

Completing Your Account Opening Packet

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Completing Your DocuSign Account Packet

A Step-by-Step Guide

Setting up a new investment account involves several important documents and signatures to ensure everything is compliant and aligned with your goals. In this guide, we'll walk you through the process of completing a new Account Packet in DocuSign, including what to expect and how to navigate the forms confidently.

Watch this [video](#) to walk through the process

[Completing Your DocuSign Account Packet: A Step-by-Step Guide - Watch Video](#)

What's in Your DocuSign Account Packet?

When you receive your new account packet via DocuSign, it may include several key documents:

- Client Intake Form
- Risk Meter and Investment Policy Statement – Signature required
- FG Asset Management Advisory Agreement – Signature required
- Custodian Account Opening Paperwork – Signature required
- FG Asset Management ADV2A – For client records only; no signature required
- FG Family Office Services ADV2A – For client records only; no signature required
- Advisor's ADV2B – For client records only; no signature required

Each of these serves a unique role in establishing your investment profile, custodian account setup, and compliance with fiduciary standards.

Accessing Your Packet

You'll receive an email from **Asset Support** or possibly from **Client Success**, containing a secure link to your DocuSign documents.

Step 2: Advisor Review and Document Edits

Before the packet reaches you, your advisor will typically review and sign the necessary documents. Once it's your turn:

- **Review the fields carefully.**
- If any details need updating, simply click into the editable fields within DocuSign to make corrections.
- Fields highlighted in **solid colors** indicate required information. Be sure not to skip these, as they are essential for processing.

This section below will go over the forms you may find in the packet

Client Intake Forms

There are three different types of intake forms, but most often the Standard one will be used. Below are the sections and some important details about each section:

1. **Primary Contact** or Trustee Personal Information
2. **Secondary Contact** or Trustee Personal Information
3. **Trust Information:** Applicable if you have a trust account
4. **Household Client Profile:** The "Household Client Profile" section of the intake form is critically important for several reasons, as it serves as the foundation for aligning your financial portfolios. Below are some key notes to understanding some important fields.

4 Household Client Profile			
Current Annual Income	Net Worth (exclude primary residence)	Total Household Debt & Liabilities	
Current Annual Expenses	Liquid Net Worth	Number of Dependents	Income Tax Bracket
Time Horizon <input type="checkbox"/> Immediate (<1 year) <input type="checkbox"/> Short Term (1-3 years) <input type="checkbox"/> Intermediate (3-5 years) <input type="checkbox"/> Moderate (5-10 years) <input type="checkbox"/> Long Term (10+years)			
Liquidity Needs: The ability to convert quickly and easily to cash all or a portion of the investments in this account without experiencing significant loss in value from, for example, the lack of a ready market, or incurring significant costs or penalties is...(check one) <input type="checkbox"/> Very Important <input type="checkbox"/> Important <input type="checkbox"/> Somewhat Important <input type="checkbox"/> Does Not Matter			
Risk Tolerance Level: Please select the degree of risk you are willing to take with your investments overall. <input type="checkbox"/> Conservative: I am willing to accept low risk to my initial principal, including low volatility, to seek a modest level of portfolio returns, even if that means this account does not generate significant income or returns and may not keep pace with inflation. <input type="checkbox"/> Moderate/Conservative: I am willing to accept moderately low risk and volatility to seek modest returns which may not keep pace with inflation, and I understand that I could lose a portion of the money invested. <input type="checkbox"/> Moderate: I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and I understand I could lose a portion of the money I invested. <input type="checkbox"/> Moderate/Aggressive: I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and I understand I could lose a substantial amount of the money invested. <input type="checkbox"/> Aggressive: I am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and I understand that I could lose most, or all of the money I invested.			

- a. **Time Horizon:** Time horizon options range from immediate to long-term (10+ years). This helps:
 - i. Align investment types with goals (e.g., short-term savings vs. retirement).
 - ii. Manage risk appropriately; longer time horizons can typically tolerate more market volatility.
- b. **Liquidity Needs:** Understanding how important quick access to funds is enables better selection of investments:
 - i. Clients needing high liquidity might avoid long-term or illiquid assets.
 - ii. Those with low liquidity needs can potentially pursue more aggressive strategies for higher returns.
- c. **Risk Tolerance Level** (should align with your Risk Meter): The form offers a spectrum from Conservative to Aggressive:
 - i. This determines portfolio allocation (e.g., stocks vs. bonds).
 - ii. Aligning risk preference with investment strategy is crucial for client satisfaction and long-term success.
 - iii. Helps advisors meet fiduciary duties by ensuring recommendations are suitable.

5. **Household Investment Experience:** Also critically important for aligning financial goals

5 Household Investment Experiences
Investment Objectives: Please select the objective(s) below that best describe your financial goals. <input type="checkbox"/> Income/Retirement Income: I have/will have a need for income over time and can withstand potential fluctuations in price/value. <input type="checkbox"/> Growth: I seek growth/capital appreciation and can withstand fluctuations in price with a goal of higher account value. <input type="checkbox"/> Aggressive Growth/Speculation: I seek rapid growth of capital and can tolerate wide fluctuations in market values. <input type="checkbox"/> Tax Advantages: I seek to defer taxes, obtain tax advantaged income, and/or achieve other tax benefits. <input type="checkbox"/> Other: (Please specify) _____
Investment Experience: Please select the option below that best describes your level of investment experience. <input type="checkbox"/> Experienced: I have significant knowledge and experience managing a wide range of investments, including individual securities, managed accounts, and alternative investments. <input type="checkbox"/> Moderately Experienced: I have a general understanding of investment products such as mutual funds, ETFs, and basic portfolio strategies, and have made investment decisions in the past. <input type="checkbox"/> Moderately Inexperienced: I have limited exposure to investment products and rely primarily on guidance from financial professionals when making investment decisions. <input type="checkbox"/> Inexperienced: I have little to no prior investment experience and limited knowledge of financial markets or investment products.

- a. **Investment Objective:** Choose the options that best align with your goals, you can choose multiple.

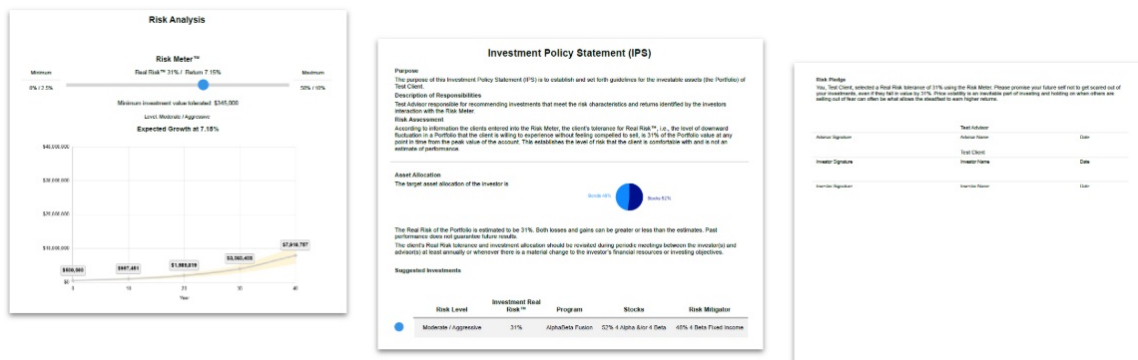
b. **Investment Experience:** Choose the option that best describes your experience with investments.

6. **Affiliation Information:** Required only IF either option applies
7. **Trusted Contact:** Optional, but highly suggested
8. **Email Acceptance:** Email address for document delivery
9. **Beneficiaries** Personal Information
10. **Disclosures** in regard to the details provided in this packet.
11. **Client Acknowledgement** that data provided is accurate.
12. **Financial Advisor Acknowledgment** confirming the Advisor of the account.

Risk Meter and Investment Policy Statement – signature required

Your Advisor will guide you through the Risk Meter to help you identify a risk level you feel confident and comfortable with.

Below is an example of what that may look like:



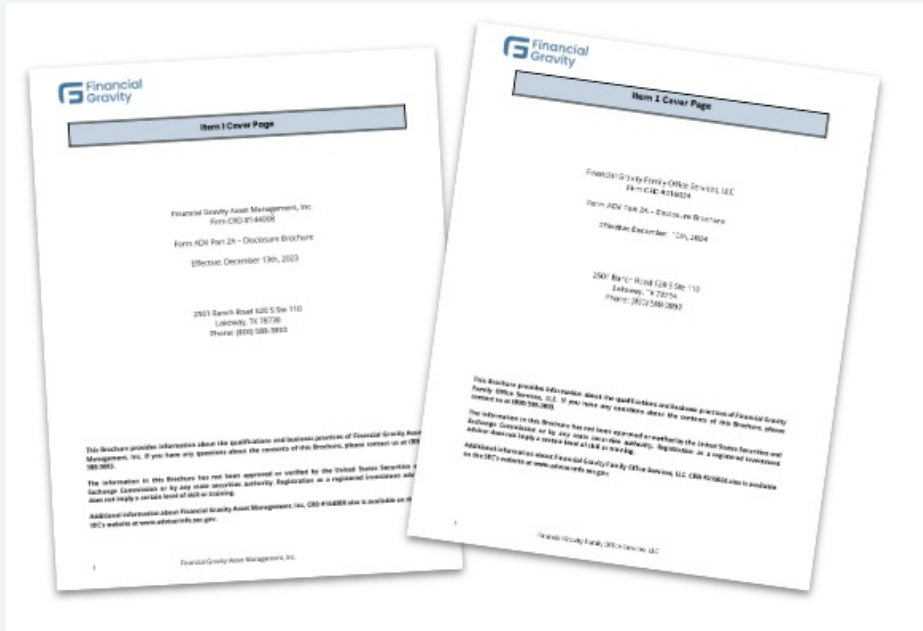
This agreement establishes the advisory relationship and specifies the management fees for your accounts.

Inv
As: Services, LLC. (FG Family Office Services), an SEC Registered Investment Adviser. Neither FG Asset Management nor FG Family Office Services provides tax or legal advice and is not a certified public accountant.

FG Asset Management and FG Family Office Services ADV2A, and Advisor's ADV2B

For client records only, no signature required

What is an ADV?: ADVs are Brochure Supplements that provide detailed background information on the Individual investment adviser representatives (IARs) and the firm as a whole.



Step 3: DocuSign Completion

Once you've reviewed the document and completed all required fields, you can click 'Finish.'

- If there is a secondary account holder, they will also need to complete this process before the DocuSign is finalized.
- After all parties have signed, the document will be routed to the custodian for processing.

Need Assistance?

Completing your DocuSign Account Packet is an important first step in starting or updating your investment journey. The process is designed to be secure, thorough, and collaborative, ensuring that both you and your advisor are aligned on your investment profile.

Inv If you have questions, you can contact the FG Client Success Team (CST) by calling (800) 588-3893, option 2, or by emailing clientsuccess@financialgravity.com. You can also use our public knowledge base to self-serve your needs by [clicking here](#). **FG**
As: **Financial Gravity Family Office Services, LLC**. (FG Family Office Services), an SEC Registered Investment Adviser. Neither FG Asset Management nor FG Family Office Services provides tax or legal advice and is not a certified public accountant.

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