New Business Checklist

IN ORDER TO PROCESS NEW BUSINESS WITH SOWELL MANAGEMENT SERVICES,
WE MUST HAVE A SIGNED SOLICITORS AGREEMENT ON FILE.

Please email support@sowellmanagement.com if you do not have one on file.

☐ Fidelity ☐ Pershing ☐ TD Ameritrade ☐ Charles Schwab

The following forms must be completed and returned directly to SMS to add third party management.

☐ SMS Investment Management Agreement
☐ SMS Confidential Investor Profile
☐ SMS Solicitor Disclosure Statement (if applicable)
☐ SMS Managed Account Information Page (one per account)
☐ Account Application & Other Custodial Forms

! DID YOU KNOW SMS can fill out your paperwork for you with your client's consent?

In addition to the forms listed above, your broker dealer may have additional requirements, such as requiring account information forms, third party disclosure documents or other requirements.

☐ I certify that I have reviewed the attached for accuracy.

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Advisor's Signature

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