

PAPERWORK

CMAP/Advisory Accounts (cust. @ Pershing & NFS)

prefix beings w/HGJ (for Pershing accts.) & CQ4 (for NFS accts.)

- **IRA (ROTH, SEP, ROLLOVER, SIMPLE)**

Client Information & Suitability Form

IRA Adoption Agreement (based on IRA account type – there may be a different application depending on type IRA)

SEP IRA need FORM 5053 (additionally, Pershing accounts)

AIMS Agreement

Exhibit Agreement

ACAT (Transfer form) – if transferring money

Or

Source of Funds – only if client is writing a check or leaving the account unfunded

Interim Debit Request

- **Individual, Joint, UTMA, TOD**

Client Information & Suitability Form

Transfer on Death Agreement is required for all TOD accounts, sponsor specific

AIMS Agreement

Exhibit Agreement

ACAT (Transfer form) – if transferring money

Or

Source of Funds – only if client is writing a check or leaving the account unfunded

Interim Debit Request

- **Solo 401k**

Client Information & Suitability Form

Individual 401k Kit

AIMS Agreement

Exhibit Agreement

ACAT (Transfer form) – if transferring money

Or

Source of Funds – only if client is writing a check or leaving the account unfunded

Interim Debit Request

- **TRUST**

Client Information & Suitability Form Group/Entity

Client Information & Suitability Form for Additional signers (if more than two Trustees)

TCIP (specific to Cust. Company)

AIMS Agreement

Exhibit Agreement

ACAT (Transfer form) – if transferring money

or

Source of Funds – only if client is writing a check or leaving the account unfunded

Interim Debit Request

****If accounts currently have any “special features or instructions” set-up on their accounts (at current firm, i.e. systematic withdrawal, periodic contributions, etc...), please make note of it on your Transition Spreadsheet. Additional paperwork will need to be completed by clients and timing of moving assets need to be coordinated. Ask Janelle for additional guidance.**

****NOTE:** You only need ONE AMIS agreement per Social Security Number... ex. John & Jane Smith have each have an IRA account and they have a JOINT account. Complete the AMIS for the JOINT account (listing both ss# and signatures), and then on the Exhibit for each of their IRA account, mark the second question YES and complete with the PRIMARY ss# that is listed on the JOINT AMIS form.)

Brokerage Accounts (cust. @ Pershing & NFS)

prefix beings w/HHG (for Pershing accts.) & CQ3 (for NFS accts.)

- **IRA (ROTH, SEP, ROLLOVER, SIMPLE)**

Client Information & Suitability Form

IRA Adoption Agreement (based on IRA account type – there may be a different application depending on type IRA)

SEP IRA need FORM 5053 (additionally, Pershing accounts)

ACAT (Transfer form) – if transferring money

or

Source of Funds – only if client is writing a check or leaving the account unfunded

- **Individual, Joint, UTMA, TOD**

Client Information & Suitability Form

Transfer on Death Agreement is required for all TOD accounts, sponsor specific

ACAT (Transfer form) – if transferring money

or

Source of Funds – only if client is writing a check or leaving the account unfunded

- **TRUST**

Client Information & Suitability Form Group/Entity

Client Information & Suitability Form for Additional signers (only needed if more than two trustees)

TCIP (specific to cust. company)

ACAT (Transfer form) – if transferring money

or

Source of Funds – only if client is writing a check or leaving the account unfunded

*****If accounts currently have any “special features or instructions” set-up on their accounts (at current firm, i.e. systematic withdrawal, periodic contributions, etc...), please make note of it on your Transition Spreadsheet. Additional paperwork will need to be completed by clients and timing of moving assets need to be coordinated. Ask Janelle for additional guidance.**

Accounts cust. at Charles Scwab & TD AmeriTrade

- **IRA (ROTH, SEP, ROLLOVER, SIMPLE)**

Client Information & Suitability Form

Copy of Sponsor Company paperwork/application or LOA (if transitioning accounts)

AIMS Agreement

Exhibit Agreement

Copy of sponsor company ACAT (Transfer form) – if transferring money

Or

Source of Funds – only if client is writing a check or leaving the account unfunded

Interim Debit Request

- **Individual, Joint, 529, UTMA, TOD**

Client Information & Suitability Form

Copy of Sponsor Company Application/Paperwork

AIMS Agreement

Exhibit Agreement

Copy of sponsor company ACAT (Transfer form) – if transferring money

or

Source of Funds – only if client is writing a check or leaving the account unfunded

Interim Debit Request

- **TRUST**

Client Information & Suitability Form Group/Entity

Client Information & Suitability Form for Additional signers (if more than two Trustees)

TCIP – Direct

Copy of Sponsor Company Paperwork/Application

AIMS Agreement

Exhibit Agreement

Copy of sponsor company ACAT (Transfer form) – if transferring money

or

Source of Funds – only if client is writing a check or leaving the account unfunded

Interim Debit Request

**** If transitioning SCHWAB or TD Accounts, please reach out to Janelle... additional paperwork and procedures will need to be coordinated.**

CAAP/Advisory Accounts (cust. @ Pershing & NFS)

- Please contact the CAAP team @ Cambridge for more information and requirements

Direct accounts (held directly at the sponsor company)

- **All accounts (except for Trust accounts & 401k Plans)**

Client information & Suitability form

Copy of the Application (including all transfer forms or copy of the check/SOF, replacement notices, etc...)

- **Trust Accounts**

Client Information & Suitability form Group/Entity

Client Information & Suitability form for Additional Signers (only needed if more than two trustees)

TCIP – Direct

Copy of Sponsor Paperwork

- **401k Plans**

Client Information and & Suitability Form – GROUP

Client Information and & Suitability Form for Additional Signers – GROUP (if more than two trustees/authorized signers)

Authorized Signers for Retirement Plans

Copy of Application (including all transfer forms, plan documents, etc...)

Variable Annuities (held Directly at a sponsor company)

- **All accounts (except for Trust accounts)**

Client information & Suitability form

Variable Annuity Disclosure

Copy of the Application (including all transfer forms or copy of the check, replacement notices, etc...)

- **Trust**

Client Information & Suitability form Group/Entity

Client Information & Suitability form for Additional Signers (only needed if more than two trustees)

TCIP – Direct

Variable Annuity Disclosure
Copy of Sponsor Paperwork

For Additional Funds being placed into an existing VA...

Variable Annuity Disclosure for Additional Purchases
Copy of the check

Equity Index Annuities

- **All accounts (except for Trust accounts)**

Client information & Suitability form
Equitable Index Annuity Disclosure
Copy of the Application (including all transfer forms or copy of the check, replacement notices, etc...)

- **Trust**

Client Information & Suitability form Group/Entity
Client Information & Suitability form for Additional Signers (only needed if more than two trustees)
Equitable Index Annuity Disclosure
TCIP – Direct
Copy of Sponsor Paperwork

Variable Universal Life

- **All Accounts (except Trust accounts)**

Client Information and Suitability Form
Variable Universal Life Disclosure
Copy of all Sponsor Company's paperwork (application, TOA or copy of check, etc...)

- **Trust Accounts**

Client Information & Suitability form Group/Entity
Client Information & Suitability form for Additional Signers (only needed if more than two trustees)
TCIP – Direct
Variable Universal Life Disclosure
Copy of Sponsor Paperwork

Alternative Investments Accounts

- **All Accounts (except Trust accounts)**

Client Information and Suitability Form
Alternative Investment Disclosure
Private Placement Form (if qualified account and cust. @ Pershing)
Request of Alternative Investment Subscription (if cust. @ NFS accounts)
Alternative Investment Addendum & Custody Agreement - NFS (if cust. @ NFS - NFS will allow for N-Q Alternatives to be held on their platform)
Updated EXHIBIT Form (this form is only needed if the alternative is being held in an advisory account. Exhibit needs to be updated to EXCLUDE the alternative from fee billing. Alternatives held in BROKERAGE accounts, do not need the exhibit completed)
Copy of all Sponsor Company's paperwork (application, TOA or copy of check, etc...)

- **Trust Accounts**

Need all the above and...

Client information & Suitability form Group/Entity

Client Information & Suitability form for Additional Signers (only needed if more than two trustees)

TCIP – Direct

Copy of all Sponsor Company's paperwork

For additional Alternative Investment purchases...

Alternative Investment Disclosure Form

Funding paperwork OR copy of the check

Copy of the sponsor paperwork

Transition

- **All accounts (except for Trust accounts & 401k Plans)**

Client information & Suitability form

Change of Broker/Dealer Form (can be either Cambridge's form or the sponsor company's form)

- **Trust Accounts**

Client Information & Suitability form Group/Entity

Client Information & Suitability form for Additional Signers (only needed if more than two trustees)

TCIP – Direct

Change of Broker/Dealer Form (can be either Cambridge's form or the sponsor company's form)

- **401k Plans**

Client Information and & Suitability Form – GROUP

Client Information and & Suitability Form for Additional Signers – GROUP (if more than two trustees/owners)

Authorized Signers for Retirement Plans

Change of Broker/Dealer paperwork (some sponsors require their own paperwork, please verify with TPA what paperwork is needed)