

The following is a checklist of steps to take to set up your asset management service.

- ☐ Form ADV Part II (disregard if you've already done this)
  - Read over the document. It is our disclosure document and is provided to you as required by law.
- ☐ Privacy Policy (disregard if you've already done this)
  - Read our Privacy Policy document
  - List the names of individuals with whom you authorize us to share your information.
  - Sign and date the form.
  - Return the form to us.
- ☐ Asset Management Agreement
  - Read the agreement.
  - Sign and date it.
  - Return it to us.
  - We will send you a copy for your records.
- ☐ Authorization for Electronic Communication
  - Read the document.
  - Provide us with your contact email address.
  - Sign and date it.
  - Return it to us.
- ☐ Authorization to Direct Bill
  - Read the document
  - Sign and date it if you wish to participate (recommended)
  - Return it to us.
- ☐ For assets that will be managed through Scottrade (note that all forms are hyperlinked to this document, and links to all forms can be found in the forms section of the pwa website for your convenience):
  - If the account is not currently held at Scottrade:
    - Goto [www.scottrade.com](http://www.scottrade.com) and click on Open An Account.
    - Follow the instructions to open a new Scottrade account. Make sure you fill out the correct account type (individual, IRA, Roth IRA, IRA Rollover, etc.)
    - Fund the account:
      - If you're funding it with cash, deposit the cash into the account.
      - If you're funding the account with securities from another brokerage:

- Follow the instructions for transferring your account on the Scottrade website  
<http://www.scottrade.com/formscenter/ACAT.asp>
- If you're funding the account by rolling over a 401k or other retirement plan:
  - Contact the retirement plan administrator and obtain the form necessary for a direct transfer of the account to Scottrade. Make sure they are not sending you a check and withholding 20%, but instead they are sending 100% of the vested amount directly to Scottrade on your behalf.
- Whether the account is currently held at Scottrade or not:
  - Fill out the [Limited Trading and Fee Authorization](#) form
  - Return the form to us.
  - If you have not yet enabled options for your account:
    - Read over [Characteristics and Risks of Standardized Options](#)
    - Fill out the [Scottrade Options Agreement – With Advisor](#) form.
    - Return the form to us.
  - If you have not yet signed a margin agreement with Scottrade:
    - Fill out the [Margin Agreement](#) form.
    - Return the form to us.
- For assets that will be managed outside Scottrade, you will act as the intermediary between PWA and the asset. Please provide to us a current statement of value as well as all other relevant information (asset allocation if sub-divided, loans outstanding incl. term, interest rate and balance, cost basis, holding period, etc.). We will meet to discuss the process we'll use to manage the account.

If you have any questions or would like assistance in completing any of these steps, please don't hesitate to contact us by phone (404-380-1977) or email ([tom.nardoizzi@perpetualwealthadvisors.com](mailto:tom.nardoizzi@perpetualwealthadvisors.com)).