

New Advisory Account Information:

Rep ID:
Client WEG ID:



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

Client Name: _____

Social: _____

DOB: _____

Citizenship: _____

Address: _____

Home Number: _____

Mobile Number: _____

Email: _____

Employment Info

Retired? Yes No

Employer Name: _____

Occupation: _____

Years employed: _____

Employer Address: _____

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

Number: _____

State: _____

Issue Date: _____

Expiration Date: _____

Trusted Contact? Yes No

If yes, provide:

Name: _____

Relationship: _____

Phone Number: _____

Email: _____

Address: _____

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)

Joint Client Name: _____

Social: _____

DOB: _____

Address: _____

Home Number: _____

Mobile Number: _____

Email: _____

Citizenship: _____

Employment Info

Retired? Yes No

Employer Name: _____

Occupation: _____

Years employed: _____

Employer Address: _____

Driver's License:

Number: _____

State: _____

Issue Date: _____

Expiration Date: _____

Trusted Contact? Yes No

If yes, provide:

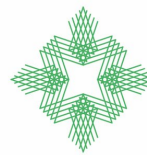
Name: _____

Relationship: _____

Phone Number: _____

Email: _____

Address: _____



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Household ID: _____

Advisor ID: _____

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

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

Investment Variance: Yes No If yes: _____

Special Instructions/Restrictions: Yes No If yes: _____

Primary Source Of Wealth:

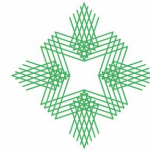
- | | | |
|--|--------------------------------------|----------------------------------|
| ☐ 9ΨμΡŪЫΨ\$ΩŪ | ☐ Foreign assets | ☐ Lottery |
| ☐ Investments | ☐ Gift | ☐ Loan |
| ☐ Sale of property | ☐ Inheritance | ☐ Settlement |
| ☐ Sale of business | ☐ Divorce | |

Household Annual Income: \$ _____

Household Liquid Net Worth: \$ _____

Household Net Worth: \$ _____

Notes For Suitability:



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Tax Bracket: _____

Overall Inv. Experience (Years): _____

Time Horizon:

- ☐ 1-3 Years
- ☐ 3-5 Years
- ☐ 5-10 Years
- ☐ More than 10 Years

Liquidity Needs: Yes No

*Will client need access to \$ for
special purchase?
ex: pay mortgage off, Car note, etc.

If yes:

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

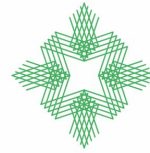
Billing Frequency:

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



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Please complete the following beneficiary information

Beneficiary Full Name: _____ Primary
Social: _____
Date of Birth: _____ Contingent
Primary or Contingent: _____
Percentage: _____
Relationship: _____

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

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

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

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
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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.