Dark Horse LLC

On-Boarding Checklist for New Clients

- ☐ Fill out the Initial Consultation Form and Risk Tolerance Questionnaire.
- ☐ Contact Dark Horse via email at James@be-a-darkhorse.com or by phone at 281-733-7340 to schedule an appointment/interview to talk about your investment goals.
- ☐ Sign an investment advisory agreement.
- ☐ Set up your Scottrade account. We will provide all necessary forms and help facilitate this process to make the transition as smooth as possible.
- ☐ Sign a Fee Authorization and Discretionary Authority form for Scottrade.
- ☐ Deposit your funds or transfer the account from your current custodian.
- ☐ Once you have completed these steps, Dark Horse LLC will begin setting up your portfolio to reflect the investment style that we believe best fits your savings goals, risk tolerance, time horizon, and risk capacity.

Shortly after your transfer to Scottrade is completed, you will receive a welcome packet from Dark Horse with all counter-signed documents to keep for your records, a welcome letter, a Dark Horse pen, business cards which have our contact information and website address, and a copy of your first invoice.

You will also receive a packet from Scottrade which contains information about your Scottrade account(s)and how to access these account(s) online.

If you have any questions or concerns about the on-boarding process or need help at any point before or after this process, please contact us. We will always do our best to answer any questions you may have regarding your finances/investments and help you with any aspect of on-boarding that we possibly can. We can be reached by phone or email during normal business hours, 8am-4pm CST, at James@be-a-darkhorse.com or 281-733-7340.

Client Name:

Date: