Fidelity Investments — New Business Checklist

In order to do business with Lorence & Vander Zwart:

1. LVZ must have on file a signed Solicitors Agreement.

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

The following forms need to be completed and returned <u>directly to LVZ</u> to add third party management.

LVZ Investment Management Agreement Form

LVZ Investor Suitability Questionnaire

LVZ Solicitor Disclosure Brochure

Fidelity Application—IRA or Non-IRA

Fidelity Transfer of Assets form

~ TOA form must include client statement from prior account

What additional items are you required to provide to your client at the time of sale?

Copy of the Lorence & Vander Zwart ADV Part II

<u>Did you know:</u>

LVZ can fill out your paperwork for you with your client's consent?

The above forms are available on Laser App and our website?

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