

Transition Process

WHAT YOU CAN EXPECT



WHAT ARE ALL THESE FORMS?

- STEP 1**
- Client Agreement & Investor Profile – The client agreement includes your personal information, details of the services that we are providing, our fee schedule, our privacy notice, and information that helps us develop an Investment Policy for you.
 - Regulatory Documents – These are documents that advisors are required to provide to all clients.
 - Form CRS – This is a Client Relationship Summary and provides information about the services we offer.
 - Form ADV 2A and 2B – These brochures provide information about our firm (2A) and about your advisor (2B).
- STEP 2**
- Account Application – A form for opening each of the accounts that you have. For example, an investment account or an IRA.
 - Asset Transfer Form – This form authorizes the transfer of an account between custodians.
 - Additional forms may be required depending upon individual situation.

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