RBC Wealth Management™

CONFIDENTIAL CLIENT WORKSHEET

LEGACY CLIENTS

INSTRUCTIONS FOR PRIMARY ACCOUNT OWNER

In order to abide by industry regulations, your Financial Advisor was unable to bring copies of client files, account statements and records with him/her when he/she left his/her previous firm. As such, we need you to provide the information requested below in order for us to establish investment account(s) for you at RBC Wealth Management.

1. Please complete this worksheet in its entirety; page 1 should be completed by the primary account owner and page 2 (if applicable) should be completed by the joint account owner. *If you prefer, you may also provide the requested information by phone.*
2. Return this worksheet with the Account Transfer Form(s) (ACAT Forms) included in your packet 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- PRIMARY ACCOUNT OWNER

Social Security Number

❑ Dr.	First Name	Middle Initial	Last Name
Full Date of Birth		Marital Status ❑ Divorced ❑ Married ❑ Single ❑ Widowed	
Number of Dependents (including self)		U.S. Citizen/Permanent Resident? ❑ Yes ❑ No	

Home Phone ____________________ ❑ Cell ❑ Work **Phone** _____________________ **E-mail Address** _______________________________

Street	❑ Apartment/Suite Number	
City	State	Zip Code

FINANCIAL

Annual Income (exclude spouse's income)

❑ Less than $50,000
❑ $50,000 - $99,999
❑ $100,000 - $199,999
❑ $200,000 - $299,999
❑ $300,000 - $399,999
❑ $400,000 - $499,999
❑ $500,000 - $749,999
❑ $750,000 - $999,999
❑ $1,000,000+

Liquid Assets (include immediate household liquid assets)

❑ Less than $100,000
❑ $100,000 - $249,999
❑ $250,000 - $499,999
❑ $500,000 - $999,999
❑ $1,000,000 - $2,999,999
❑ $3,000,000 +

Net Worth (exclude value of home)

❑ Less than $100,000
❑ $100,000 - $249,999
❑ $250,000 - $499,999
❑ $500,000 - $999,999
❑ $1,000,000 - $2,999,999
❑ $3,000,000 +

Tax Bracket

❑ 0 - 10%
❑ 11 - 15%
❑ 16 - 25%
❑ 26 - 28%
❑ 29 - 33%
❑ 33% +

Known FA Since	Years as an Investor	Investment Experience: ❑ None ❑ Limited ❑ Average ❑ Extensive

INVESTMENT OBJECTIVE** ❑ Preservation of Principal/Income ❑ Growth ❑ Speculation ❑ Balanced/Conservative Growth ❑ Aggressive Growth

ASSOCIATIONS

1. Broker Dealer Associations – Are you associated with another B/D? ❑ Yes ❑ No

If yes, name of B/D and your position: ____

2. Controlling Security Positions – Are you in a control position? ❑ Yes ❑ No

If yes, name of company and your position: ____

3. Employee Relationship – Are you related to an RBC Wealth Management employee? ❑ Yes ❑ No

If yes, name of employee and position: ____

EMPLOYMENT

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

Employer Name	Occupation	Employer Address

Use only for clients who are in the process of transferring assets from the financial advisor's former employer

CONFIDENTIAL CLIENT WORKSHEET

LEGACY CLIENTS

RBC Wealth Management™

PERSONAL- JOINT ACCOUNT OWNER

❑ Dr.	First Name	Middle Initial	Last Name

Social Security Number	Full Date of Birth	Marital Status ❑ Divorced ❑ Married ❑ Single ❑ Widowed

Number of Dependents (including self)	U.S. Citizen/Permanent Resident? ❑ Yes ❑ No

Home Phone ____________________ ❑ Cell ❑ Work **Phone** _____________________ **E-mail Address** ____________________________

Street	❑ Apartment/Suite Number	
City	State	Zip Code

FINANCIAL

Annual Income (exclude spouse's income)

❑ Less than $50,000
❑ $50,000 - $99,999
❑ $100,000 - $199,999
❑ $200,000 - $299,999
❑ $300,000 - $399,999
❑ $400,000 - $499,999
❑ $500,000 - $749,999
❑ $750,000 - $999,999
❑ $1,000,000+

Liquid Assets (include immediate household liquid assets)

❑ Less than $100,000
❑ $100,000 - $249,999
❑ $250,000 - $499,999
❑ $500,000 - $999,999
❑ $1,000,000 - $2,999,999
❑ $3,000,000 +

Net Worth (exclude value of home)

❑ Less than $100,000
❑ $100,000 - $249,999
❑ $250,000 - $499,999
❑ $500,000 - $999,999
❑ $1,000,000 - $2,999,999
❑ $3,000,000 +

Tax Bracket

❑ 0 - 10%
❑ 11 - 15%
❑ 16 - 25%
❑ 26 - 28%
❑ 29 - 33%
❑ 33% +

Known FA Since	Years as an Investor	Investment Experience: ❑ None ❑ Limited ❑ Average ❑ Extensive

EMPLOYMENT & ASSOCIATIONS

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

Employer Name	Occupation	Employer Address

1. Broker Dealer Associations – Are you associated with another B/D? ❑ Yes ❑ No

If yes, name of B/D and your position: ____

2. Controlling Security Positions – Are you in a control position? ❑ Yes ❑ No

If yes, name of company and your position: ____

3. Employee Relationship – Are you related to an RBC Wealth Management employee? ❑ Yes ❑ No

If yes, name of employee and position: ____

IRA BENEFICIARIES – PLEASE ATTACH SEPARATE SHEET AS NECESSARY**

Beneficiary 1 _________% ❑ Primary ❑ Contingent	Relationship to Owner ❑ Spouse ❑ Non-spouse ❑ Estate/Entity ❑ Trust	
First Name	Middle Initial	Last Name
Social Security Number		Date of Birth
Beneficiary 2 _________% ❑ Primary ❑ Contingent	Relationship to Owner ❑ Spouse ❑ Non-spouse ❑ Estate/Entity ❑ Trust	
First Name	Middle Initial	Last Name
Social Security Number		Date of Birth

***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.*

Use only for clients who are in the process of transferring assets from the financial advisor's former employer

 RBC Wealth Management, a division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC. UPWS-NR (02/11)