SOUND INCOME STRATEGIES

New Client Checklist

Initial Meeting:

Disclosure Distribution:

- ☐ SIS ADV Part 2A
- ☐ ADV Part 3
- ☐ Representative's Schedule 2B
- ☐ Privacy Policy
- ☐ ADV Acknowledgement Form (Must be completed ONLY if disclosures are distributed physically)

TD Paperwork:

- ☐ Account Application (Must be opened in the representative's unmanaged rep code)
- ☐ Account Transfer Form (Must be submitted with a brokerage statement dated within the last 90 days)
- ☐ Prime Brokerage Agreement (Must be completed for all account >100k)

TD Paperwork Optional:

- ☐ Move Money Form (Must be submitted with a voided check)

SIS Paperwork:

- ☐ Client Profile

Follow-Up Meeting:

SIS Paperwork:

- ☐ Investment Advisory Agreement
- ☐ Trade Allocation Form

TD Ameritrade:

- ☐ Call or email TD to change the account rep code from unmanaged to managed

NO IAA SHOULD BE SIGNED UNTIL THE CLIENT'S FUNDS HAVE BEEN SUCCESSFULLY TRANSFERRED TO THEIR NEW TD ACCOUNT, AND THE ADVISOR IS READY TO TAKE ON FIDUCIARY RESPONSIBILITY OF MANAGING THE HOUSEHOLD