Confidential Client Worksheet
Legacy Clients

INSTRUCTIONS FOR ACCOUNT OWNER

In order to abide by industry regulations, your Financial Advisor was unable to bring copies of client records and files to RBC Wealth Management. So we may establish investment accounts for you at RBC Wealth Management, please provide the information requested below.

1. Please complete this worksheet in its entirety.
2. Return this worksheet, the Account Transfer Form(s), 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

Prefix	Full Name (First, M.I., Last)	Suffix

Social Security Number	Date of Birth	Marital Status ☐ Divorced ☐ Domestic Partner ☐ Married ☐ Single ☐ Widowed
Number of Dependents (include self)	U.S. Citizen/Permanent Resident ☐ Yes ☐ No	

CONTACT/ADDRESS

Primary Phone ☐ Home ☐ Business ☐ Cell	Additional Phone ☐ Home ☐ Business ☐ Cell
Email Address	

ADDRESS OF RESIDENCE (PO BOX IS NOT ALLOWED)	MAILING ADDRESS, IF DIFFERENT FROM ADDRESS OF RESIDENCE
Street	Street
Apt/Suite	Apt/Suite
City, State, ZIP Code	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 NET WORTH (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 (INCLUDE 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+

TOTAL LIABILITIES (ALL SOURCES, INCLUDING MORTGAGE)
- ☐ 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+

TAX BRACKET
- ☐ 0 – 10%
- ☐ 11% – 15%
- ☐ 16%- 25%
- ☐ 26% – 28%
- ☐ 29% – 33%
- ☐ 33+%

Do you have a Large Trader ID*? ☐ Yes ☐ No

If Yes, what is your Large Trader ID number? ___________________

Known Financial Advisor Since (mm/dd/yyyy)	Years as an Investor

INVESTMENT EXPERIENCE** Please check the products/strategies that best reflect your investment experience to date.

☐ None ☐ Bonds ☐ Options ☐ Margin ☐ Active Short-Term Trading ☐ Inverse/Leveraged Products
☐ Stocks ☐ Mutual Funds ☐ Annuities ☐ Futures ☐ Exchange Traded Funds (ETF) ☐ Alternative Investments

INVESTMENT DECISION MAKING** How involved are you in making your investment decisions?

- ☐ I make my own investment decisions and/or consult with someone other than my Financial Advisor.
- ☐ I discuss investment decisions with my Financial Advisor, but I also consult other sources of financial information and/or discuss with other parties.
- ☐ I rely on the guidance of my Financial Advisor most of the time.
- ☐ I follow the recommendations of my Financial Advisor all of the time.
- ☐ This is my first investment account other than my employer sponsored retirement program.

**A "large trader" is defined as a person or entity that: (i) directly or indirectly exercises investment discretion over accounts and effects transactions for such accounts in exchange-listed securities that equal or exceed two million shares or $20 million during any calendar day, or 20 million shares or $200 million during any calendar month; or (ii) voluntarily files SEC Form 13H.w*

PLEASE SEE REVERSE SIDE

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 (11/17)

Confidential Client Worksheet
Legacy Clients

ASSOCIATIONS

1. Are you or an immediate family member affiliated with or employed by a broker-dealer, a securities exchange, FINRA, or MSRB? ☐ Yes ☐ No

   If yes, name of B/D and position: ______________________________

2. Are you or an immediate family member in a control position (director, shareholder with 10% or more of the stock, or a policy-making executive officer of a publicly traded company? ☐ Yes ☐ No

   If yes, name of company, ticker symbol, and position: ______________________________

3. Are you related to an RBC Wealth Management employee? ☐ Yes ☐ No

   If yes, name of employee, employee's position, and relationship to employee: ______________________________

EMPLOYMENT

Employment Status: ☐ Employed ☐ Retired ☐ Self-employed or small business owner ☐ Student ☐ Homemaker ☐ Not employed

Employer Name	Occupation
Employer Address	
Employer City, State, ZIP Code	

ACCOUNT OBJECTIVES

INVESTMENT OBJECTIVE** (Choose One)

☐ Preservation of Principal/Income – Focus is on preserving principal and generating current income.
☐ Balanced Growth – Focus is on generating current income and/or long-term capital growth.
☐ Growth – Focus is on generating long-term capital growth.
☐ Aggressive Growth/Aggressive Income – Focus is on generating growth and/or income at greater than market rates.
☐ Speculation – Focus is on generating maximum possible returns.

RISK TOLERANCE** Please indicate your risk tolerance. (Choose One)

☐ I am willing to accept **minimal risk**, even if that means my investment does not generate significant income or returns and may not keep pace with inflation.
☐ I am willing to accept **low risk**, including low volatility, and understand I could lose a modest amount of my investment.
☐ I am willing to accept **moderate risk**, including some volatility, to seek higher returns and understand I could lose a portion of my investments.
☐ I am willing to accept **high risk**, including high volatility, and understand I could lose a substantial amount of my investment.
☐ I am willing to accept **maximum risk** and understand I could lose all of my investment.

INVESTMENT TIME HORIZON** When do you expect to cease accumulating assets and begin significant principal withdrawal? (Choose One)

☐ Less than 1 Year ☐ 1-3 years ☐ 4-6 years ☐ 7-8 years ☐ 9-11 years ☐ 12 years or more

LIQUIDITY NEEDS** On an annual basis, what are your expected withdrawal needs? (Choose One)

☐ Less than $1,000 ☐ $1,000 - $9,999 ☐ $10,000 - $49,999 ☐ $50,000 – $99,999 ☐ $100,000 - $249,999 ☐ $250,000+

SOURCE OF FUNDS** (Choose One) ☐ Business/Self-Employment ☐ Gift/Inheritance ☐ Investment Income ☐ Rollover ☐ Sale of Asset ☐ Savings ☐ Settlement ☐ Transfer ☐ Wages/Income

TRUSTED CONTACT**

The trusted contact person is intended to be a resource for RBC WM in administering the customer's account, protecting assets, and responding to possible financial exploitation. RBC WM may use its discretion in relying on any information provided by the trusted contact person. A trusted contact is **not** an authorized party on the account(s) and RBC WM may not rely on instructions from a trusted contact to make transactions related to the account.

Full Name (First, M.I., Last)		
Phone Number	☐ Home ☐ Business ☐ Cell	Email Address
Address		
City, State, ZIP Code		

***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

Confidential Client Worksheet
Legacy Clients

BENEFICIARY INFORMATION FOR RETIREMENT OR TRANSFER ON DEATH (TOD) ACCOUNTS – ATTACH SEPARATE SHEET AS NEEDED**	
Beneficiary 1 ________% ☐ Primary ☐ Contingent ☐ Transfer on Death (TOD)	☐ Per Stirpes ☐ Pro Rata
Full Name (First, M.I., Last)	
Social Security Number	Date of Birth
Address	City, State, ZIP Code
Relationship to Owner ☐ Spouse ☐ Non-spouse ☐ Estate/Entity ☐ Trust	
Beneficiary 2 _______% ☐ Primary ☐ Contingent ☐ Transfer on Death (TOD)	☐ Per Stirpes ☐ Pro Rata
Full Name (First, M.I., Last)	
Social Security Number	Date of Birth
Address	City, State, ZIP Code
Relationship to Owner ☐ Spouse ☐ Non-spouse ☐ Estate/Entity ☐ Trust	
Beneficiary 3 _______% ☐ Primary ☐ Contingent ☐ Transfer on Death (TOD)	☐ Per Stirpes ☐ Pro Rata
Full Name (First, M.I., Last)	
Social Security Number	Date of Birth
Address	City, State, ZIP Code
Relationship to Owner ☐ Spouse ☐ Non-spouse ☐ Estate/Entity ☐ Trust	

***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.*