

Direct Business Procedures

All Direct Business must be submitted to the home office for processing prior to submission to the corresponding company.

The following should be used as a guide when submitting direct business:

Mutual Fund Requirements for RRs

1. A shell account must be open at MoneyBlock one of the following ways:
 - a. Online
 - b. Paper/PDF application – info filled out online and apps and agreements printed and signed by client
2. A copy or a driver's license or other government-issued photo ID
 - a. For online application, a valid government-issued photo ID must accompany the application (please include a copy even if a license has been previously provided to speed the approval process)
 - b. For the Paper/PDF application, a valid government-issued photo ID must be included.
3. Mutual Fund Disclosure
4. Mutual Fund Application
5. Other forms as required for suitability determination
6. Direct Business Blotter