

# DATA GATHERING LISTS

## ACCOUNT OPENING AND TRANSFER

Broker Protocol Data Points
Client Name
Address
Phone Number
Email
Account Titles

*This is the specific list identified in the Broker Protocol as "the Client Information"*

General Client Information
Social Security Number
Date of Birth
Employment Status
Source of Income
Employer Name
Occupation
Occupation Industry
Citizenship
Control Person Identification
Annual Income
Net Worth
Driver's License Number
Driver's License Expiration Date

*This is a list of additional information that may be required to add a client to the system*

General Account Information
Account Number
Account Type
Initial Source of Funds
Ongoing Source of Funds
Cash Sweep
Statement Delivery Preference
Confirms Delivery Preference
Dividend/Interest Preference
Proxy Authorization

*This is general information often required when opening a new account*

Account Transfer Form
Delivering Firm Account Registration
Delivering Firm Account Number
Name of Delivering Firm
Delivering Firm Clearing Number
Delivering Firm Account Type
List of Assets to Transfer <i>(If anything other than a full transfer)</i>

*This is information that may be needed to initiate the transfer of assets*

# DATA GATHERING LISTS

## ADDITIONAL FEATURES AND ACCOUNT TYPES

### Additional Account Features & Requirements

Feature	Requirements
Transfer on Death Designation	Beneficiary Information
	Full Name
	Relationship to Account Owner
	Social Security Number or Tax ID
	Date of Birth
	Type (Primary vs Contingent)
	Percentage
Move Money Preferences	
<i>Internal Transfers</i>	Destination Account Number Account Registration
ACH (Automated Clearing House)	Direction (TO and/or FROM Bank)
	Account Type (Checking vs Savings)
	Bank Name
	Routing (ABA) Number
	Name on Bank Account
	Bank Account Number
Wire Transfers	Bank Name
	Bank City/State
	Routing Number
	Bank Account Number
	For Further Credit To Information
	Name on Bank Account Address on Bank Account
Banking Features	
Check Writing	Check Imprint
	Check Type
	Check Design
	Number of Checks
	Delivery Method
<i>Debit Cards</i>	Name on Card
<i>Credit Cards</i>	Credit Card Application
Margin	Additional Signature Requirements

*This is a list of additional information that may be needed when adding features to an account*

### Specific Account Types & Information Required

Account Type	Requirements
Retirement	Beneficiary Information
	Full Name
	Relationship to Account Owner
	Social Security Number or Tax ID
	Date of Birth
	Type (Primary vs Contingent)
	Percentage
Beneficiary Retirement	Decedent Name
	Decedent Date of Death
	Account Owner Relationship to Decedent
	Beneficiary Retirement Account Type
Trust	Trust Information
	Trust Name
	Trust Tax ID Number
	Effective Date of Trust
	Latest Date of Amendment
	Trust Type
	Trustee Client Information <i>(See General Client Information)</i>
	Trust Authorizations
	Business Information
Business	Entity Name
	Entity Type
	Tax ID Number
	Entity Address
	Industry
	Authorized Agent Client Information <i>(See General Client Information)</i>
	Control Person Client Information <i>(See General Client Information)</i>
	Anticipated Activity
Securities Based Loan	Requested Loan Amount
	Purpose of the Loan
	Declarations
	Pledged Account Numbers
	Pledged Account Titles

*This is a list of additional information that may be needed when opening specific account types*

*All information provided by Advisor Transition Services should be considered general guidelines. Consult your custodian for specifics.*