



Personal Securities Accounts

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This form must be submitted to the Compliance Department PRIOR to opening a personal securities account or placing an initial securities transaction outside of HBW Advisory Services LLC . This requirement applies to accounts opened with an Investment Advisor, Broker/Dealer, Bank or other Financial Institution and shall apply to any account in which the Investment Advisor Rep. has a financial interest or over which the registered person has discretionary authority.

Date of Request:

Investment Advisor Representative Name:

Representative Code Number:

Information regarding the firm where the account is being established:

Account Registration

Account Number

Name of Firm

Attention

Address

Phone Number

City

State

ZIP Code

Type(s) of Investments (check all that apply):

Equities

Fixed Income

Options

Mutual Funds

Variable Annuities

DPPs

Other

Purpose of Account (check one):

Retirement

Speculation

Day Trading

Long-Term Investing

Education Savings

Estate Planning

Other

Notification:

Investment Advisors Reps. are required to report certain information regarding their personal and related account investments to HBWAS prior to opening any account. **Investment Advisors Reps. are required to supply copies of the statement quarterly to HBWAS.**

In addition, if there is any change in your personal or related investment account information, then you must promptly notify tHBWAS of the change. This would include but is not limited to a change of custodian, a new investment objective for the account, or other such change.

Signature of Representative

Date

Home Office Principal Approval

Date

If you recently joined HBW Advisory Services LLC and are using this form to notify the compliance department of your existing account(s), please provide a copy of your most recent account statement.

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