

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

CLIENT 1					
Last Name:		First Name:		Middle Name:	
Preferred name:			Mother's Maiden Name:		
Sex: <input type="checkbox"/> Male <input type="checkbox"/> Female		Social Security Number:		US Citizen: <input type="checkbox"/> Yes <input type="checkbox"/> No	
Date of Birth:		Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widow(er)			
Home Address:			City, State, ZIP:		
Home Phone:		Cell Phone:		Email:	
Employment Status					
<input type="checkbox"/> Employed		<input type="checkbox"/> Self-employed		<input type="checkbox"/> Unemployed	
		<input type="checkbox"/> Student		<input type="checkbox"/> Retired	
Client Employer:			Occupation:		
Employer Address:			City, State, ZIP:		
Work Email:			Work Phone:		
Verification of Client					
ID Type:		ID#:			
Issuer (i.e. State or Government Agency):		Issue Date:		Exp. Date:	
Citizenship Country:		Length of time advisor has known investor:			
Are you a 10% shareholder of a publicly traded company?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Company name:		CUSIP:			
Are you or anyone of interest in the account a politically exposed person (Foreign Political Official)?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
CLIENT 2					
Last Name:		First Name:		Middle Name:	
Preferred name:			Mother's Maiden Name:		
Sex: <input type="checkbox"/> Male <input type="checkbox"/> Female		Social Security Number:		US Citizen: <input type="checkbox"/> Yes <input type="checkbox"/> No	
Date of Birth:		Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widow(er)			
Home Address:			City, State, ZIP:		
Home Phone:		Cell Phone:		Email:	
Employment Status					
<input type="checkbox"/> Employed		<input type="checkbox"/> Self-employed		<input type="checkbox"/> Unemployed	
		<input type="checkbox"/> Student		<input type="checkbox"/> Retired	
Client Employer:			Occupation:		
Employer Address:			City, State, ZIP:		
Work Email:			Work Phone:		
Verification of Client					
ID Type:		ID#:			
Issuer (i.e. State or Government Agency):		Issue Date:		Exp. Date:	
Citizenship Country:		Length of time advisor has known investor:			
Are you a 10% shareholder of a publicly traded company?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Company name:		CUSIP:			
Are you or anyone of interest in the account a politically exposed person (Foreign Political Official)?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
OWNER & JOINT OWNER					
<b>How client was acquired:</b>		<input type="checkbox"/> Existing client		<input type="checkbox"/> Referral	
		<input type="checkbox"/> Cold call		<input type="checkbox"/> Unsolicited walk/call in	
		<input type="checkbox"/> Solicited			
Responses provided below are for the general intentions of the Client(s). Client(s) may specify varying intentions for each account on the Investment Advisory Agreement.					
<b>Risk Tolerance</b>		<input type="checkbox"/> Conservative		<input type="checkbox"/> Moderately Conservative	
		<input type="checkbox"/> Moderately Aggressive		<input type="checkbox"/> Aggressive	
<b>Investment Objective</b>		<input type="checkbox"/> Safety of Principal		<input type="checkbox"/> Tax Advantaged	
		<input type="checkbox"/> Growth		<input type="checkbox"/> Speculation	
<b>Investment Horizon</b>		<input type="checkbox"/> Under 1 year		<input type="checkbox"/> 1-3 years	
		<input type="checkbox"/> 3-5 years		<input type="checkbox"/> 5-10 years	
		<input type="checkbox"/> 10-20 years		<input type="checkbox"/> 20+ years	

FINANCIAL INFORMATION						
<b>Federal tax bracket</b>	<input type="checkbox"/> 0-12%	<input type="checkbox"/> 13-22%	<input type="checkbox"/> 23-32%	<input type="checkbox"/> 33+%		
<b>Estimated net worth</b>	<input type="checkbox"/> Under \$100K	<input type="checkbox"/> \$100-500K	<input type="checkbox"/> \$500K-1M	<input type="checkbox"/> \$1-2M	<input type="checkbox"/> Over \$2M	
<b>Liquid net worth</b> <small>(exclude primary residence)</small>	<input type="checkbox"/> Under \$100K	<input type="checkbox"/> \$100-500K	<input type="checkbox"/> \$500K-1M	<input type="checkbox"/> \$1-2M	<input type="checkbox"/> Over \$2M	
<b>Estimated annual income</b>	<input type="checkbox"/> Under \$50K	<input type="checkbox"/> \$50-100K	<input type="checkbox"/> \$100K-200K	<input type="checkbox"/> \$200K-500K	<input type="checkbox"/> Over \$500K	
<b>Total investment assets</b>	<input type="checkbox"/> Under \$100K	<input type="checkbox"/> \$100-500K	<input type="checkbox"/> \$500K-1M	<input type="checkbox"/> \$1-2M	<input type="checkbox"/> Over \$2M	
CURRENT INVESTMENTS & EXPERIENCE						
Below for each category, please indicate your investment experience, approximate percentage of your overall investments that you own for each type of investment and the approximate number of years you have owned the investment.						
Mutual funds						
Investment Experience:	<input type="checkbox"/> Novice/little to no knowledge		<input type="checkbox"/> Minimal/some common knowledge			
	<input type="checkbox"/> Reasonable/fair understanding		<input type="checkbox"/> Expert/very knowledgeable			
% Of Overall Investments:	<input type="checkbox"/> 0-15%	<input type="checkbox"/> 16-30%	<input type="checkbox"/> 31-45%	<input type="checkbox"/> 46-60%	<input type="checkbox"/> 61-75%	<input type="checkbox"/> 76-100%
# of Years Owned:	<input type="checkbox"/> Under 1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-5	<input type="checkbox"/> 5-10	<input type="checkbox"/> 10-20	<input type="checkbox"/> 20+ <input type="checkbox"/> unknown
ETFs						
Investment Experience:	<input type="checkbox"/> Novice/little to no knowledge		<input type="checkbox"/> Minimal/some common knowledge			
	<input type="checkbox"/> Reasonable/fair understanding		<input type="checkbox"/> Expert/very knowledgeable			
% Of Overall Investments:	<input type="checkbox"/> 0-15%	<input type="checkbox"/> 16-30%	<input type="checkbox"/> 31-45%	<input type="checkbox"/> 46-60%	<input type="checkbox"/> 61-75%	<input type="checkbox"/> 76-100%
# of Years Owned:	<input type="checkbox"/> Under 1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-5	<input type="checkbox"/> 5-10	<input type="checkbox"/> 10-20	<input type="checkbox"/> 20+ <input type="checkbox"/> unknown
Individual stocks & bonds						
Investment Experience:	<input type="checkbox"/> Novice/little to no knowledge		<input type="checkbox"/> Minimal/some common knowledge			
	<input type="checkbox"/> Reasonable/fair understanding		<input type="checkbox"/> Expert/very knowledgeable			
% Of Overall Investments:	<input type="checkbox"/> 0-15%	<input type="checkbox"/> 16-30%	<input type="checkbox"/> 31-45%	<input type="checkbox"/> 46-60%	<input type="checkbox"/> 61-75%	<input type="checkbox"/> 76-100%
# of Years Owned:	<input type="checkbox"/> Under 1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-5	<input type="checkbox"/> 5-10	<input type="checkbox"/> 10-20	<input type="checkbox"/> 20+ <input type="checkbox"/> unknown
Annuities (fixed/variable)						
Investment Experience:	<input type="checkbox"/> Novice/little to no knowledge		<input type="checkbox"/> Minimal/some common knowledge			
	<input type="checkbox"/> Reasonable/fair understanding		<input type="checkbox"/> Expert/very knowledgeable			
% of Overall Investments:	<input type="checkbox"/> 0-15%	<input type="checkbox"/> 16-30%	<input type="checkbox"/> 31-45%	<input type="checkbox"/> 46-60%	<input type="checkbox"/> 61-75%	<input type="checkbox"/> 76-100%
# of Years Owned:	<input type="checkbox"/> Under 1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-5	<input type="checkbox"/> 5-10	<input type="checkbox"/> 10-20	<input type="checkbox"/> 20+ <input type="checkbox"/> unknown
Other						
Description/details of other investments:						
Investment Experience:	<input type="checkbox"/> Novice/little to no knowledge		<input type="checkbox"/> Minimal/some common knowledge			
	<input type="checkbox"/> Reasonable/fair understanding		<input type="checkbox"/> Expert/very knowledgeable			
% of Overall Investments:	<input type="checkbox"/> 0-15%	<input type="checkbox"/> 16-30%	<input type="checkbox"/> 31-45%	<input type="checkbox"/> 46-60%	<input type="checkbox"/> 61-75%	<input type="checkbox"/> 76-100%
# of Years Owned:	<input type="checkbox"/> Under 1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-5	<input type="checkbox"/> 5-10	<input type="checkbox"/> 10-20	<input type="checkbox"/> 20+ <input type="checkbox"/> unknown
Rate your understanding of the following:						
<b>Current Investments</b>	<input type="checkbox"/> Little or None	<input type="checkbox"/> Average	<input type="checkbox"/> Good	<input type="checkbox"/> Excellent		
<b>Investments as a Whole</b>	<input type="checkbox"/> Little or None	<input type="checkbox"/> Average	<input type="checkbox"/> Good	<input type="checkbox"/> Excellent		
<b>Notes:</b>						
ACKNOWLEDGEMENTS						
By signing below, I/we acknowledge the above information is true and accurate to the best of my/our knowledge.						
Client 1 Signature:						
Print name:				Date:		
Client 2 Signature:						
Print name:				Date:		
Advisor Signature:						
Print Name:				Date:		