

## Helpful Hints When Setting Up A New Account

- 1** **Always pull forms directly from our custodian(s).** Please provide your client(s) with the Custodial disclosure documents for the account(s) they are opening. The Custodian will reject outdated forms therefore requiring advisors to go back to the client and redo the forms. **Please do not make any changes/cross outs, etc. to a client's SSN/TIN.** If you do the application will be rejected and additional requirements will be needed. Any other strikeouts or changes must be initialed by the client.
- 2** When submitting the **Transfer Request Form**, please include a current statement (no more than 60 days old) from the contra firm. (this statement must show Account Registration Name, Account Owner and address, and complete Account Number)
- 3** Include the **ACH Authorization Agreement form**. In most cases, this will enable the advisor to request funds either in or out of an account without the advisor having to return to the client for additional signatures. *Please note: all owners of the bank account must sign the ACH Authorization form.* There must be a corresponding IRA Distribution form on file or presented at the time of the request for a distribution from a qualified account (i.e., tax withholding must match and method of delivery).
- 4** Include the **User ID and eDelivery Request Form** to link accounts for online viewing and/or mailings (**SelectLink** combined mail is also recommended). Please encourage your clients to elect email delivery for Trade Confirmations and also elect Quarterly delivery of Confirmations. There is a \$2 charge for mailed confirmations.
- 5** When opening multiple accounts, be certain that your client signs EACH application separately. The Custodian will reject any application that has been photo-copied. For example, if client signs one IRA application and this application is copied to open an additional ROTH.
- 6** Always pull the required Nepsis forms from the Advisor Library. They will always be the most current forms. The following forms are required by Nepsis:
  - Nepsis IPS Questionnaire (one per Investment Objective chosen)
  - Nepsis Investment Policy Statement (one per Investment Objective chosen)
  - Nepsis Client Fee Agreement
  - Nepsis Account Fee Schedule
  - Optional: Nepsis Consent for Electronic Delivery (sign and return to ensure your client receives important market updates promptly via e-mail)
- 7** You are required to present your clients with the following forms when they open their first account with Nepsis:
  - Nepsis Chicago Clearing Opt Out (to be returned only if they elect to opt out)
  - Nepsis ADV Part 2A Appendix 1 Form Wrap Nepsis Privacy Policy Nepsis FAQs
  - Nepsis White Listing Instructions

**If you have any questions, please call our main office at 952-746-2003. We will be happy to help you.**