



INSTRUCTIONS FOR ACCOUNT OWNER

In order to abide by industry regulations, your Financial Advisor was unable to bring copies of client records and files to RBC Wealth Management. So we may establish investment accounts for you at RBC Wealth Management, please provide the information requested below.

1. Please complete this worksheet in its entirety.
2. Return this worksheet, the Account Transfer Form(s), and a copy of your most recent account statement(s) in the postage paid envelope provided.

After we receive the information, your account(s) will be established and new account paperwork will be sent to you for your signature.

PERSONAL

Prefix	Full Name (First, M.I., Last)	Suffix
Social Security Number	Date of Birth	Marital Status <input type="checkbox"/> Divorced <input type="checkbox"/> Domestic Partner <input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Widowed
Number of Dependents (include self)	U.S. Citizen/Permanent Resident <input type="checkbox"/> Yes <input type="checkbox"/> No	

CONTACT/ADDRESS

Primary Phone	<input type="checkbox"/> Home <input type="checkbox"/> Business <input type="checkbox"/> Cell	Additional Phone	<input type="checkbox"/> Home <input type="checkbox"/> Business <input type="checkbox"/> Cell
Email Address			

ADDRESS OF RESIDENCE (PO BOX IS NOT ALLOWED)	MAILING ADDRESS, IF DIFFERENT FROM ADDRESS OF RESIDENCE
Street	Street
Apt/Suite	Apt/Suite
City, State, ZIP Code	City, State, ZIP Code

FINANCIAL

ANNUAL INCOME (EXCLUDE SPOUSE'S INCOME)		LIQUID NET WORTH (INCLUDE IMMEDIATE HOUSEHOLD LIQUID ASSETS)	
<input type="checkbox"/> Less than \$50,000	<input type="checkbox"/> \$400,000 - \$499,999	<input type="checkbox"/> Less than \$100,000	<input type="checkbox"/> \$500,000 - \$999,999
<input type="checkbox"/> \$50,000 - \$99,999	<input type="checkbox"/> \$500,000 - \$749,999	<input type="checkbox"/> \$100,000 - \$249,999	<input type="checkbox"/> \$1,000,000 - \$2,999,999
<input type="checkbox"/> \$100,000 - \$199,999	<input type="checkbox"/> \$750,000 - \$999,999	<input type="checkbox"/> \$250,000 - \$499,999	<input type="checkbox"/> \$3,000,000+
<input type="checkbox"/> \$200,000 - \$299,999	<input type="checkbox"/> \$1,000,000+		
<input type="checkbox"/> \$300,000 - \$399,999			
NET WORTH (INCLUDE VALUE OF HOME)		TOTAL LIABILITIES (ALL SOURCES, INCLUDING MORTGAGE)	
<input type="checkbox"/> Less than \$100,000	<input type="checkbox"/> \$500,000 - \$999,999	<input type="checkbox"/> Less than \$50,000	<input type="checkbox"/> \$400,000 - \$499,999
<input type="checkbox"/> \$100,000 - \$249,999	<input type="checkbox"/> \$1,000,000 - \$2,999,999	<input type="checkbox"/> \$50,000 - \$99,999	<input type="checkbox"/> \$500,000 - \$749,999
<input type="checkbox"/> \$250,000 - \$499,999	<input type="checkbox"/> \$3,000,000+	<input type="checkbox"/> \$100,000 - \$199,999	<input type="checkbox"/> \$750,000 - \$999,999
		<input type="checkbox"/> \$200,000 - \$299,999	<input type="checkbox"/> \$1,000,000+
		<input type="checkbox"/> \$300,000 - \$399,999	
TAX BRACKET		Do you have a Large Trader ID*? <input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> 0 - 10%	<input type="checkbox"/> 26% - 28%	If Yes, what is your Large Trader ID number? _____	
<input type="checkbox"/> 11% - 15%	<input type="checkbox"/> 29% - 33%		
<input type="checkbox"/> 16% - 25%	<input type="checkbox"/> 33%+		
Known Financial Advisor Since (mm/dd/yyyy)	Years as an Investor		

INVESTMENT EXPERIENCE** Please check the products/strategies that best reflect your investment experience to date.

<input type="checkbox"/> None	<input type="checkbox"/> Bonds	<input type="checkbox"/> Options	<input type="checkbox"/> Margin	<input type="checkbox"/> Active Short-Term Trading	<input type="checkbox"/> Inverse/Leveraged Products
<input type="checkbox"/> Stocks	<input type="checkbox"/> Mutual Funds	<input type="checkbox"/> Annuities	<input type="checkbox"/> Futures	<input type="checkbox"/> Exchange Traded Funds (ETF)	<input type="checkbox"/> Alternative Investments

INVESTMENT DECISION MAKING** How involved are you in making your investment decisions?

I make my own investment decisions and/or consult with someone other than my Financial Advisor.

I discuss investment decisions with my Financial Advisor, but I also consult other sources of financial information and/or discuss with other parties.

I rely on the guidance of my Financial Advisor most of the time.

I follow the recommendations of my Financial Advisor all of the time.

This is my first investment account other than my employer sponsored retirement program.

*A "large trader" is defined as a person or entity that: (i) directly or indirectly exercises investment discretion over accounts and effects transactions for such accounts in exchange-listed securities that equal or exceed two million shares or \$20 million during any calendar day, or 20 million shares or \$200 million during any calendar month; or (ii) voluntarily files SEC Form 13H.w

PLEASE SEE REVERSE SIDE



ASSOCIATIONS

1. Are you or an immediate family member affiliated with or employed by a broker-dealer, a securities exchange, FINRA, or MSRB? Yes No
If yes, name of B/D and position: _____
2. Are you or an immediate family member in a control position (director, shareholder with 10% or more of the stock, or a policy-making executive officer of a publicly traded company)? Yes No
If yes, name of company, ticker symbol, and position: _____
3. Are you related to an RBC Wealth Management employee? Yes No
If yes, name of employee, employee's position, and relationship to employee: _____

EMPLOYMENT

Employment Status: Employed Retired Self-employed or small business owner Student Homemaker Not employed

Employer Name	Occupation
Employer Address	
Employer City, State, ZIP Code	

ACCOUNT OBJECTIVES

- INVESTMENT OBJECTIVE**** (Choose One)
 Preservation of Principal/Income – The investment goal is capital preservation and generation of current income.
 Balanced Growth – The investment goal is a balance between capital appreciation and wealth preservation.
 Growth – The investment goal is capital appreciation.
 Aggressive Growth/Aggressive Income – The investment goal is significant capital appreciation and/or income generation.
 Speculation – The investment goal is to maximize capital appreciation.
- RISK TOLERANCE**** Please indicate your risk tolerance. (Choose One)
 Minimal – I have a minimal tolerance for risk and am willing to accept the lowest possible returns which may not keep pace with inflation.
 Low – I have a low tolerance for risk and am willing to accept some level of volatility to seek returns with less fluctuation in value.
 Moderate – I have a moderate tolerance for risk and am willing to accept modest returns with potential for some fluctuation in value.
 High – I have a moderate to high tolerance for risk and am willing to accept the potential for greater fluctuation in value to seek higher returns.
 Maximum – I have a high tolerance for risk and am willing to accept the potential for significant fluctuation or loss in value while seeking to maximize potential returns.
- INVESTMENT TIME HORIZON**** When do you expect to cease accumulating assets and begin significant principal withdrawal? (Choose One)
 Less than 1 Year 1-3 years 4-6 years 7-8 years 9-11 years 12 years or more
- LIQUIDITY NEEDS**** On an annual basis, what are your expected withdrawal needs? (Choose One)
 Less than \$1,000 \$1,000 - \$9,999 \$10,000 - \$49,999 \$50,000 – \$99,999 \$100,000 - \$249,999 \$250,000+
- SOURCE OF FUNDS**** (Choose One) Business/Self-Employment Gift/Inheritance Investment Income Rollover
 Sale of Asset Savings Settlement Transfer Wages/Income

TRUSTED CONTACT**

The trusted contact person is intended to be a resource for RBC WM in administering the customer's account, protecting assets, and responding to possible financial exploitation. RBC WM may use its discretion in relying on any information provided by the trusted contact person. A trusted contact is **not** an authorized party on the account(s) and RBC WM may not rely on instructions from a trusted contact to make transactions related to the account.

Full Name (First, M.I., Last) _____

Phone Number	<input type="checkbox"/> Home <input type="checkbox"/> Business <input type="checkbox"/> Cell	Email Address
Address		
City, State, ZIP Code		

Relationship to Owner Child Domestic Partner No Relation Other Relative Parent Sibling Spouse

****As this information may vary by account, please provide additional documentation for each account, or, if you prefer, you may provide this information by phone.**



BENEFICIARY INFORMATION FOR RETIREMENT OR TRANSFER ON DEATH (TOD) ACCOUNTS – ATTACH SEPARATE SHEET AS NEEDED**

Beneficiary 1 _____% Primary Contingent Transfer on Death (TOD) Per Stirpes Pro Rata

Full Name (First, M.I., Last)

Social Security Number

Date of Birth

Address

City, State, ZIP Code

Relationship to Owner Spouse Non-spouse Estate/Entity Trust

Beneficiary 2 _____% Primary Contingent Transfer on Death (TOD) Per Stirpes Pro Rata

Full Name (First, M.I., Last)

Social Security Number

Date of Birth

Address

City, State, ZIP Code

Relationship to Owner Spouse Non-spouse Estate/Entity Trust

Beneficiary 3 _____% Primary Contingent Transfer on Death (TOD) Per Stirpes Pro Rata

Full Name (First, M.I., Last)

Social Security Number

Date of Birth

Address

City, State, ZIP Code

Relationship to Owner Spouse Non-spouse Estate/Entity Trust

TRUST DETAILS (IF APPLICABLE)

Trust Title (must be exact title listed on trust)

Trust Date

ADDITIONAL ACCOUNT ROLES – ATTACH SEPARATE SHEET AS NEEDED**

Role Type Trading Authority Power of Attorney Minor (for Custodial or Education – Held Away 529 accounts) Trustee

Full Name (First, M.I., Last)

Social Security Number

Date of Birth

Address

City, State, ZIP Code

Relationship to Account Owner Spouse Sibling Parent Other Relative No Relation Child

If Role is Trading Authority or Power of Attorney, please complete the information through the Authorization Details section.

Authorization Type Full Trading Limited Trading Power of Attorney (outside document)

Investment Experience

None Bonds Options Margin Active Short-Term Trading Inverse/Leveraged Products
 Stocks Mutual Funds Annuities Futures Exchange Traded Funds (ETF) Alternative Investments

Reason for Authorization:

****As this information may vary by account, please provide additional documentation for each account, or, if you prefer, you may provide this information by phone.**