

MINIMUM GUIDELINES FOR REQUIRED FORMS WHEN SETTING UP BUSINESS *

NAF - SW -SituationWorksheet , AI-Account Information, IPS - Investment Policy Statement Sections

| TYPE OF ACCOUNT | New or Changes | KCD | | | VENDOR APPLICATION | DEATH CERTIFICATE | POA / TOD PAPERWORK | TRUST DOCUMENT | CORPORATE RESOLUTION | VENDOR FEE SCHEDULE | APPROPRIATE DISCLOSURE FORM | MISC. COMMENTS |
|-------------------------------------|----------------|----------------|---------|----------|--------------------|-------------------|---------------------|----------------|----------------------|---------------------|-----------------------------|---|
| | | New Account SW | Form AI | Form IPS | | | | | | | | |
| NON-QUALIFIED BROKER/DEALER CHANGES | YES | X | X | X | X | | | | | | X | B/D change form required |
| NON-QUALIFIED BROKER/DEALER CHANGES | NO | X | X | | X | | | | | | X | B/D change form required |
| NON-QUALIFIED MF ACCOUNT | YES | X | X | X | X | | | | | | X | |
| NON-QUALIFIED MF ACCOUNT | NO | X | X | | X | | | | | | X | |
| NON-QUALIFIED VA ACCOUNT | YES | X | X | X | X | | | | X | | X | |
| NON-QUALIFIED VA ACCOUNT | NO | X | X | | X | | | | X | | X | |
| NON-QUALIFIED ALTERNATIVE ACCOUNT | YES | X | X | X | X | | | | | | X | |
| NON-QUALIFIED ALTERNATIVE ACCOUNT | NO | X | X | | X | | | | | | X | |
| NON-QUALIFIED HTS ACCOUNT | YES | X | X | X | X | | | | | | X | |
| NON-QUALIFIED HTS ACCOUNT | NO | X | X | | X | | | | | | X | |
| NON-QUALIFIED CORPORATE ACCOUNTS | YES | X | X | X | X | | | X | | | X | Beneficial Ownership form required |
| NON-QUALIFIED CORPORATE ACCOUNTS | NO | X | X | | X | | | X | | | X | Beneficial Ownership form required |
| NON-QUALIFIED ESTATE ACCOUNTS | YES | X | X | X | X | X | | | | | X | Estate documents required |
| NON-QUALIFIED ESTATE ACCOUNTS | NO | X | X | | X | X | | | | | X | Estate documents required |
| 529 / COVERDELL ACCOUNTS | YES | X | X | X | X | | | | | | X | Must include minor's information |
| 529 / COVERDELL ACCOUNTS | NO | X | X | | X | | | | | | X | Must include minor's information |
| POA / TOD ACCOUNTS | YES | X | X | X | X | | X | | | | X | Must include POA's information |
| POA / TOD ACCOUNTS | NO | X | X | | X | | X | | | | X | Must include POA's information |
| TRUST ACCOUNTS | YES | X | X | X | X | | | X | | | X | Must include all TTEE's information |
| TRUST ACCOUNTS | NO | X | X | | X | | | X | | | X | Must include all TTEE's information |
| 401K / SEP / SIMPLE | YES | X | X | X | X | | | X | | | X | SEP proto type required. Must include Plan Admin's info |
| 401K / SEP / SIMPLE | NO | X | X | | X | | | X | | | X | SEP proto type required. Must include Plan Admin's info |
| QUALIFIED MF ACCOUNT | YES | X | X | X | X | | | | | | X | |
| QUALIFIED MF ACCOUNT | NO | X | X | | X | | | | | | X | |
| QUALIFIED VA ACCOUNT | YES | X | X | X | X | | | | X | | X | |
| QUALIFIED VA ACCOUNT | NO | X | X | | X | | | | X | | X | |
| QUALIFIED ALTERNATIVE ACCOUNT | YES | X | X | X | X | | | | | | X | Must include custodial paperwork (EX: CNB) |
| QUALIFIED ALTERNATIVE ACCOUNT | NO | X | X | | X | | | | | | X | Must include custodial paperwork (EX: CNB) |
| QUALIFIED HTS ACCOUNT | YES | X | X | X | X | | | | | | X | |
| QUALIFIED HTS ACCOUNT | NO | X | X | | X | | | | | | X | |

* This does not cover every situation that may arise but is intended to cover basic situations

* This does not cover RIA account set up

Disclosure Flow

CRS - Rep gives out at earliest point possible prior to making an initial recommendation

Level 2 Disclosure - Rep provides *every time* they make a recommendation or call to action