Schwab

Second Name / Name Change Form

Minimum Requirements

1. List account holder's information in Section 1
    a. Account number(s) to which second name or name change applies
    b. First, Middle Initial, and Last Name
2. If client needs to list a second name on account(s) (ex. Legal name is Robert John Smith, but accounts are held as RJ Smith), complete Section 2
    a. List Second "Other" First Name, Middle Initial, and Last Name
    b. Sign Second "Other" name where indicated in Section 2
3. If client needs to change the name on account(s) due to marriage, divorce, legal name change, etc., complete Section 3
    a. List First Name, Middle Initial, and Last Name of FORMER NAME
    b. List First Name, Middle Initial, and Last Name of NEW NAME
    c. Attach/Include a copy of a legal document showing your new name. For Example: Marriage License, Divorce Decree, Birth Certificate, Other Court Document showing your new name.
4. Complete Section 4 with name account holder wishes the account(s) to be registered
    a. First Name, Middle Initial, Last Name
5. Client must sign and date using name listed in Section 4
6. Form must be saved and sent with copy of documentation showing new name to scoperations@marinerwealthadvisors.com

Frequently Asked Questions

Q.   Do I need to include an original copy of the legal document or will a copy work?

A: Generally, a copy will work as long as it is able to be read.

Q.   Can I take a picture of my legal document and send it to you as proof?

A.   No. Most custodians will not accept a picture of a legal document as proof. They prefer to have a physical photocopy.

Q: I'm a Jr., but my father is deceased and I never use the Jr. on anything. Do I have to add it to my name on the account?

A: Yes. The custodians are required to check each client's personal information against government records. If your social security number is attached to an account with a Jr. on it, then we would need to use Jr. on your paperwork. Otherwise, the paperwork will be returned as not in good order.