

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

Discretion? Yes No

Prudent Process Reason(if applicable):

Account Registration (Type): _____
Source of Funds: _____
Approximate Value: _____
Add ACH?: Yes No
Online Access: Yes No
ACAT?: Yes No

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

Client Name: _____
Social: _____
DOB: _____
Citizenship: _____
Address: _____
Home Number: _____
Mobile Number: _____
Email: _____

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

Employment Info Retired? Yes No

Employment Info Retired? Yes No

Employer Name: _____
Occupation: _____
Years employed: _____
Employer Address: _____

Employer Name: _____
Occupation: _____
Years employed: _____
Employer Address: _____

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

Driver's License:

Number: _____
State: _____
Issue Date: _____
Expiration Date: _____

Number: _____
State: _____
Issue Date: _____
Expiration Date: _____

Trusted Contact? Yes No

Trusted Contact? Yes No

If yes, provide:
Name: _____
Relationship: _____
Phone Number: _____
Email: _____
Address: _____

If yes, provide:
Name: _____
Relationship: _____
Phone Number: _____
Email: _____
Address: _____



Household ID: _____

Advisor ID: _____

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

- | | | |
|--------------------------------------------|---------------------------------------------------------|-----------------------------------------------------------|
| <input type="radio"/> Long Term Growth | <input type="radio"/> Conservative Growth
and Income | <input type="radio"/> Income with Capital
Preservation |
| <input type="radio"/> Capital Appreciation | | |
| <input type="radio"/> Moderate Growth | | |
| <input type="radio"/> Growth and Income | | |

Investment Variance: Yes No If yes: _____

Special Instructions/Restrictions: Yes No If yes: _____

Primary Source Of Wealth:

- | | | |
|----------------------------------------|--------------------------------------|----------------------------------|
| <input type="radio"/> - | <input type="radio"/> Foreign assets | <input type="radio"/> Lottery |
| <input type="radio"/> Investments | <input type="radio"/> Gift | <input type="radio"/> Loan |
| <input type="radio"/> Sale of property | <input type="radio"/> Inheritance | <input type="radio"/> Settlement |
| <input type="radio"/> Sale of business | <input type="radio"/> Divorce | |

Household Annual Income: \$ _____

Household Liquid Net Worth: \$ _____

Household Net Worth: \$ _____

Notes For Suitability:



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



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
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 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

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.