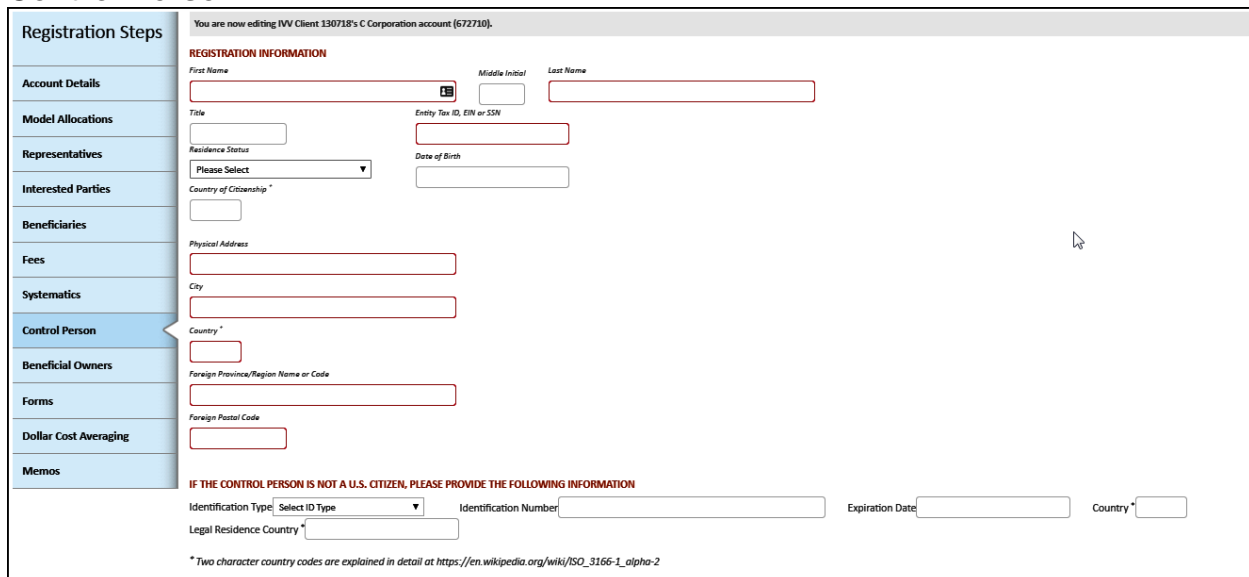
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*** Coming in September - Control Person and Beneficial Owners ***

For Trust accounts and Business accounts, Liberty will have tabs under Registration Steps referencing the Control Person and Beneficial Owners. These sections will only appear for the applicable account types.

The Trust Account application (Section 5) and Business Account application (Section 3) will pre-populate the Control Person and Beneficial Owners, as long as data fields are completed on Liberty.

Control Person

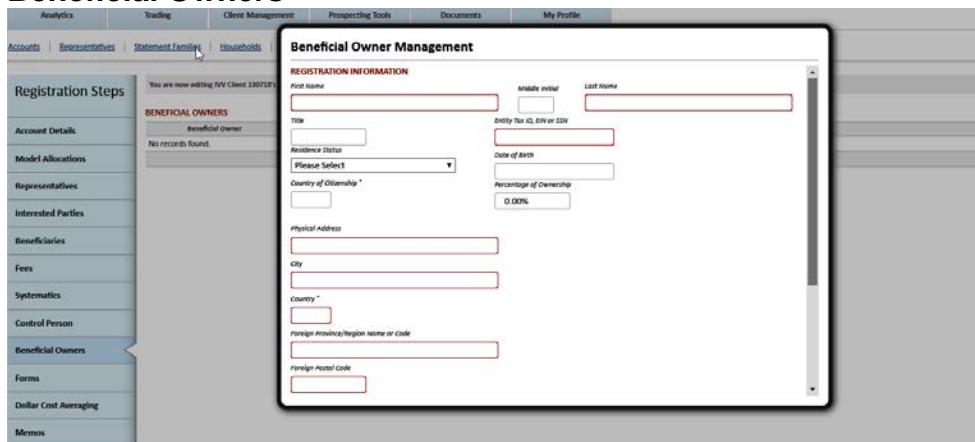


The screenshot shows the 'Control Person' registration form. On the left is a navigation menu with 'Control Person' selected. The main form area contains the following fields:

- REGISTRATION INFORMATION**
 - First Name, Middle Initial, Last Name
 - Title
 - Entity Tax ID, EIN or SSN
 - Residence Status (Please Select dropdown)
 - Date of Birth
 - Country of Citizenship *
- Physical Address**
 - Physical Address
 - City
 - Country *
 - Foreign Province/Region Name or Code
 - Foreign Postal Code
- IF THE CONTROL PERSON IS NOT A U.S. CITIZEN, PLEASE PROVIDE THE FOLLOWING INFORMATION**
 - Identification Type: Select ID Type dropdown
 - Identification Number
 - Expiration Date
 - Legal Residence Country *
 - Country *

* Two character country codes are explained in detail at https://en.wikipedia.org/wiki/ISO_3166-1_alpha-2

Beneficial Owners



The screenshot shows the 'Beneficial Owner Management' form. The left navigation menu has 'Beneficial Owners' selected. The form area contains the following fields:

- REGISTRATION INFORMATION**
 - First Name, Middle Initial, Last Name
 - Title
 - Entity Tax ID, EIN or SSN
 - Residence Status (Please Select dropdown)
 - Date of Birth
 - Country of Citizenship *
 - Percentage of Ownership (0.00% dropdown)
- Physical Address**
 - Physical Address
 - City
 - Country *
 - Foreign Province/Region Name or Code
 - Foreign Postal Code

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If you have questions or would like a demonstration to learn more about these new features, please contact your TCA by E*TRADE Relationship Manager.