
MARINER

MARINER FORMS

Account Profile

Minimum Requirements

1. Page 1 – Please list legal name(s), including middle initial if known, of client(s)
 - a. If the client has a suffix (Sr., Jr., II, etc) it is important to include that information.
 - b. The more information you provide, the easier and faster the paperwork is for your client to complete.
 - c. If you choose to have the paperwork sent to the client(s) via DocuSign, remember that **Mariner must send out the forms to the client through our DocuSign** system. Custodians will NOT accept paperwork that is DocuSigned through an advisor's system.
 - d. For DocuSign, we will need a valid email and cell number for each client who will be signing paperwork.
2. Page 2 – Notes
 - a. If beneficiaries are to be listed on the accounts, at minimum we need to know the beneficiary's name, if the person is a primary or contingent beneficiary and the percentage to be assigned.
 - b. If the account is going to be a trust, please complete the Trust information. **We require a copy of the Certification of Trust or a copy of the Trust Document before we prepare Trust paperwork.**
3. Page 3 – Notes
 - a. Please be sure to complete the Consultant/Solicitor information at the top and indicate any fee splits and percentages at the middle of the page.
 - b. Please contact us concerning Fee Questions – fees can be provided for your portion only or as the Total Client fee – fees can be tiered or flat.
4. Send completed Account Profile with Client Investment Profile (and CURRENT Statements for accounts to be transferred) through Freshdesk or email to cpgpaperwork@mariner.com

Frequently Asked Questions

- Q. Why is it necessary to use the client's legal name on the account?
- A. The custodians run a Patriot Act confirmation on every client opening an account which looks at a person's name in connection with their social security number and address as well as other identifiers. If we don't provide the legal name, we often have to go back and get additional forms or documentation to prove the client's identity.
- Q. My clients are unsure of their beneficiaries right now; do we have to list them?
- A. No, we can always have them sign additional forms later to add or change beneficiaries.
- Q. Why is it important to let you know about Fee Splits?
- A. Mariner Compliance requires that anyone being paid fees on an account must be listed on the Solicitor Disclosure. The client must know and sign off on who is to receive fees. If we don't have the correct information up front, or if the advisor changes, we must update the Solicitor Disclosure to reflect the correct information.
- Q. What are the benefits to including statements for transferring accounts up front?
- A. 1) We can prepare the transfer forms correctly and let you know if there is anything that we see as a possible issue. For example, some custodians will not accept transfer forms unless they have been physically signed.
2) Sometimes we find that the account is actually one that can be taken over rather than having to open a new account and transfer it in. It saves the client and you time.
3) If we are provided with current statements, the investment proposal will include portfolio comparison reports along with talking points for you to use as you meet with your client(s).

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