



## CLIENT INFORMATION & NEW ACCOUNT FORM

### Section I: Account Registration

#### Registration / Title on account

Owner / Trustee name

Birth date

SSN

Marital status

Occupation

Residence / Legal address

Mailing address

Home phone

Work phone

Cell phone

Fax

Employer

E-mail

Employer Address

#### Joint applicant information (if applicable)

Joint owner / trustee name

Birth date

SSN

Marital status

Occupation

Residence / Legal address

Mailing address

Home phone

Work phone

Cell phone

Fax

Employer

E-mail

Employer Address

**Corporate account: *Each authorized signer must complete Section 1***

Account registration / title

TIN

Fiscal year end

Annual revenues

Website

Legal address

Mailing address

Phone

Fax

E-mail

Type of business

**Section 2: Investment Direction**

Registration Type

Individual

401(k)

IRA

SEP IRA

Roth IRA

IRA Rollover

Trust

Corporate

Pension Plan

UGMA

JTWROS

Tenants in common

Community Property

Other

Initial Investment

Source of Funds	Inheritance	Rollover
	Legal / insurance Settlement	Business Revenue
	Investment Life Insurance Loan	Asset Appreciation
	Retirement Savings	Spouse / Parent
	Donations (trust only)	CD Maturity
	Lottery / Gambling Earnings	Gift
	Savings from Earnings	Sale of Assets
	Mutual Fund Money Market	Variable Annuity
	Insurance Proceeds	Investment Proceeds
	Real Estate Proceeds	Business Proceeds
	Other	

### Section 3: Financial Data and Experience

What is your total household annual income?	Less than \$25,000	\$25,000 to \$50,000	
	\$50,000 to \$100,000	\$100,000 to \$500,000	
	\$500,000 to \$1,000,000	Over \$1,000,000	
What is your household net worth (exclusive of home)?	Less than \$25,000	\$25,000 to \$50,000	
	\$50,000 to \$100,000	\$100,000 to \$500,000	
	\$500,000 to \$1,000,000	Over \$1,000,000	
How long have you been investing?	1 - 5 years	6 - 10 years	
	11 - 20 years	More than 20 years	
Which types of investments have you owned (check all that apply)?	Stocks	Partnerships	
	Group Retirement Plans	Bonds	
	Annuities	Mutual Funds	
	Direct Placement Programs		
	Other		
Investment timeline	1 to 3 years	3 to 5 years	More than 5 years
Investment restrictions	None		
	Other		



**Signatures:** If this account is owned or controlled by more than one individual or entity, "I" refers to all account owners. I certify under penalties of perjury: (1) that the social security or taxpayer identification number provided above is correct and (2) that the Internal Revenue Service (IRS) has never notified me that I am subject to backup withholding or has notified me that I am no longer subject to such backup withholding. (Note: if (2) above is not true, please strike out that part before signing below.) The IRS does not require your consent to any of the terms of this agreement other than the certifications required to avoid backup withholding. By signing below, I represent and warrant that the information provided on this Client Information and New Account Form and the identification presented to verify my identity is true and accurate. I represent that I will notify Hallett in writing immediately if there is any material change in the information I have provided and I acknowledge that I have received, read, understand, and agree to be bound by and to abide by all of the terms and conditions set forth in this New Account Form by reference. I acknowledge that I am solely responsible for reviewing my account documentation for accuracy and completeness.

I acknowledge that I have received a copy of the Hallett & Associates, P.S. Form ADV and Privacy Policy.

\_\_\_\_\_  
Signature of Primary Investor (or Authorized Signer/Custodian/Trustee) \_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Joint Investor (or Trustee) \_\_\_\_\_  
Date

James D. Hallett, MSFP, CFP® ChFC CLU AIFA®  
IA Representative (Print name) \_\_\_\_\_  
Date  
(Signature)

Hallett & Associates, P.S. dba Hallett Advisors is registered as an investment adviser with the SEC and only transacts business in states where is it properly registered or excluded from registration requirements. 321 East First Street • PO Box 3050  
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