

Client Information Form

Personal Information:

Full Name: _____
First Name Middle Initial Last Name

Date of Birth: ____-____-____ Social Security Number: ____-____-____

Driver's License Number _____ Exp Date __/__/__ Issue Date: __/__/__

Home Address: _____
Address 1

City State Zip Code

Home Phone: (____) ____-____ Alternate Phone: (____) ____-____

E-mail Address: _____ Marital Status: Single Married

Place of Birth: _____ Maiden Name: _____

Business Information:

Name of Employer: _____

Occupation: _____

Employer Address:

Address 1

City State Zip Code

Work Phone: (____) ____-____ Annual Income: \$ _____

Financial Information:

Net Worth (includes home equity): \$ _____

Federal Tax Bracket: _____%

Investable Net Worth \$ _____

Risk Tolerance Questionnaire

Time Horizon

Your current situation and future income needs

1. What is your current age?
 - Less than 45
 - 45 to 55
 - 56 to 65
 - 66 to 75
 - Older than 75
2. When do you expect to retire?
 - Not for at least 20 years
 - In 10 to 20 years
 - In 5 to 10 years
 - Not now, but within 5 years
 - Immediately

Long-Term Goals and Expectations

Your views of how an investment should perform over the long term

3. What is your goal for this investment?
 - To grow aggressively
 - To grow significantly
 - To grow moderately
 - To grow carefully
 - To avoid losing money
4. Assuming normal market conditions, what would you expect from this investment over time?
 - To generally keep pace with the stock market
 - To slightly trail the stock market, but make a good profit
 - To trail the stock market, but make a moderate profit
 - To have some stability, but make modest profits
 - To have a high degree of stability, but make small profit
5. Suppose the stock market performs unusually poorly over the next decade, what would you expect from this investment?
 - To lose money
 - To make very little or nothing
 - To make out a little gain
 - To make a modest gain
 - To be little affected by what happens in the stock market

Short-Term Risk Attitudes

Your attitude towards short-term volatility

6. Which of these statements would best describe your attitude about the next three years' performance of this investment?
 - I don't mind if I lose money
 - I can tolerate a loss
 - I can tolerate a small loss
 - I'd have a hard time stomaching any losses
 - I need to see at least some return
7. Which of these statements would best describe your attitude about the next three months' performance of this investment?
 - Who cares? One calendar quarter means nothing
 - I wouldn't worry about losses in that time frame
 - If I suffered a loss of greater than 10%, I'd get concerned
 - I can only tolerate small short-term losses
 - I'd have a hard time stomaching any losses

Client Signature: _____ Date: _____