OCS Transition Paperwork — Required Forms Checklist

This is a plain-language guide for reps to know exactly which forms are needed for each client/account being transitioned to Oakwood Capital Securities, Inc.

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1. Every account needs these, always

For every account, regardless of company or tax status:

- [ ] New Account Card (Oakwood Capital Securities New Account Profile Form)
- [ ] OCS Customer Agreement
- [ ] W-9
- [ ] Copy of Driver's License for every account owner (primary and joint/secondary, if applicable)

Important grouping rule: You only need ONE New Account Card per company, per tax status for a given client — not one per individual account.

> *Example: If a client has two Individual accounts and one Traditional IRA, all at Franklin Templeton, that's 2 Account Cards total (one for the Individual accounts combined, one for the IRA) — not 3.*

The Customer Agreement and W-9 are needed once per client (not once per account or per company) — they cover the client's entire relationship with OCS.

The driver's license copy is needed once per person (not once per account) — if the same client has five accounts, you only need one copy of their license on file.

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2. Broker-Dealer (BD) Change Forms

For every mutual fund company or insurance carrier where the client holds an account (other than RBC — see Section 3), you need one BD Change form for that specific company.

- This is one form per company per client — if a client has three accounts at the same fund company, that's still just one BD change form listing all three account numbers.
- If a client holds accounts at multiple companies (e.g., Franklin Templeton and Jackson National), you need a separate BD Change form for each company — the exact form required depends on which company issued the account, since each carrier/fund company has its own form.
- Every company has its own specific form — always use that company's form, not a generic substitute.

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3. RBC Accounts — Specific Requirements

RBC accounts need a different, more detailed set of paperwork than the BD Change forms above. What's required depends on the type of account:

3a. Individual and Joint (JTWROS) accounts

- [ ] Account Transfer Form
- [ ] ACH Form
- [ ] TOD (Transfer on Death) Form

3b. IRA accounts (Traditional, Rollover, Simple, Roth, or SEP)

- [ ] Account Transfer Form
- [ ] ACH Form
- [ ] IRA Adoption Agreement — use the version that matches the specific IRA type:
- Traditional / Rollover / Simple → standard IRA Adoption Agreement
- Roth → Roth IRA Adoption Agreement
- SEP → SEP IRA Adoption Agreement
- [ ] On-Demand Distribution Request

3c. Trust accounts

- [ ] Account Transfer Form
- [ ] ACH Form
- [ ] Certification of Investment Powers

Note: The Account Transfer Form and ACH Form are needed for every RBC account type (Individual, Joint, IRA, and Trust alike) — only the additional forms change based on account type, per the breakdown above.

Like the Account Card rule in Section 1, RBC paperwork is grouped once per tax status per client — a client with two Individual RBC accounts needs one set of RBC paperwork for those two accounts together, not two separate sets.

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4. Trust, Entity, and Estate Accounts — Additional Documents Required

These account types require extra supporting documents beyond the standard paperwork in Section 1, in addition to any BD Change or RBC forms that apply per Sections 2 and 3.

4a. Trust accounts

- [ ] Copy of the Trust document

4b. Entity accounts

- [ ] Articles of Incorporation (or another document) showing the signee is an authorized signer
- [ ] Certification Regarding Beneficial Owners of Legal Entity Customers form — must be included in the entity's New Account packet

4c. Estate accounts

- [ ] Copy of the Death Certificate
- [ ] Court documents showing who the Executor is