

Entity's Financial Details

Annual Income:

- ☐ Less than \$50,000
☐ 50,000-99,999
☐ 100,000-249,999
☐ 250,000-499,999
☐ 500,000-999,999
☐ 1,000,000-2,499,999
☐ 2,500,000-4,999,999
☐ 5,000,000 and over

Net Worth:

- ☐ Less than \$50,000
☐ 50,000-99,999
☐ 100,000-249,999
☐ 250,000-499,999
☐ 500,000-999,999
☐ 1,000,000-2,499,999
☐ 2,500,000-4,999,999
☐ 5,000,000 and over

Federal Tax Status (check one):

- ☐ 0-15%
☐ 15.1-32%
☐ 32.1-50%
☐ 50.1% or more

Approx % of net worth that is investable assets: _____

Entity's Source of Wealth (Check all that apply)

- | | | | |
|--|---|--|--|
| ☐ Inheritance or Gifts | ☐ Sale of Securities | ☐ Individual Earnings | ☐ Other (please provide): _____ |
| ☐ Corporate Executive | ☐ Public or Gov't Official | ☐ Sale of Real Estate | _____ |
| ☐ Sale of Other Assets | ☐ Lottery or Gaming | ☐ Corporate Earnings | _____ |
| ☐ Professional Earnings | ☐ Sale of Business | ☐ Business Owner | _____ |

Please further describe the Primary Account Holder's source of wealth including but not limited to employment (history if retired) earnings (salary, bonus, commission), name of businesses owned/sold (history of growth & revenues, assets & liabilities, proceeds of sale). For inheritance/gifts include the amount, from whom, and how originally earned.

Entity's Investment Experience

Investment Type	Experience (Required) Years of Investing	Annual Activity Level (Select one)			
		None No history of any transactions	Limited (1-5 transactions per year)	Moderate (6-15 transactions per year)	High (Over 15 transactions per year)
Equities					
Options					
Fixed Income					
Mutual Funds					
Exchange Traded Funds (ETFs)					
Variable Annuities					
Real Estate Property (excluding Primary Residence)					
Alternative Investments (Hedge Funds, Private Equity)					
Structured Products					
Foreign Currency					

Account Investment Objectives/Risk Tolerance

Investment Objectives (please select up to two consecutive investment objectives):

- ☐ **Aggressive Growth:** Investor is willing to accept substantial risk of loss to the portfolio to obtain growth of capital with minimal or no current income. Investor seeks return mainly from potential capital appreciation; liquidity is of no primary concern.
☐ **Growth:** Investor is willing to accept increased risk of loss to the portfolio with greater exposure to the equity markets or equivalent markets. The objective is long-term growth of capital. Investor seeks return mainly from capital appreciation and/or higher yielding instruments.
☐ **Income:** Investor is willing to accept some risk of loss to the portfolio with exposure to income producing securities in equity, fixed income or equivalent markets. Investor seeks return mainly from income.
☐ **Capital Preservation:** Risk averse investor who is willing to accept limited risk of loss to the portfolio with limited exposure to equity markets risk or equivalent risks. The objective is capital preservation with limited potential for capital appreciation and current income. Investor seeks stability and a modest return on capital.