New Client Information Sheet

	Account Holder #1	Account Holder #2
Legal Name		
Preferred Greeting/Nickname		
Mailing Address *(if P.O. Box, also provide legal address)*		
Residence: Own or Rent?		
Date of Birth		
Social Security Number		
Email Address		
Home Phone		
Cell Phone		
Marital Status		
Employer Name		
Occupation		
Annual Income (Approx.)		
Net Worth (Approx.)		
Tax Bracket (Approx.)		
Other Investments (Approx.)		
Number of Dependents		

Put An "X" In The Box That Reflects Your Experience With Each Investment Type	Account Holder #1			Account Holder #2		
	< 1 Year	1 – 5 Years	5+ Years	< 1 Year	1 – 5 Years	5+ Years
Stocks						
Bonds						
Options						
Mutual Funds						
Annuities						

All Paperwork Is Sent via DocuSign for Electronic Signature. Check Box on Right to Request it be Sent by Regular Mail instead: ☐

Optional: Attorney & Contact Info	
Optional: Accountant & Contact Info	

If Opening An Inherited (Beneficiary) IRA – Please Provide The Following:

Decedent's Date of Death	Decedent's Date of Birth	Decedent's Prior Year-End Account Balance	Do You Prefer To Receive IRS Required Minimum Distributions (RMDs) Monthly or Annually?	What Date Do You Prefer To Receive Your IRS RMDs Going Forward?	**Also Required:** Copy Of Death Certificate

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YOUR BENEFICIARY INFORMATION

Primary or Contingent?	%	Legal Name	Relationship	Social Security #	Date of Birth	Phone Number	Email Address	Per Stirpes?*

*Per Stirpes - Legal term meaning that if an intended beneficiary passes away, the deceased's intended share shall pass to that deceased's legal heirs accordingly

OPTIONAL ELECTION TO ADD A TRUSTED CONTACT

Per FINRA Rule 4512, we are requesting that you consider adding a Trusted Contact to each of your account(s). A Trusted Contact is a person (not living in your home), that you name, whom we can contact for several reasons, including but not limited to concerns of possible fraud or if we are unable to reach you after repeated attempts. Any information shared with a Trusted Contact will be **limited**, and the Trusted Contact **does not** have authority over a customer's account. FINRA Rule 4512(a)(1)(F) requires that a Trusted Contact be a person age 18 or older. To DECLINE adding a Trusted Contact to your account(s), simply leave the following information blank, or write-in "decline".

	TRUSTED CONTACT FOR ACCOUNT HOLDER #1	TRUSTED CONTACT FOR ACCOUNT HOLDER #2
Legal Name		
Relationship to Account Holder		
Email		
Phone		

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