

# Green Alpha Advisors, LLC

Money Management for Environmentally Focused Capital



## Sierra Club Green Alpha Portfolio

### Charles Schwab Managed Account Application Instructions

#### Section 1: Designation of Money Manager

- Skip this section, Green Alpha Advisors will complete this for you.

#### Section 2: Account Registration

- Select appropriate account type (individual, joint, etc)

#### Section 3: Trust Information – Trust Accounts Only

- This section is for trust accounts only, skip for all other account types
- For trust accounts, please select appropriate trust type and fill in trust info

#### Section 4: Account Holder Information

- Fill in account holder info and answer required regulatory questions (yes/no)
- If you are a US citizen, "Identification Type" information is optional
- If account has additional holder to be listed on account registration, enter additional account holder info

#### Section 5: Additional Account

- This section does not apply in most cases, skip this section

#### Section 6: Optional Third-Party Access to Account Information

- If you would like any other party (such as an accountant or beneficiary) to receive your account information, please complete this section, otherwise you may skip this section

#### Section 7: Choose Your Cash Feature

- Select your investment choice for any cash balances that may be in your account

#### Section 8: Advisor and Manager Authorizations

- In most cases, account holder(s) should initial the "Trading Authorization" option
- If you would like the ability to instruct Green Alpha to make disbursements to you (rather than you contacting Schwab directly), then account holder(s) should initial the "Trading Authorization & Disbursement" option

#### Section 9: Issuer Communications and Related Actions

- Unless otherwise instructed, Green Alpha Advisors will vote proxies and handle other corporate actions on your behalf (this saves you from a high volume of shareholder mailings)

- Select the 2<sup>nd</sup> option under “Managed Accounts” (Advisor) in order to have Green Alpha Advisors fulfill this role on your behalf
- You may skip the “Additional Account” election

Section 10: Electronic Delivery (eDelivery) Enrollment

- Please provide your email address
- Enrollment in eDelivery is required to qualify for lower trading costs
- E-delivery saves paper and eliminates shipping

Section 11: Trade Confirmation Report Enrollment

- Skip this section, you will already receive trade confirmations electronically via eDelivery

Section 12: Trust Certification – Trust Accounts Only (As with Section 3)

- No actions required

Section 13: Authorization to Open Account(s)

- All account holders must sign, print name, and date

Section 14: Notarization of Trustee Signatures

- Only required for Trust Accounts

Section 15: Confirmation Notice Authorization

- Skip this section, all trades will be placed at Schwab and you will have access to trade confirmations via eDelivery

Section 16: Nominate a Successor Custodian-Custodial Account Only

- Skip this section, not applicable
- The custodian for accounts in the Sierra Club Green Alpha Portfolio will be Charles Schwab, Green Alpha Advisors will never have custody of your assets

Appendix A: Funding Instructions

- To be completed only if you are funding your Sierra Club Green Alpha Portfolio account with assets from another Schwab account
- If you are funding from another Schwab account, complete Appendix A, sign, enter name, and date

Account Application Agreement:

- These final pages of the application relate to the terms between you and Schwab
- Please retain for you files (you do not need to send these pages to us)

Once you have completed the application, please print it and sign in the appropriate areas per the instructions above. Then submit the application to Green Alpha Advisors via email (scanned with signatures), fax or mail:

**Green Alpha Advisors, LLC**

Attn: Jeremy Deems

2155 Kalmia Circle

Boulder, CO 80304

Tel: 303-993-7856

Fax: 303-568-0130

[jeremy@greenalphaadvisors.com](mailto:jeremy@greenalphaadvisors.com)