

Retail Accounts (all accounts)

Name on Account: \_\_\_\_\_

Account Number: \_\_\_\_\_

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

**Check Account Information**

- 1  Customer name
- 2  Customer Address (Legal address cannot be a P.O. Box, or other Non-street Addresses)
- 3  Social Security Number
- 4  Customer Date of Birth (Is the customer is of legal age?)
- 5  Sources of customer assets and income
- 6  Customer's likely monthly trading pattern
- 7  The signature of the registered representative introducing the account
- 8  The signature of the Designated Principal who accepts the account

**Check Suitability Information**

- 9  Customer Investment objectives
- 10  Customer's financial status
- 11  Customer tax status

**Check Trusted Contact Status**

- 12  Accepted or  Declined

**Check Verification of Information (check all that apply)**

- 13  Obtain a photocopy of the Customer's photographic government-issued identification card (if joint account all I.D.s)
- 14  Visibly compare the photo
- 15  Confirm the address, date of birth, and other information provided by contacting the customer following the account opening by mail prior to effecting any transaction.

**Check Supervisor Verification of Information**

- 16  Utilize an information certification process that specifically verifies the information provided by the customer, such as a credit report. This may not be necessary. It would depend on the demeanor of the customer and the information provided to the representative.
- 17  Conducted a site visit to customer's address, if necessary
- 18  None of the above were necessary for the supervisor. Why? \_\_\_\_\_

Representative Signature: \_\_\_\_\_

Date of Preparation: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_

Date of Review: \_\_\_\_\_