



## Collateralized Loan Supplemental Application

### 1 APPLICANT INFORMATION

The intended use or purpose of this Private Banking account/product is for **Collateralized Lending**.

Applicant

Applicant

Applicant

Applicant

Applicant

Applicant

### 2 LINE OF CREDIT REQUEST INFORMATION

Requested Amount \$\_\_\_\_\_ OR ☐ Maximum amount available based on Collateral Accounts

☐ Revolving demand line of credit with a floating rate

Desired Date of Closing: \_\_\_\_\_

Primary Purpose for the line of credit (select one):

- ☐ General Liquidity    ☐ Agricultural Equipment    ☐ Business Capital Injection    ☐ Business Investment    ☐ Estate Planning  
☐ Real Estate Acquisition    ☐ Fund Education Needs    ☐ Fund Large Purchase    ☐ Fund Personal Cash Flow Needs    ☐ Purchase Residential Real Estate  
☐ Refinance/Consolidate Debt    ☐ Refinance Pledged Asset Loans/Margin Loans at Other Institution

Are all or any funds going to pay off existing securities-based loans or lines of credit? ☐ Yes ☐ No If yes: Approximate payoff amount \$\_\_\_\_\_

Name of Lender: \_\_\_\_\_ Phone Number: \_\_\_\_\_ Email: \_\_\_\_\_

Do you have any other credit faculties with this lender? ☐ Yes ☐ No If yes, please describe: \_\_\_\_\_

### 3 COLLATERAL INFORMATION

Account Number

Account Registration (e.g. single, JTWROS, etc.)

Custodian

Account Name/Title

Are there any regular monthly distributions from these accounts? ☐ Yes ☐ No If yes, what is the amount and payee? \$\_\_\_\_\_ Amount Payee

*If the Collateral Account is in the name of a Trust, provide the information below regarding the Trust.*

☐ Revocable Trust (Please contact TD Bank for pledging Irrevocable Trust)

Name of Trust

Name(s) of Trustee(s)

Tax ID/SSN

Principal Residence Address (Street)

State Where Organized

Principal Residence Address (City, State, ZIP)

Trustee Phone Number

Account Number

Account Registration (e.g. single, JTWROS, etc.)

Custodian

Account Name/Title

Are there any regular monthly distributions from these accounts? ☐ Yes ☐ No If yes, what is the amount and payee? \$\_\_\_\_\_ Amount Payee

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Trustee Phone Number

### 3 COLLATERAL INFORMATION - CONTINUED

Account Number	Account Registration (e.g. single, JTWROS, etc.)	Custodian
Account Name/Title		
Are there any regular monthly distributions from these accounts? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, what is the amount and payee? \$ _____		
	Amount	Payee

If the Collateral Account is in the name of a Trust, provide the information below regarding the Trust.

<input type="checkbox"/> Revocable Trust (Please contact TD Bank for pledging Irrevocable Trust)	
Name of Trust	
Name(s) of Trustee(s)	Tax ID/SSN
Principal Residence Address (Street)	State Where Organized
Principal Residence Address (City, State, ZIP)	Trustee Phone Number

Account Number	Account Registration (e.g. single, JTWROS, etc.)	Custodian
Account Name/Title		
Are there any regular monthly distributions from these accounts? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, what is the amount and payee? \$ _____		
	Amount	Payee

If the Collateral Account is in the name of a Trust, provide the information below regarding the Trust.

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Principal Residence Address (Street)	State Where Organized
Principal Residence Address (City, State, ZIP)	Trustee Phone Number

Account Number	Account Registration (e.g. single, JTWROS, etc.)	Custodian
Account Name/Title		
Are there any regular monthly distributions from these accounts? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, what is the amount and payee? \$ _____		
	Amount	Payee

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<input type="checkbox"/> Revocable Trust (Please contact TD Bank for pledging Irrevocable Trust)	
Name of Trust	
Name(s) of Trustee(s)	Tax ID/SSN
Principal Residence Address (Street)	State Where Organized
Principal Residence Address (City, State, ZIP)	Trustee Phone Number



#### 4 ACH INSTRUCTIONS TO PAY MONTHLY INTEREST

Automatic Payment Deduction

Bank Name

Routing ABA #

Account Name

Account Number

☐ Please check this box if you would like for disbursements from your requested line of credit to be transferred into this same account.

#### 5 POLITICALLY EXPOSED FOREIGN OR DOMESTIC PERSON, OR HEAD OF INTERNATIONAL ORGANIZATION

Please review the definitions below. Do you qualify as a Politically Exposed Foreign Person, a Politically Exposed Domestic Person, or a Head of International Organization? ("You" refers to any Applicant(s)) ☐ Yes ☐ No

If yes, please describe:

**Politically Exposed Foreign Person ("PEFP")**, referred to as a Senior Foreign Political Figure ("SFPF") in U.S. regulation, means

- A current or former:
- Senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not);
- Senior official of a major foreign political party;
- Senior executive of a foreign government-owned commercial enterprise;
- A corporation, business, or other entity that has been formed by, or for the benefit of, any such individual;
- An immediate family member (including spouses, parents, siblings, children, and a spouse's parents and siblings) of any such individual; or
- A person who is widely and publicly known (or is actually known by the bank) to be a close associate of such individual.

**Politically Exposed Domestic Persons ("PEDPs")** are individuals who are or have been entrusted domestically with prominent public functions, for example Heads of State or of Government, senior politicians, senior government officials, senior judicial officials or senior military officials, senior executives of state owned corporations, and senior political party officials. The definition of PEPs is not intended to cover middle ranking or more junior individuals in the foregoing categories. The PEDP definition may include immediate family members or close associates

**Head of International Organizations (HIOs)** are individuals who hold the position as either:

- Head of an international organization established by the government of states;
- Head of an institution established by an international organization; or
- Head of an international organization or head of an institution established by an international organization refers to the primary person who leads the organization, i.e. a president or CEO

The HIO definition includes immediate family members or close associates

Note: For HIOs, there is no requirement for an institution established by an international organization to operate internationally. It is possible that an institution that has been established by an international organization only operates domestically, or in one jurisdiction.

#### 6 SUPPORT DOCUMENTS

For all applicants:

- ☐ Copy of most recent account statement for all Collateral Accounts.
- ☐ If applicant(s) is non-resident or temporary resident alien, please provide a copy of W-8 BEN.

If any Collateral Account is in the name of a revocable trust:

- ☐ Copy of Trust Agreement, and all amendments thereto, certified by the Trustee(s) for trust, reflecting that (i) the trustee(s) has/have the power to purchase or refinance property, borrow money and pledge assets on behalf of the trust; (ii) the trustee(s) has/have the power to control the assets of the trust; and (iii) the trustee(s) has/have the authority to guarantee or hypothecate assets (if not a borrower).



SECURITIES AND INVESTMENTS		
NOT FDIC INSURED	NO BANK GUARANTEE	MAY LOSE VALUE


The TD Bank, N.A. Collateral Loan offering is provided by TD Bank, N.A., member FDIC (TD Bank). The TD Bank Collateral Loan offering requires a securities account at TD Ameritrade, Inc., member FINRA/SIPC and TD Ameritrade Clearing, Inc., member FINRA/SIPC (collectively, TD Ameritrade) and sufficient eligible collateral to support a credit facility of \$150,000. TD Bank and TD Ameritrade are affiliated through their parent firms, but are separate entities. Neither TD Bank nor TD Ameritrade is responsible for the products and services of the other.

All securities and accounts are subject to eligibility requirements. Eligible securities are generally taxable readily marketable securities traded on a major exchange. Tax deferred assets are not eligible. All loans and lines of credit are subject to credit approval, verification, and collateral evaluation. Certain restrictions and terms and conditions apply. Each security will have its own advance rate. TD Bank may change its advance rates and collateral maintenance requirements at any time. A complete description of the loan terms can be found in the loan agreement.

Borrowing with securities as collateral involves certain risks and is not suitable for everyone. If the market value of your pledged securities declines below required levels, you may be required to pay down your loan or line of credit, pledge additional cash or securities in order to maintain it, or TD Bank may require the sale of some or all of the securities in your account to meet a collateral call without notice to the client. The client is not entitled to an extension of time on the collateral call and the client is not entitled to choose which securities or other assets will be sold. The client can lose more funds than deposited into the collateral account. The sale of your pledged securities may cause you to suffer adverse tax consequences. You should discuss the tax implications of pledging securities as collateral with your tax advisor. TD Bank, their affiliates, and employees do not provide legal or tax advice.

A complete assessment of your individual circumstances is needed when considering a securities-based loan. Financing real estate with a securities-based loan or line of credit carries risk and may not be appropriate for your needs.

Please read all loan and line of credit documents carefully. The proceeds from your TD Bank securities-based loans and lines of credit may not be used to purchase additional securities, carry or trade securities, or repay debt incurred to purchase, carry or trade securities. Securities held in a retirement account cannot be used as collateral to obtain a loan. Securities purchased in a pledged account must meet collateral eligibility requirements.

TD Bank, N.A.  
Member FDIC  
Equal Housing Lender 

TD Ameritrade, Inc.  
Member FINRA/SIPC  
TD Ameritrade Clearing, Inc.