



## Financial Advisor Onboarding Questionnaire

**Date :** \_\_\_\_\_

### Financial Advisor Data

FA Name		Current Firm	
Address		Telephone Number	(    )    -
City		RIA Name (if applicable)	
State & Zip		CRD#	

### Client Data

Total Number of Accounts with Assets		# of COD Accounts	
# of Retail Accounts		# of Direct MF Accounts	
# of Retirement Accounts		# of 529 Plans	
# of Margin Accounts		# of Annuities	
Estimated Assets Under Management		Estimated % AUM Held Away	

### Technology

Do clients view account info online?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If so, are they permitted to trade?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Please list any data vendors, CRM software, and any other 3 <sup>rd</sup> party software you are currently utilizing		

## Operations

Please briefly describe how are trades received and transmitted for execution		
What is the process for approving orders prior to submitting for execution?		
Do you have a sales assistant?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Please briefly describe how do you communicate with your current broker dealer?		
Do you have a specific contact to call for operational issues?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you submit operational requests electronically to the broker dealer?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you receive check deposits from clients?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
How are these deposits handled?		
Do clients receive periodic payments from their accounts (ACH, Check, etc)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Please explain how this process works.		
Do clients make systematic deposits to their accounts?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do clients process 3 <sup>rd</sup> party fed wires?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Briefly explain your current process for disbursing funds to clients from their accounts		
Do you receive physical securities from your clients for deposit into their account?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If so, please describe how this process is handled today.		

## Operations

Who opens new accounts for your clients? (home office, clearing firm, IP)
Are accounts numbers assigned randomly or based on type of account?
What system is used to open the new accounts? (clearing firm's or proprietary)

## Trading

# of trades per month		Mutual Funds	
Equities		ETFs	
Fixed Income		Alternative Investments	
Options		Annuities	

Do you trade in the extended hours market?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Please list any Order Management System being currently used (if not mentioned under the Technology section)		
Do you trade/hold non-USD securities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you execute any orders away from your current clearing firm?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you process any Step-in/Step-out trades?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you process any trades on a principal basis?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have discretion on any customer accounts?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have a separate commission schedule for your clients?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If so, please provide.		

**Products & Services**

Do you have accounts where you act as Registered Investment Advisor (RIA)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
How are fees calculated and charged to the client?		
How is performance calculated?		
Are performance reports being provided to the clients?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you custody assets for the RIA away from your current broker dealer?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you use any third-party money managers (Lockwood, SEI, etc)? If so, please detail:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you offer Cash Management accounts to your clients (check writing, debit cards, etc)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you provide cost basis & gain/loss information to your clients? If so, is this provided through your current clearing firm or a separate vendor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Do you offer any of the following services to your clients?

Collateral Loan Accounts	<input type="checkbox"/> Yes <input type="checkbox"/> No	Trust Services	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mortgages	<input type="checkbox"/> Yes <input type="checkbox"/> No	Donor Advised Funds	<input type="checkbox"/> Yes <input type="checkbox"/> No
Employee Stock Option Plans	<input type="checkbox"/> Yes <input type="checkbox"/> No	Hedging Strategies (collars, prepaid forwards, etc)	<input type="checkbox"/> Yes <input type="checkbox"/> No
10b5-1 Executive Stock Plans	<input type="checkbox"/> Yes <input type="checkbox"/> No	No-Transaction Fee mutual funds	<input type="checkbox"/> Yes <input type="checkbox"/> No

