Account Considerations

Account Number	Account Name
(Office Use Only)	

To Update Investment Objective or Investment Profile Information, please use the Account Update Service Request. Client Mgmt>Account Update>Account Maintenance

Additional Account Considerations (Your financial advisor / financial professional considered the following information in determining the account type recommendation.)

Does the client have previous investment advisory experience? ☐ Yes ☐ No

Did you consider reasonably available alternatives to the account type selected for the client? ☐ Yes ☐ No

Have you considered the risks, rewards, and costs of the account and any features selected for the client? ☐ Yes ☐ No

After considering all factors applicable to an account type recommendation, what preferences were identified as most important to the client? (Under each column you may select up to one preference)

☐ Transactional recommendations	☐ Commissions/transactional charges	☐ Client discretion over trades	☐ Program specific Investment options (e.g. ETFs, mutual funds)
☐ Ongoing advice and account monitoring	☐ Ongoing asset-based fees	☐ FA discretion over trades	☐ Full product suite
		☐ Third party discretion over trades	

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