PRIVATE CLIENT SERVICES

MEMBER FINRA, SIPC
A Registered Investment Advisor

Fee Based Annuity Purchase Form

Advisor Name _____

Advisor PCS Code _____

Owner Information

Owner Name:	SSN/Tax ID:	DOB:
Co-Owner Name:	SSN/Tax ID:	DOB:
Annuitant Name (s) (If different from Owner):	SSN/Tax ID:	DOB:

Patriot Act Verification (Select government-issued document used for verification)

Owner	Co-Owner
☐ Driver's License ☐ Passport ☐ Other	☐ Driver's License ☐ Passport ☐ Other
ID# State Issued	ID# State Issued
Issue Date Expiration Date	Issue Date Expiration Date
Legal Address (no PO Box):	Legal Address (no PO Box):
City State Zip	City State Zip
Country of Citizenship: Primary Phone:	Country of Citizenship: Primary Phone:

Suitability Information

Investment Experience	Net Worth	Liquid Net Worth
☐ Fixed Annuities _____years ☐ Variable Annuities _____years ☐ Bonds (debt) _____years ☐ Bank CDs _____years ☐ Other _____ _____years	☐ $0 - $50,000 ☐ $50,001 - $100,000 ☐ $100,001 - $250,000 ☐ $250,001 - $500,000 ☐ $500,001 - $1,000,000 ☐ $1,000,001 - $5,000,000 ☐ > $5,000,000	☐ $0 - $50,000 ☐ $50,001 - $100,000 ☐ $100,001 - $250,000 ☐ $250,001 - $500,000 ☐ $500,001 - $1,000,000 ☐ $1,000,001 - $5,000,000 ☐ > $5,000,000
Annual Income : $	Approximate Annual Expenses: $	
Current Source(s) of Income:	Tax Bracket	
	☐ 0 – 15% ☐ 15.1 – 32% ☐ 32.1 – 50% ☐ Over 50%	

Source of Funds - PCS uses a 6 month look back on all source of funds disclosures

Select all that apply			
☐	Fixed Annuity	☐	CD / Checking / Savings
☐	Variable / Equity Indexed Annuity	☐	Insurance / Death Claim
☐	Mutual Funds	☐	Stock / ETF / Bonds
Other - describe _____			

Liquidated Product is: ☐ Commission Based ☐ Fee Based ☐ Both ☐ Other_____	
Liquidated Product Name:	
Liquidated Amount $	Client will pay $ _____ in surrender costs Remaining surrender months _____
If the liquidated product has additional riders, please provide the name, cost and details of each rider.	
Describe what specific features the client is giving up with liquidation (example: income rider, death benefit, market protection, etc)	
Explain the benefit to the client from this liquidation / transaction	

Annuity Purchase Information

Product Name & Issuing Company:	
Annuity Concentration (% of investable assets) _____ %	Purchase Amount $ _____
Advisory fee being charged _____%	Surrender Schedule: _____years

Additional Rider Information

☐ Guaranteed Minimum Withdrawal	☐ Guaranteed Minimum Income
☐ Guranteed Minimum Accumulation	Other _____
Name of rider _____	
Cost of Rider _____ %	

Death Benefit Information

☐ Premium less withdrawals or Account Value	☐ Enhanced
☐ Account Value Only	☐ Other _____

Signatures

Owner Name:	Signature	Date
Co-Owner Name	Signature	Date
Rep Name	Signature	Date
OSJ Name (if applicable)	Signature	Date
PCS Managing Principal Name	Signature	Date

Additional client disclosures available at pcsbd.net/disclosures