

Fidelity - SMA / Non-Qualified Paperwork and Process

1. Forms



1. TPFG Investment Management Agreement (IMA)
2. TPFG Risk Profile & Statement of Investment Selection (SIS)
3. Fidelity Brokerage Account Application for Personal Registrations
4. Fidelity Transfer of Assets Form (*if applicable – please Include a statement*)
5. Fidelity Establishing Standing Banking Instructions Intake Form - Highly recommended to fund account, rather than sending a check.

Important Details



Transaction Based Pricing is more cost effective than Asset Based Pricing for these parameters: All “Strategic” SMAs, \$140k+ for Balanced, Equity and Income SMAs, and \$125k+ for Defender Moderate Conservative, Moderate and Moderate Growth.

- **For ABP use G Number: G20636918 on Fidelity forms**
- **For TBP use G Number: G21181032 on Fidelity forms**
- TBP assumes commissions of \$20 per MF trade (\$40 for buys in certain fund families) and ABP of 14 bps up to \$250,000 w/tiered pricing above \$250,000; inquire with TPFG sales for details (04/22)
- TBP analysis based on average MF trades/year and is subject to change (04/22).
- **For accounts with a number of existing mutual fund positions or that plan to take frequent distributions or add frequent contributions, those factors should be taken into consideration when determining ABP versus TBP.**
- **Make checks payable to: Fidelity Investments Inc. FBO Client Name.**
- **Send checks directly to Fidelity Investments.**

Please send checks to:

Fidelity investments
PO Box 770002
Cincinnati, OH 42577

Overnight Mail:

Fidelity Investments
100 Crosby Parkway
Mailzone KC1J
Covington, KY 41015
(800) 523-1203

2. Submit



Send all forms to The Pacific Financial Group.

Electronically: TeamCS@TPFG.com

OR, Fax: 425-451-7731

OR, Mail: The Pacific Financial Group, Inc.

Attn: Client Services

11624 SE 5th Street, Suite 100

Bellevue, WA 98005

Phone: 800-735-7199

1. Once TPFG receives the paperwork, TPFG's client services team will send you a confirmation email.
2. If you do not hear from TPFG within 2 weeks after receiving the new account confirmation email, please follow-up with TPFG to be sure everything is in good order.
3. Once the account has been traded, TPFG's client services team will send you a confirmation email.

