

# NEW ACCOUNT REQUIRED INFORMATION FORM



Name 1: \_\_\_\_\_ SSN: \_\_\_\_\_ DOB: \_\_\_\_\_

Address: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Home Phone  \_\_\_\_\_ Cell Phone  \_\_\_\_\_ Business Phone  \_\_\_\_\_ ext \_\_\_\_\_  
(Please check which is your preferred contact number)

Email: \_\_\_\_\_ Emails: Yes/No E-Statements: Yes/No

Employer Name: \_\_\_\_\_ Occupation: \_\_\_\_\_ Title: \_\_\_\_\_  
( Check if former or unemployed) (former if retired or unemployed)

Employer Address: \_\_\_\_\_ Yrs of Empl. \_\_\_\_\_ Business Type: \_\_\_\_\_

Retirement Plan Available through Employer: Yes/No Are you participating in Employer's Plan? Yes/No

ID Type: \_\_\_\_\_ US Citizen: Yes/No Marital Status: \_\_\_\_\_ Dependents: \_\_\_\_\_  
(Attach copy) (Single/Married/Separated/Divorced/Widowed)

Trusted Contact - A trusted contact person is intended to be a resource for Agate Financial Services in administering your account, protecting your assets, and responding to possible financial exploitation. Note: Your trusted contact person must be age 18 or older, and would not be able to conduct transactions on your account.  I decline to provide a trusted contact person at this time.

Name: \_\_\_\_\_ Email: \_\_\_\_\_

Address: \_\_\_\_\_

Primary Phone: \_\_\_\_\_ Type: \_\_\_\_\_ Relationship: \_\_\_\_\_  
(Home/Cell/Bus.) (Spouse, Relative, Friend, Professional Relationship, Other)

Affiliation with Investment Firm or Company:  Family Member is a Rep  I am a Rep.

Name 2: \_\_\_\_\_ SSN: \_\_\_\_\_ DOB: \_\_\_\_\_

Address: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Home Phone  \_\_\_\_\_ Cell Phone  \_\_\_\_\_ Business Phone  \_\_\_\_\_ ext \_\_\_\_\_  
(Please check which is your preferred contact number)

Email: \_\_\_\_\_ Emails: Yes/No E-Statements: Yes/No

Employer Name: \_\_\_\_\_ Occupation: \_\_\_\_\_ Title: \_\_\_\_\_  
( Check if former or unemployed) (former if retired or unemployed)

Employer Address: \_\_\_\_\_ Yrs of Empl. \_\_\_\_\_ Business Type: \_\_\_\_\_

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ID Type: \_\_\_\_\_ US Citizen: Yes/No Marital Status: \_\_\_\_\_ Dependents: \_\_\_\_\_  
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(Home/Cell/Bus.) (Spouse, Relative, Friend, Professional Relationship, Other)

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Investments

\$ \_\_\_\_\_ Real Estate (REITs) \$ \_\_\_\_\_ Equities  
\$ \_\_\_\_\_ Mutual Funds \$ \_\_\_\_\_ Alt. Investments  
\$ \_\_\_\_\_ Checking/Savings \$ \_\_\_\_\_ Bonds  
\$ \_\_\_\_\_ Annuities \$ \_\_\_\_\_ Other  
\$ \_\_\_\_\_ Insurance

Investment Experience/Total Years

Annuities \_\_\_\_\_ Mutual Funds \_\_\_\_\_  
Partnerships \_\_\_\_\_ Margin \_\_\_\_\_  
Stocks \_\_\_\_\_ Bonds \_\_\_\_\_  
Options \_\_\_\_\_ Other: \_\_\_\_\_

I plan to use this account for:

- Generate income for current and future expenses
- Partially fund my retirement
- Wholly Fund my Retirement
- Steadily accumulate wealth over the long-term
- Preserve wealth and pass it on to my heirs
- Pay for education
- Market Speculations
- Other: \_\_\_\_\_

Investment Objective and Risk Tolerance

(Choose the most accurate one)

- Income with Capital Preservation
- Income with Moderate Growth
- Growth with Income
- Growth
- Aggressive Growth

Initial Source of Funds: \_\_\_\_\_

Beneficiaries:

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_ SSN: \_\_\_\_\_ DOB: \_\_\_\_\_

Address: \_\_\_\_\_ Percentage: \_\_\_\_\_

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_ SSN: \_\_\_\_\_ DOB: \_\_\_\_\_

Address: \_\_\_\_\_ Percentage: \_\_\_\_\_

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_ SSN: \_\_\_\_\_ DOB: \_\_\_\_\_

Address: \_\_\_\_\_ Percentage: \_\_\_\_\_

Annual Income:

Under \$25,000      \$200,000 - \$399,999  
\$25,000 - \$49,999      \$400,000 - \$999,999  
\$50,000 - \$99,999      Over \$1,000,000  
\$100,000 - \$199,999

Est. Liquid Net Worth:

Under \$25,000      \$200,000 - \$499,999  
\$25,000 - \$49,999      \$500,000 - \$999,999  
\$50,000 - \$99,999      \$1,000,000 - \$2,499,999  
\$100,000 - \$199,999      Over \$2,500,000

Federal/State Max. Tax Margin:

Less than 12%  
12% - 22%  
24% - 32%  
33% and above

Est. Net Worth:

Under \$25,000      \$200,000 - \$499,999  
\$25,000 - \$49,999      \$500,000 - \$999,999  
\$50,000 - \$99,999      \$1,000,000 - \$2,499,999  
\$100,000 - \$199,999      Over \$2,500,000

Liquidity Needs: Under 3 years    3-5 years    6-10 years    11-20 years    over 20 years

Time Horizon: 0-5 years    6-10 years    over 10

Investment Objectives (Rank from 1-4):    \_\_\_\_\_ Tax Adv.    \_\_\_\_\_ Income    \_\_\_\_\_ Growth    \_\_\_\_\_ Speculation

Type of Account:

Individual                      Trust                      UGMA/UTMA                      Partnership  
JTWROS                      Estate                      529 Plan                      IRA Type \_\_\_\_\_  
Tenants in Common                      Non-Corporate                      Guardianship/Conservatorship                      QP Type \_\_\_\_\_  
TOD                      Corporate                      Non-Profit Organization                      Other \_\_\_\_\_

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