



World Equity Group

Account Analysis Decision Form

The **Account Analysis Decision Form** must be used **prior** to opening a new account or when a recommendation is made to the client to transfer from a commission-based account to a fee-based investment advisory account or from a fee-based investment advisory account to a commission-based account.

The Account Analysis Decision Form is designed to help the WEG Representative document the analysis, rationale and decision made to recommend to the client that the relationship is to be commission based, investment advisory fee based or a combination of both. There are a number of factors that must be considered before making a recommendation, including but not limited to the client's age, investment objective(s), risk tolerance, investment time horizon, total amount of expected investable assets in the account, expected number of trades in the account, and the overall costs, fees and expenses associated with the account.

Client's Name Printed: _____

How was the client acquired? (i.e. new, referral, existing): _____

How long have you known the client?: _____

Is this a new account? YES NO. If **NO**, date the account was opened: _____

If **YES**, provide an explanation in **detail** your rationale for recommending a commission-based brokerage account and/or a fee-based investment advisory account:

REQUIRED INFORMATION FOR ALL ACCOUNTS:

Proposed Account Type (commission, investment advisory, or both) _____

Expected Types of Investments (i.e. stocks, bonds, MFs, ETFs) _____

Expected amount of total assets in the account \$ _____

Expected number of trades next 12 months _____

Expected amount of commissions next 12 months \$ _____

Expected amount of investment advisory fees next 12 months \$ _____

Amount of commissions charged since account inception \$ _____

Amount of investment advisory fees charged since account inception \$ _____

Is this a transfer from an existing fee-based investment advisory account to a commission-based brokerage account?

YES NO

If **YES**, provide an explanation in **detail** your rationale for recommending that the client change from a fee-based investment advisory account to a commission-based brokerage account:

Is this a transfer from an existing commission-based brokerage account to a fee-based investment advisory account?

YES NO

If **YES**, provide an explanation in **detail** your rationale for recommending that the client change from a commission-based brokerage account to an investment advisory fee-based account:

WEG Advisor's Signature

WEG Advisor's Name Printed

Date

WEG HOME OFFICE USE ONLY

Approved as a: Commission-based account Fee-based advisory account Both

WEG Principal's comments:

WEG Principal's Signature

WEG Principal's Name Printed

Date