

Required Paperwork For Direct Accounts

New Account Paperwork		
Individual or Joint	Variable Annuities	Mutual Funds
<ul style="list-style-type: none"> • Carrier/Sponsor’s application, transfer form, prospectus, etc. • Cape Securities Rep Checklist • Cape Securities Investor Profile • Cape Securities Account Profile • Form CRS Firm & Reg BI Personal Info • Valid Government ID 	<ul style="list-style-type: none"> • Carrier/Sponsor’s application, transfer form, prospectus, etc. • Cape Securities Rep Checklist • Cape Securities Investor Profile • Cape Securities Account Profile • Cape Securities Annuity Acknowledgement • Form CRS Firm & Reg BI Personal Info • Valid Government ID 	<ul style="list-style-type: none"> • Carrier/Sponsor’s application, transfer form, prospectus, etc. • Cape Securities Rep Checklist • Cape Securities Investor Profile • Cape Securities Account Profile • Mutual Fund/529Plan/UIT Acknowledgement Form • Form CRS Firm & Reg BI Personal Info • Valid Government ID

Broker/Dealer Change Paperwork
<ul style="list-style-type: none"> • Broker/Dealer Change Form (Carrier or CAPE) • Cape Securities Rep Checklist • Cape Securities Investor Profile • Cape Securities Account Profile • Copy of Client’s Account Statement (when possible) • Form CRS Firm & Reg BI Personal Info • Valid Government ID