

LEVEL 1 NIGO's can still be processed with an Internal Document Coversheet.

LEVEL 2 NIGO's will require the customer and/or Rep to correct the form and resubmit.

## RIA ACCOUNT PROFILE

### Level 1:

- Misspelled name
- No box/wrong box checked
- Mistyped account number
- Missing client information (other than name)
- Missing entity information
- Missing financial information
- Missing suitability information
- Missing/wrong date on signature

### Level 2:

- Missing owner/joint owner/rep signature
- Missing entire joint owner section

## DAMA

### Level 1:

- Mistyped account registration/account number/advisor code
- Missing/wrong date on signature

### Level 2:

- Date and name in paragraph 1 must be filled out correctly
- Missing owner/joint owner/rep signature
- No change to strategy can be made
- No change to advisor fee can be made

## RISK TOLERANCE QUESTIONNAIRE

### Level 1:

- Mistyped account registration/account number/advisor code
- Missing/wrong date on signature

### Level 2:

- No changes to answers can be made

## TRUSTEE CERTIFICATION

### Level 1:

- Misspelled trust title
- Incorrect/missing date of trust
- Trust amendment/restatement
- Misspelled name
- Missing individual authority designation
- Missing powers of the trust
- Missing/wrong date on signature

### Level 2:

- Missing trustee information
- Missing trustee signature