Forms eligible for eSignature

eSignature allows you to send completed forms to your clients to review, electronically sign, and return to you for submission to Schwab. Electronic signatures can be accepted on a majority of new account applications, some maintenance forms, and certain managed account forms. The list of acceptable forms for eSignature is available in the table below. A list of ineligible forms can be found here.

Some forms are eligible for eSignature only in certain circumstances; a list of these forms can be found here.

Please note that all forms highlighted in blue in the table below are new forms available for eSignature.

Form category	Form
Account applications	▪ Account Application (Schwab One Personal Accounts) – APP13582* ▪ Account Application (Schwab One Trust Accounts) – APP35101* ▪ Company Retirement Account (CRA / Pension Trust) – APP10803 ▪ Custodial/Minor IRA Application – APP93414 ▪ Education Savings Account (ESA) Application – APP93352 ▪ Individual 401(k) Account Application – APP30718SI* ▪ IRA Account Application – APP10539† ▪ Managed Account Marketplace Account Application – APP20284 ▪ Managed Account Marketplace Account Application for Trusts – APP83332 ▪ Managed Account Marketplace IRA Application – APP20087 ▪ Managed Account Marketplace TAMP Account Application – APP20284SITMP ▪ Managed Account Marketplace TAMP Account Application for Trusts – APP83344 ▪ Managed Account Marketplace TAMP IRA Application – APP20087SITMP ▪ Managed Account Select/Access Account Application – APP21286 ▪ Managed Account Select/Access Account Application for Trusts – APP83555 ▪ Managed Account Select/Access IRA Application – APP21292 ▪ Schwab Charitable Account Application for Donor-Advised Fund Account – APP70550 ▪ Schwab One Account Application for Incorporated Organizations – APP62768* ▪ Schwab One Account Application for Non-Incorporated Organizations – APP65298* ▪ Schwab Qualified Retirement Plan (QRP) Participant Account Application – APP20218

Forms eligible for eSignature

Form category	Form
Account maintenance	▪ Account Application Addendum – APP20079 ▪ Account Closure Form (Close Account) – APP36078 ▪ Add Wire Authority with Custody to Existing Authorities – APP96567 ▪ Addendum to Cancel Rebill Request – REG78835 ▪ Addition to Household Request Form – APP26798SI ▪ Alternative Investment Billing Account Designation Form – APP57050 ▪ Alternative Investment OneSource Letter of Instruction – APP31788 ▪ Asset-Based Pricing to Transaction-Based Pricing – APP34236 ▪ Authorization to Bill Fees on Assets Held Outside of Schwab – APP72841 ▪ Beneficiary Designation Form (IRA Change Beneficiary / IRA Update Beneficiary) – APP12461 ▪ Certification of Trustee (Trust Accounts Only) – APP12437 ▪ Defined Benefit Plan Funding Proposal Worksheet – SLS25634 ▪ Designated Beneficiary Plan Agreement (Transfer on Death / TOD / DBP) – APP12439 ▪ ESA Designated Beneficiary/Authorized Person LOA – APP26288 ▪ Individual 401(k) Plan Adoption Agreement – REG30724 ▪ Individual 401(k) Plan Summary Plan Description – BDL52452 ▪ Investment Advisor Information Access – APP54180 ▪ IRA Account Application for use with Third Party Asset Managers – APP81944 ▪ IRA Rollover Designation – APP28028 ▪ Issuer Communications and Release of Information Form – APP20271 ▪ Limited Power of Attorney (Investment Advisor LPOA) – APP10504 ▪ Managed Account Asset Based Pricing Addendum to Account Applications and Agreements – APP20097* ▪ Managed Account Issuer Communications and Release of Information Form – APP21805 ▪ Managed Account Marketplace Money Manager Limited Power of Attorney (LPOA) – APP20372 ▪ Managed Account Marketplace Money Manager Termination Form – APP94685 ▪ Managed Account Marketplace TAMP Money Manager Limited Power of Attorney (LPOA) – APP67450 ▪ Managed Account Select/Access Acct Conversion & Manager Change Form – APP35260 ▪ Managed Account TAMP Asset-Based Pricing (ABP) Addendum – APP22150 ▪ Options Trading and Margin Application – APP10508 ▪ Prime Brokerage Amendment – APP12234 ▪ QRP Designation of Beneficiary(ies) – APP20222* ▪ Schwab Advisor Network Investor Acknowledgment – APP36946 ▪ Schwab Bank: Add Schwab Bank HYIC to your Schwab One Brokerage Account (Investor Checking) – APP32394 ▪ SEP-IRA Employer's Agreement with Schwab – APP20209 ▪ SIMPLE IRA Adoption Agreement – APP20100 ▪ SIMPLE IRA Basic Plan Document – REG31167 ▪ SIMPLE IRA Employer's Agreement with Schwab – APP20101

Forms eligible for eSignature

Form category	Form
	▪ Single Billing Account Designation Form – APP39730 ▪ Statement Bundling Letter of Authorization Form – APP23626 ▪ TAMP LPOA for Use with Third Party Asset Managers – APP88667 ▪ TAMP Schwab One Personal – APP91587 ▪ Third Party Representative Address Authorization – APP30550 ▪ Trade Confirmation Report Subscription Form – APP26966 ▪ Trade Error Gain Declination Letter of Authorization – APP63359 ▪ Update Your Schwab One Organization Account for Incorporated and Non-Incorporated Organizations – APP67998
Money movement	▪ Add Schwab Bank HYIC to your Schwab One Brokerage Account (Investor Checking) – APP88308* ▪ Authorization to Pay Fees to Investment Advisors – APP20315 ▪ BillPay Enrollment Form – APP20120 ▪ Charitable Gift Transfer Letter of Authorization – APP39630 ▪ Custodial Account Beneficiary Disbursement Form – APP37043 ▪ Custodial Account Distribution Form – APP20306 ▪ ESA Distribution Form – APP90829 ▪ Individual 401K Distribution Request Form – APP36151 ▪ Inherited IRA Account Application for Estate Beneficiary Form – APP92525 ▪ Inherited IRA Account Application for Individual Beneficiary – APP38899 ▪ Inherited IRA Account Application for Organization Beneficiary Form – APP92530 ▪ Inherited IRA Account Application for Trust Beneficiary Form – APP92526 ▪ IRA & ESA Divorce Transfer Form (New) – APP90843 ▪ IRA Distribution Form – APP12179 ▪ IRA Re-characterization or Excess Withdrawal Form – APP13618 ▪ Managed Account Marketplace Add or Change a Money Manager Form – APP93501 ▪ Managed Account Select/Access Dividend and Interest Payment Authorization Form – APP77339 ▪ Managed Account Select/Access Withdrawal Form – APP24900 ▪ MoneyLink – APP20124* ▪ Schwab Designated Beneficiary Plan Distribution Authorization Form – APP36983 ▪ SIMPLE IRA Contribution Transmittal Form – APP20102* ▪ Standing Instructions for Checks, Journals, and Domestic Wire Transfers (SLO) – APP56209 ▪ Tax Withholding Election Form for Individual Retirement Accounts (IRA TWE) – APP35724 ▪ Transfer Your Account – APP10864* ▪ Withdrawal Power and Trading Authorization Addendum to Limited Power of Attorney (LPOA) – APP33529
Managed accounts	▪ Managed Account Asset Based Pricing Addendum to Account Applications and Agreements – APP20097‡ ▪ Managed Account Issuer Communications and Release of Information Form – APP21805

Forms eligible for eSignature

Form category	Form
	▪ Managed Account Marketplace Account Application – APP20284* ▪ Managed Account Marketplace Account Application for Trusts – APP83332* ▪ Managed Account Marketplace Add or Change a Money Manager Form – APP93501* ▪ Managed Account Marketplace IRA Application – APP20087* ▪ Managed Account Marketplace Money Manager Limited Power of Attorney (LPOA) – APP20372* ▪ Managed Account Marketplace Money Manager Termination Form – APP94685 ▪ Managed Account Marketplace TAMP Account Application – APP20284SITMP* ▪ Managed Account Marketplace TAMP Account Application for Trusts – APP83344* ▪ Managed Account Marketplace TAMP IRA Application – APP20087SITMP* ▪ Managed Account Marketplace TAMP Money Manager Limited Power of Attorney (LPOA) – APP67450 ▪ Managed Account Select/Access Account Application – APP21286 ▪ Managed Account Select/Access Account Application for Trusts – APP83555 ▪ Managed Account Select/Access Acct Conversion & Manager Change Form – APP35260* ▪ Managed Account Select/Access Add or Change a Money Manager – APP42669 ▪ Managed Account Select/Access Delegation of Advisor Authorization – APP42625 ▪ Managed Account Select/Access Dividend and Interest Payment Authorization Form – APP77339 ▪ Managed Account Select/Access IRA Application – APP21292 ▪ Managed Account Select/Access Pay Income Form – APP77339 ▪ Managed Account Select/Access Withdrawal Form – APP24900 ▪ Managed Account TAMP Asset-Based Pricing (ABP) Addendum – APP22150‡
Forms that require an authorized person from your firm to sign	▪ Alternative Investment Asset Review Request Form – APP91364 ▪ Alternative Investment Custody Letter of Authorization Alternative Investment Letter of Authorization – APP47122AS ▪ Cancel Rebill Request (trading form) – APP77041 ▪ Cost Basis Edit Form – APP33369 ▪ Cost Basis Enrollment and Preferences Form – APP51203 ▪ Cost Basis Lot Specification Form – APP86057 ▪ Cost Basis Product Enrollment/Reporting Form – APP51202 ▪ Delink Request Form – APP22165 ▪ Dividend Reinvestment Form – APP36121 ▪ Dollar Cost Averaging Application – APP10855 ▪ Logo Request Form – APP21042 ▪ MA Connection/Marketplace Delegation of Advisor Authorities – APP25630 ▪ MA Select Gain/Loss Harvest Form – APP22149* ▪ MA Select/Access Investment Restrictions Form – APP21288 ▪ Managed Account Select/Access Add or Change a Money Manager – APP42669 ▪ Managed Account Select/Access Delegation of Advisor Authorization – APP42625 ▪ Management Fee Letter of Authorization – APP22302

Forms eligible for eSignature

Form category	Form
	▪ Management Fee Reversal Request Form for Non-Schwab Advisor Network Accounts - APP36092 ▪ Prime Brokerage Services Agreement (Investment Advisor) - APP12233 ▪ QRP Employer's Agreement with Schwab - APP20217 ▪ Request to Cancel Duplicate Paper Trade Confirmations - APP24052 ▪ SAN Fee Waiver for Clients Referred After 1/1/2007 - APP37038 ▪ SAN Fees Submission - APP23458 ▪ Schwab Advisor Network Direct Bill or Network Billed Adjustment Form - APP32482 ▪ Schwab Advisor Network Non-Schwab Custody Fees - APP32735 ▪ Schwab Advisor Network Request for Fee Correction - APP31815 ▪ SchwabAlliance.com Custom Views Advisor Enrollment and Preferences - APP62186 ▪ Self-Affirmation Agreement - APP31497 ▪ SEP-IRA Adoption Agreement - APP20210 ▪ Statement Preferences Form - APP39467 ▪ Step Up Cost Basis to Date of Death Request Form - APP69525
Institutional Intelligent Portfolios™ forms	▪ Beneficiary Designation Form (IRA Change Beneficiary/IRA Update Beneficiary) ▪ Investment Advisor Information Access
Schwab Bank® forms	▪ Schwab Bank: Add Schwab Bank HYIC to Your Schwab One Brokerage Account (Investor Checking)*
Advisor setup	▪ MoneyLink (ACH)* ▪ Options Trading and Margin Application

* This form is conditionally accepted with an eSignature. Exceptions and additional requirements may apply. See the table below for more information.

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

‡ A copy of the pricing agreement can be included in the electronic envelope.

Ineligible forms

Schwab will not accept eSignatures on the following forms:

- Forms requiring a witness signature or notary
- Handwritten forms or advisor-written letters of authorization
- Advisor forms or copies of advisor forms (advisor forms must be sent to clients for eSignature separately using the Advisor Agreements & Forms link on the Forms & Applications page)
- IRS Form W-8 or W-9
- Forms electronically signed using your own DocuSign account or other vendor's eSignature product (electronically signed outside of the Schwab Advisor Center® DocuSign tool)
- Forms eSigned outside of the designated signature fields
- Forms to open international accounts or domestic accounts with international elements

Forms conditionally eligible for eSignature

Schwab will accept eSignatures on the following forms only if additional requirements are met or if there are no exceptions:

Form	Exceptions or additional requirements
Individual 401(k) Account Application	This form is not available for eSignature when notarization is required.
Managed Account Marketplace Account Application	▪ 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.
Managed Account Marketplace Account Application for Trusts	This form is not available for eSignature when notarization is required.
Managed Account Marketplace IRA Account Application	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.
Managed Account Marketplace TAMP Account Application	▪ 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.
Managed Account Marketplace TAMP Account Application for Trusts	This form is not available for eSignature when notarization is required.
Managed Account Marketplace TAMP IRA Application	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.
Managed Account Select/Access Account Application	▪ 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.
Managed Account Select/Access Account Application for Trusts	This form is not available for eSignature when notarization is required.
Managed Account Select/Access Gain/Loss Harvest Form	You cannot eSign on behalf of the client. If you wish to sign the form, you must have the proper authorizations on file.
Managed Account Select/Access Investment Restrictions Form	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.

Forms eligible for eSignature

Form	Exceptions or additional requirements
Managed Account Select/Access IRA Application	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.
Managed Account Marketplace Add or Change a Money Manager Form	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.
Schwab Bank: Add Schwab Bank HYIC to Your Schwab One Brokerage Account (Investor Checking)	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.
Schwab MoneyLink Approved Electronic Funds Transfer [MoneyLink (ACH)]	A copy of a voided check, or alternative acceptable documentation for accounts without checks, must be included in the electronic envelope.
Schwab One Account Application for Incorporated Organizations	▪ 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.
Schwab One Account Application for Non-Incorporated Organization	▪ 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.
Schwab One Account Application for Personal Accounts	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.
Schwab One Account Application for Trust Accounts	This form is not available for eSignature when notarization is required.
QRP (Schwab Qualified Retirement Plan) Designation of Beneficiary(ies)	This form is not available for eSignature when notarization is required.
SIMPLE IRA Contribution Transmittal Form	▪ 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.

Forms eligible for eSignature

Form	Exceptions or additional requirements
Transfer of Account Form Instructions (TOA/Account Transfer)	▪ 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.