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Regulations require each investment adviser to maintain written information about each investment advisory client as a basis for making any recommendation or providing any investment advice to the client. This information is confidential and will only be used by us to help you achieve your unique financial goals.

OWNER INFORMATION (minor child if UTMA/UGMA/EDU IRA)

First name/Company name: _____ **MI:** _____

Last name: _____

Gender: Male Female **US Citizen:** Yes No **Marital status:** Single Married Divorced Widow(er)

Number of dependents: _____ **Home phone:** _____ **Work phone:** _____

SSN: _____ **DOB:** _____ **Email:** _____

Physical address: _____ **City:** _____ **State:** _____ **Zip:** _____

Mailing address: _____ **City:** _____ **State:** _____ **Zip:** _____

Employment status: Employed Self-employed Unemployed Student Retired Other: _____

Employer Name: _____ **Owner's occupation:** _____

Employer address: _____ **City:** _____ **State:** _____ **Zip:** _____

VERIFICATION OF CLIENT

Type: (must be government issued photo ID (i.e. Driver's license/passport/etc.) _____

ID#: _____ **Issuer:** (state, government agency, etc.) _____ **Exp. Date:** _____

Citizenship Country: _____ **Length of time advisor has known investor:** _____

Are you a 10% shareholder of a publicly traded company? Yes No **Company name:** _____ **CUSIP:** _____

Is this a private banking account? Yes No **Is this account for a Foreign Financial Institution?** Yes No

Are you or anyone of interest in the account a politically exposed person? (Foreign Political Official) Yes No

How was the account acquired: Existing client Referral Unsolicited walk/call in Solicited Cold call

JOINT OWNER INFORMATION (custodian if UTMA/UGMA/EDU IRA)

First name/Company name: _____ **MI:** _____

Last name: _____

Gender: Male Female **US Citizen:** Yes No **Marital status:** Single Married Divorced Widow(er)

Number of dependents: _____ **Home phone:** _____ **Work phone:** _____

SSN: _____ **DOB:** _____ **Email:** _____

Physical address: _____ **City:** _____ **State:** _____ **Zip:** _____

Mailing address: _____ **City:** _____ **State:** _____ **Zip:** _____

Employment status: Employed Self-employed Unemployed Student Retired Other: _____

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Citizenship Country: _____ **Length of time advisor has known investor:** _____

Client Profile Form

Are you a 10% shareholder of a publicly traded company? Yes No Company name: _____ CUSIP: _____

FINANCIAL INFORMATION (Owner & joint owner, if applicable)

Federal tax bracket: 0-15% 16-32% 33-50% 50%+

Estimated net worth: _____ Liquid net worth: _____ Estimated annual income: _____

SUITABILITY (suitability information should be completed for each account type)

Types of Accounts

Non-qualified: Individual, Individual-TOD, Joint-Tenants WROS, Joint-Tenants in common, Joint-Community property, Joint-Transfer on death, 529, Guardian, UGMA, UTMA, Non-profit, Partnership, Estate, Trust, Other

Qualified: 401K, Profit Sharing, IRA, Roth, Simple, SEP, Roth Conversion, 403b, Other

Corporation/LLC: C Corp, S Corp, LLC

SUITABILITY INFORMATION (choose one from each column)

<u>Risk Tolerance</u>	<u>Investment objective</u>	<u>Investment horizon</u>	<u>Source of funds</u>
Conservative	Tax-free income	under 1 year	Savings/cash/wages/bank CD
Moderately conservative	Current income	1 to 3 years	Gift/inheritance
Moderate	Growth & income	3 to 5 years	Qualified transfer/rollover
Moderately aggressive	Capital preservation	5 to 10 years	Legal settlement/QDRO
Aggressive	Growth	10 to 20 years	Sale of primary residence
	Speculation	20+ years	Qualified plan forced distribution
			Insurance settlement/proceeds
			Non-qualified 1035 exchange
			Sale of land/investment property
			Non-qualified sale of stock/mutual funds

Account 1

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 2

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 3

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 4

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 5

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 6

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 7

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 8

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

Account 9

Owner of account: _____

Type of account: _____

Risk tolerance: _____

Investment objective: _____

Investment horizon: _____

Source of funds: _____

