

## 2018 Trustmont National Conference

Anthony Hladek

President

Aimee Toth
Chief Compliance Officer



## **Managed Account Platform**



## NAF IS NOW CPF

#### **NEW ACCOUNT FORM**

				DINK FORM				
			NEW ACC	DUNT FORM				
Trustmont Croup		Trustment Fin	ancial Group	Trustmont Advisory Gro	MEMBER: FINRA/SIPC www.trustmontgroup.com			
200 Brush Run Road	Update Address	Upd	ated Profile	36-Month Update Upda	de (Other)	Telephone: 724-468-5665 Toll-Free: 800-618-3666		
Greensburg, PA 15501		-		d by FINRA. All spaces must be com		Fax: 724-468-5675		
		e iolowing into	intacon is require	any Pinnox. An spaces must be com	pieteu.			
Account Registration (ex. John as	nd Jane Smith)							
Individual	529 Plan		Custodial/UGMA		st [	Other (please specify)		
Joint Tenants	Dartnerskin -		custodian and mit	nor information) .	te 🗆			
Corporation	Retrement							
Primary Owner First Name	Retrement		IMI.	Co-Owner First Name		IMA		
Primary Owner First Name			M.	Co-Owner First Name		M.L		
Last Name				Last Name				
Teni Affress				Lesal Address				
(No PO Box)				(No PO Box)				
Chy	IState		17IP	City IState		DIP		
1-7			Г					
Maling Address				Maling Address	•	-		
(f different than legal) City	Elvin			(if different than legal)	Elisia			
City	0.000		-	out .	oate	200		
Home Telephone		Business Phot	ne	Home Telephone	-	Business Phone		
Social Security/Tax ID #		Birth Date		Social Security/Tax ID #		BIVID Date		
OCCUPION DE LO S		Unite Date		Occur occurry rax to a		unu Jake		
Driver's License/State ID/Passport				Driver's License/State ID/Passport		•		
State/Country Issued		Exp. Date		State/Country Issued		Exp. Date		
1								
Citizenship	E-mail Address			Ottzenship	E-mail Address			
Occupation	Business Nature			Occupation	Business Nature			
					1			
Employer		No. of Depend including self	ients	Employer	,	No. of Dependents Including self		
Business Address				Business Address				
			Inves	tor Profile				
Annual Income (all sources)			1	Joint Owner's Annual Income (al				
	\$400,000 - \$499,5			Less than \$50,000				
\$100,000 - \$199,999	\$500,000 - \$99,999 () \$500,000 - \$749,999 () \$100,000 - \$199,999 () \$750,000 - \$999,999 ()			\$50,000 - \$199,999 \$500,000 - \$749,999 \$ \$100,000 - \$199,999 \$750,000 - \$999,999				
\$200,000 - \$299,999	\$1,000,000 +	~ X		\$200,000 - \$299,999 ( \$1,000,000 + (		B		
\$300,000 - \$399,999	* .,			\$300,000 - \$399,999	**,,,			
Net Worth-excluding primary reside	nce (combined if los	nt account)	1	Liquid Net Worth (Combined If Joh	of account)			
Less than \$100,000	\$500,000-\$999,99		4	Less than \$100,000	\$500,000-\$999,9	99		
\$100,000 - \$249,999  \$1,000,000 - \$2,999,99				\$100,000 - \$249,999  \$1,000,000-\$2,0		99,999 🔿		
\$250,000-\$499,999	\$3,000,000 +	Ö		\$250,000-\$499,999	\$3,000,000+	ŏ		
				employment, allmony, social security		etc.		
				labilities, excluding your primary resid				
Tax Bracket 0 - 10'		11-15-%	orth minus assets 16 - 25%	that cannot be converted quickly and	easily into cash.	33% + □		
		reach [	16 - 25%					
Investment Objective (choose one		1	Ī	Growth - Focus is on generating to		wdt.		
Preservation of Principal / In -Pocus is on preserving princi		rument income	- 1	Aggressive Growth / Aggressive - Focus is on generating growth				
Ralanced Growth	the end Scholand	Larron victime.	г	* Pocus is on generating growth * Speculation	andor income at gr	curer even market fates.		
- Focus is on generating cum	ent income and/or io	ng-term capital	growth.	- Focus is on generating maximu	um possible returns.			
Risk Tolerance Please Indicate y								
				nerate significant income or returns as	nd may not keep oa	ce with inflation.		
				a modest amount of my investment.				
I am willing to accept MODERA	TE RIBK, Including	some volatility,	to seek higher reb	ums and understand I could lose a po	rtion of my investme	nt.		
I am willing to accept HIGH RIS	K, including high vo	latility, and unde	erstand I could los	e a substantial amount of my investm	ent.			
I am willing to accept MAXIMUI	M RISK and underst	and I could lose	all of my investm	ent.		Page 1		
						01/10/2017		

#### **CLIENT PROFILE FORM**

Trustmont Group 200 Brush Run Road	Update Address [	CLIEN Trustment Financial Grou Updated Profile		ry Group Update (Other)	MEMBER, FINRA/SIP www.frustmortgroup.co. Telephone: 724-488-588 Toll-Free: 810-518-388			
Greensburg, PA 15801			equired by FINRA. All spaces must b		Fax: 724468-56			
Account Registration (ex. Joi	nn and Jane Smith)				Check if new account			
Individual United Tenants	629 Plan		IGMA/UTMA (Provide Ind minor information)	Trust	Other (pieuse specify)			
Compration	Retirement			Comm				
Primary Owner First Name	residence	M.I.	Co-Owner First Name		M.I.			
(Entry, Trunt, Estate) Last Norme			Charter, Exercisis					
			II .					
Legal Address (No PO Box)			(No PO Box)	Degal Address				
City	State		City					
Mailing Address (if different than legal)			Mailing Address (if different than legal)					
City	State	ZIP	City	State	ZIP			
Hame Telephone		Business Phone	Home Telephone		Business Phane			
riune releptione		dusiless Filone	Fruite recuriore		DUSINGSS PHONE			
Social Security/Tax ID N		Birth Date	Social Security/Tax ID #		Birth Date			
University Licensers taxe IUP ass	ion.		Universitionise orate IUPS	ssport				
State/Country Issued		From Liste	State/Country Issued		Brown 1199a			
State Country Issueu		eq. one			Esp. Cone			
Ctrzenship	L-mail Address		Otzenship	L-mail Address				
Occupation	Business Nature		Occupation	Business Natur	e			
Employer		No. of Dependents including self	Employer		No. of Dependents including self			
Eusiness Address			Eusiness Address					
			Investor Profile					
Annual Income (all sources)			Joint Owner's Annual Inco	me (all sources)				
Less than \$50,000 🔘	\$400,000 - \$499,9		Less than \$50,000 C	\$400,000 - \$49				
\$100,000 - \$99,999	\$500,000 - \$749,999 C \$750,000 - \$999,999 C		\$50,000-\$99,999 (	\$500,000 - \$74 \$750,000 - \$89				
\$200,000 - \$299,999	\$1,000,000 +	~ ~	\$200,000 - \$299,999	\$1,000,000+	Ö			
0 000,0004			\$300,000 - \$399,999					
Net Worth-excluding primary in Less than \$100,000	sidence (combined if join \$500,000-\$999.99		Liquid Net Worth (Combine Less than \$100,000	d'if joint account) \$500,000-\$999				
\$100,000 - \$249,999	\$1,000,000-\$2,99		\$100,000 - \$249,999	\$1,000,000-8989				
\$250,000-\$489,889	\$3,000,000 +	~	\$250,000-\$488,888	\$3,000,000+				
	Annual Income includ	es income from sources si	uch as employment, allmony, social si	ecurity, investment incon	re, etc.			
			your liabilities, excluding your primar issets that cannot be converted quick					
Marginal Tax			-25% T 26 - 28% T	29 - 33%	33% + 🗀			
Bracket Investment Objective (choose	one)		E					
Preservation of Principa			Growth - Focus is on general Aggressive Growth / Aggre		rowth.			
-Focus is on preserving	principal and generating o	went income.	- Focus is on generating g		greater than market rates.			
Balanced Growth	current income and/or loc	a face and a second	Speculation     Focus is on generating r					
				vanarnarii possibre return	0.			
Risk Telerance Pinase indic			not generate significant income or ret	ums and may not been n	nes with inflation			
			not generate significant income or let ld lose a modest amount of my invest		OCC THOS PROBLEM.			
			er returns and understand I could los		nent.			
			uld lose a substantial amount of my in					
I am willing to accept MAX	MUM RISK and understa	nd I could lose all of my in	vestment.		Page 1			



# Annual Questionnaire





### **New Financial Advisory Agreements**



**DESTROY** all old FAAs. They will no longer be accepted.

(The new FAA can be found on the Trustmont website)



#### **FUNDKEEPER**

#### **Interfaces with Portfolio Pathway and Jaccomo**

(still in production)



### **Text Messaging**

Business related
TEXT messaging
requires

ARCHIVE and REVIEW



## **Performance Reporting**





Available here for your needs and inquiries













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