Rep ID:
Client WEG ID:

Wealth Enhancement Group®

## New Advisory Account Information:

Master Account Number: ________________

Account Registration (Type): ________________
Source of Funds: ________________________
Approximate Value: ____________________
Add ACH?: Yes ☐ No ☐
Online Access: Yes ☐ No ☐
ACAT?: Yes ☐ No ☐

Account Registration (Type): ________________
Source of Funds: ________________________
Approximate Value: ____________________
Add ACH?: Yes ☐ No ☐
Online Access: Yes ☐ No ☐
ACAT?: Yes ☐ No ☐

Discretion? Yes ☑ No ☐

Prudent Process Reason(if applicable):

_______________________________________________

*Source of Funds. if funded by a 401(k) – prudent process must be completed (advisor will receive a notification to approve)

Client Name: Mark T Hazel
Social: 039-42-0131
DOB: 03/20/1958
Citizenship: US
Address: 124 Whittier Rd, Rochester NY 146
Home Number: ________________
Mobile Number 585-281-3665
Email: mthazel2151@yahoo.com

**Employment Info** **Retired?** Yes ☑ No ☐

Employer Name:

________________________________
Occupation: ________________________
Years employed: ________________________
Employer Address: ________________________

________________________________

**Driver's License:** (will need DL copy - front and back)

Number: 258309431
State: NY
Issue Date: 04/05/2024
Expiration Date: 03/20/2026

Trusted Contact? Yes ☑ No ☐

If yes, provide:
Name: Rachel M Hazel
Relationship: Daughter
Phone Number: 585-415-4639
Email: rachelmhazel@yahoo.cor
Address: 5747 brockport spencer

Joint Client Name: ________________________
Social: ________________________
DOB: ________________________
Address: ________________________
Home Number: ________________________
Mobile Number ________________________
Email: ________________________
Citizenship: US

**Employment Info** **Retired?** Yes ☐ No ☐

Employer Name:

________________________________
Occupation: ________________________
Years employed: ________________________
Employer Address: ________________________

________________________________

**Driver's License:**
Number: 258309431
State: NY
Issue Date: 04/05/2024
Expiration Date: 03/20/2026

Trusted Contact? Yes ☐ No ☐

If yes, provide:
Name: Rachel M Hazel
Relationship: Daughter
Phone Number: ________________
Email: ________________
Address: 5747 brockport spencer

Household ID: ______________________________

Advisor ID: ___________________________

Investment Objectives (Choose One): *See last page for details

- ☐ Long Term Growth
- ☐ Capital Appreciation
- ☐ Moderate Growth
- ☑ Growth and Income
- ☐ Conservative Growth and Income
- ☐ Income with Capital Preservation

Investment Variance: ☐ Yes ☐ No If yes: ____________________________________________

Special Instructions/Restrictions: ☐ Yes ☐ No If yes: __________________________________

**Primary Source Of Wealth:**

- ☐ 9YLJfƶèYŜyǘ
- ☑ Investments
- ☐ Sale of property
- ☐ Sale of business
- ☐ Foreign assets
- ☐ Gift
- ☑ Inheritance
- ☐ Divorce
- ☐ Lottery
- ☐ Loan
- ☐ Settlement

Household Annual Income: $___________________

Household Liquid Net Worth: $_________________

Household Net Worth: $____________________

Notes For Suitability:

_____________________________________________________________________________________________________

_____________________________________________________________________________________________________

_____________________________________________________________________________________________________

_____________________________________________________________________________________________________

_____________________________________________________________________________________________________

____________________________________________________________________________________________________

Wealth Enhancement Group®

Tax Bracket: single $11,000 - $44,725

Overall Inv. Experience (Years): ____________________

Time Horizon:

- [ ] 1-3 Years
- [ ] 3-5 Years
- [x] 5-10 Years
- [ ] More than 10 Years

Liquidity Needs: Yes [x] No [ ] *Will client need access to $ for special purchase? ex: pay mortgage off, Car note, etc.

If yes: emergencies

Alternate Billing: Yes [ ] No [ ] *Set billing to different account

If yes, provide account number:

____________________________________________

Annual Fee: ____________________________

Billing Exclusions: Yes [ ] No [ ]

If yes:

____________________________________________

Billing Method:

- [ ] Advance
- [ ] Arrear
- [ ] 3rd Party

Billing Frequency:

- [ ] Quarterly
- [ ] Monthly

Trading Program:

- [ ] Advisor Managed/ Advisor Traded
- [ ] WEAS Managed/ Traded
- [ ] No Model/ No Fee *Courtesy account

| 2023 Tax Rates & Brackets | | | | |
|---|---|---|---|---|
| Taxable Income Bracket ($) | Base Tax ($) | Plus | Marginal Tax Rate | Of the $ Over |
| **Married Filing Joint & Qualifying Widower** | | | | |
| 0 – 22,000 | 0 | + | 10% | 0 |
| 22,000 - 89,450 | 2,200 | + | 12% | 22,000 |
| 89,450 - 190,750 | 10,204 | + | 22% | 89,450 |
| 190,750 - 364,200 | 32,580 | + | 24% | 190,750 |
| 364,200 - 462,500 | 74,208 | + | 32% | 364,200 |
| 462,500 - 693,750 | 105,664 | + | 35% | 462,500 |
| 693,750 + | 186,601 | + | 37% | 693,750 |
| **Single** | | | | |
| 0 – 11,000 | 0 | + | 10% | 0 |
| 11,000 - 44,725 | 1,100 | + | 12% | 11,000 |
| 44,725 - 95,375 | 5,147 | + | 22% | 44,725 |
| 95,375 - 182,100 | 16,290 | + | 24% | 95,375 |
| 182,100 - 231,250 | 37,104 | + | 32% | 182,100 |
| 231,250 - 578,125 | 52,832 | + | 35% | 231,250 |
| 578,125 + | 174,238 | + | 37% | 578,125 |
| **Married Filing Separately** | | | | |
| 0 – 11,000 | 0 | + | 10% | 0 |
| 11,000 - 44,725 | 1,100 | + | 12% | 11,000 |
| 44,725 - 95,375 | 5,147 | + | 22% | 44,725 |
| 95,375 - 182,100 | 16,290 | + | 24% | 95,375 |
| 182,100 - 231,250 | 37,104 | + | 32% | 182,100 |
| 231,250 - 346,875 | 52,832 | + | 35% | 231,250 |
| 346,875 + | 93,300 | + | 37% | 346,875 |
| **Head of Household** | | | | |
| 0 – 15,700 | 0 | + | 10% | 0 |
| 15,700 - 59,850 | 1,570 | + | 12% | 15,700 |
| 59,850 - 95,350 | 6,868 | + | 22% | 59,850 |
| 95,350 - 182,100 | 14,678 | + | 24% | 95,350 |
| 182,100 - 231,250 | 35,498 | + | 32% | 182,100 |
| 231,250 - 578,100 | 51,226 | + | 35% | 231,250 |
| 578,100 + | 172,623 | + | 37% | 578,100 |
| **Trusts & Estates** | | | | |
| 0 – 2,900 | 0 | + | 10% | 0 |
| 2,900 – 10,550 | 290 | + | 24% | 2,900 |
| 10,500 - 14,450 | 2,126 | + | 35% | 10,550 |
| 14,450 + | 3,491 | + | 37% | 14,450 |

**Please complete the following beneficiary information**

Wealth Enhancement Group®

Beneficiary Full Name: ______________________________ Primary ☐
Social: ______________________________ Contingent ☐
Date of Birth: 03/20/1958
Primary or Contingent: ______________________________
Percentage: ______________________________
Relationship: ______________________________

Beneficiary Full Name: ______________________________ Primary ☐
Social: ______________________________ Contingent ☐
Date of Birth: ______________________________
Percentage: ______________________________
Relationship: ______________________________

Beneficiary Full Name: ______________________________ Primary ☐
Social: ______________________________ Contingent ☐
Date of Birth: ______________________________
Percentage: ______________________________
Relationship: ______________________________

Beneficiary Full Name: ______________________________ Primary ☐
Social: ______________________________ Contingent ☐
Date of Birth: ______________________________
Percentage: ______________________________
Relationship: ______________________________

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**Prudent Process Options:**

- Over 50, No Dist. Capability
- Nearing 59 ½, No Dist. Ca...
- Limited Range of Investme...
- Privacy or Term Plan

- Prefers FA Advice & Consult
- More Frequent Monitoring...
- Lifetime Income Options
- Planning Services Desired

- Planning Services Desired
- Advisor Program
- "Stretch" an IRA
- Asset Consolidation

**Investment Policy Statement / Risk Tolerance:**

The Investment Policy Statement (IPS) Drift will be monitored by the Supervision team monthly using a list view of the households that appear outside of the acceptable drift percentages (Minimum – 20; Maximum +20).

| Investment Objective Name | IPS Equity Value | Acceptable Min HH Equity % | Acceptable Max HH Equity % |
|---|---|---|---|
| Income with Capital Preservation | 20% | 0% | 40% |
| Conservative Growth & Income | 40% | 20% | 60% |
| Growth & Income | 60% | 40% | 80% |
| Moderate Growth | 80% | 60% | 100% |
| Capital Appreciation | 90% | 70% | 100% |
| Long Term Growth | 100% | 80% | 100% |

****Note:*** Table is based off an acceptable IPS Drift range of -20% to 20%. Acceptable min and max household equity values will change based on the acceptable IPS Drift range.