

FORMS MATRIX

Investment Company/ Account Registration	Custodian/ Investment Company Forms ¹	Transaction Coversheet	Client Profile Form ²	IMA RTQ	ADV ⁵	Customer Agreement & Privacy Policy	CRS Delivery Confirmation	Current (unexpired) Driver's License ³	Entity Document (Trust, Articles, Agreement) ⁴	Alternative Investment Submission Packet
RBC										
Brokerage										
	Individual, IRA, Roth, SEP					X	X	X		
	Joint					X	X	X		
	Entity					X	X	X	X	
Advisory										
	Individual, IRA, Roth, SEP			X	X	X	X	X		
	Joint			X	X	X	X	X		
	Entity			X	X	X	X	X	X	
Raymond James										
Brokerage										
	Individual, IRA, Roth, SEP					X	X	X		
	Joint					X	X	X		
	Entity					X	X	X	X	
Advisory										
	Individual, IRA, Roth, SEP		X	X	X		X	X		
	Joint		X	X	X		X	X		
	Entity		X	X	X		X	X	X	
Schwab - Advisory										
	Individual, IRA, Roth, SEP		X	X	X		X	X		
	Joint		X	X	X		X	X		
	Entity		X	X	X		X	X	X	
Assetmark/SEI/Egis/TPFG/Etc. - Advisory										
	Individual, IRA, Roth, SEP		X		X ⁺	X	X	X		
	Joint		X		X ⁺	X	X	X		
	Entity		X		X ⁺	X	X	X	X	
Direct Business - NEW										
Mutual Funds										
	Individual, IRA, Roth, SEP	X	X			X	X	X		
	Joint	X	X			X	X	X		
	Entity	X	X			X	X	X	X	
Annuities										
	Individual, IRA, Roth, SEP	X	X			X ⁷	X ⁷	X ⁷		
	Joint	X	X			X ⁷	X ⁷	X ⁷		
	Entity	X	X			X ⁷	X ⁷	X ⁷	X	

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Direct Business - NEW (continued)										
Alternatives*										
Life Insurance	Individual, IRA, Roth, SEP					X	X	X		X
	Joint					X	X	X		X
	Entity					X	X	X	X	X
Life Insurance										
Life Insurance	Individual, IRA, Roth, SEP	X	X			X ⁷	X ⁷	X ⁷		
	Joint	X	X			X ⁷	X ⁷	X ⁷		
	Entity	X	X			X ⁷	X ⁷	X ⁷	X	
Direct Business - BD CHANGES										
Mutual Funds										
Life Insurance	Individual, IRA, Roth, SEP		X ⁶				X	X		
	Joint		X ⁶				X	X		
	Entity		X ⁶				X	X	X	
Annuities										
Life Insurance	Individual, IRA, Roth, SEP		X ⁶				X ⁷	X ⁷		
	Joint		X ⁶				X ⁷	X ⁷		
	Entity		X ⁶				X ⁷	X ⁷	X	
Alternatives										
Life Insurance	Individual, IRA, Roth, SEP		X ⁶				X	X		
	Joint		X ⁶				X	X		
	Entity		X ⁶				X	X	X	
Life Insurance										
Life Insurance	Individual, IRA, Roth, SEP		X ⁶				X ⁷	X ⁷		
	Joint		X ⁶				X ⁷	X ⁷		
	Entity		X ⁶				X ⁷	X ⁷	X	

¹These forms can be obtained directly from the Custodian/Investment Company

²**New clients** must have a new form submitted. Individual registration accounts should submit one form, Joint registrations should submit a Joint form, Entity registrations should submit one form per control person.

Existing clients must have form on file dated within 2 years of business submission

³**New clients** must have unexpired driver's license, Joint registrations must submit each client's driver's license, Entity registrations must submit each control person's driver's license. **Existing clients** must have on file - no requirement to submit a copy barring any notable changes

⁴**New Entity clients** must submit copy of trust agreement/corporate articles/operating agreement/equivalent. **Existing Entity clients** must have on file - no requirement to resubmit barring any notable

⁵ADV Part 2A (Kingswood Wealth Advisors) and the ADV Part 2B (Advisor specific) must be provided to all advisory clients.

⁶**BD Change Forms** - Some Investment Companies will accept the Kingswood generic BD Change form. Others will require their own BD changes/Agent Change forms. Please be sure to confirm with the product sponsor if they will accept our form or require their own BD Change form.

⁷**Variable Products** - Form only required for Variable products, not for fixed products

***Alternatives** - Should be submitted via Altigo if the program is available through the Altigo portal

[†]RTQ is required if the custodian/manager doesn't have their own Risk Questionnaire. One or the other needs to be included with the submission.