REGAL HOLDINGS
Integrity • Innovation • Independence

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Advisor Work Item Checklist

- ☐ **Correct Forms:**
  - ☐ New Account Form
  - ☐ Client First Commitment
  - ☐ Gov't ID

  NA - Advisory
  - ☐ Client Investment Advisory Agreement
  - ☐ Investment Policy Statement
  - ☐ Custodian Paperwork
  - ☐ Transfer Form (Optional)
    - ☐ Statement dated within 90 days

  NA - Pershing
  - ☐ Pershing Paperwork (unless NQ)
  - ☐ Transfer Form (Optional)
    - ☐ Statement dated within 90 days

  NA - Direct Business
  - ☐ Mutual Fund Disclosure or 529 Disclosure
  - ☐ OR Change of Broker Dealer Letter
  - ☐ Vendor Paperwork

  NA - Fixed Indexed Annuity
  - ☐ Fixed Indexed Annuity Disclosure
  - ☐ Vendor Paperwork

  NA - Variable Annuity
  - ☐ Variable Annuity Disclosure
  - ☐ OR Change of Broker Dealer Letter
  - ☐ Vendor Paperwork

  NA - Financial Planning
  - ☐ Financial Planning Docs
- ☐ **Form Review: Complete and Signed**
- ☐ **Form Review: Labeled Correctly**
- ☐ **Add Notes to work item** (optional)