

# Client Profile Data Form

| General Information  |   |   |   |
|--|---|---|---|
| Primary Client Name _____  | Driver's License Number, State _____          | Primary Client Date of Birth _____  |   |
| Secondary Client Name _____  | Driver's License Number, State _____          | Secondary Client Date of Birth _____  |   |
| Relationship _____   | E-mail address _____                          |   |   |
| Mailing Address _____  | Home Phone _____                              |   |   |
| City, State, Zip _____   | Business Phone _____                          |   |   |
| Legal Address _____  | Mobile Phone _____                            |   |   |
| Primary Client Country of Citizenship _____  | Secondary Client Country of Citizenship _____ | \$ _____  | % _____   |
|  |   | Annual Household Income   | Tax Bracket   |
| Primary Client Occupation / Employer _____   | Secondary Client Occupation / Employer _____  | \$ _____  |   |
|  |   | Net Worth (excluding primary residence)   |   |
| Investment Experience  |   | Description of Assets   |   |
|  | PRIMARY CLIENT                                | SECONDARY CLIENT  |   |
| STOCKS   | _____ yrs                                     | _____ yrs   | Assets initially to be placed under management (approx.): \$ _____          |
| BONDS  | _____ yrs                                     | _____ yrs   |   |
| MUTUAL FUNDS   | _____ yrs                                     | _____ yrs   | Total liquid assets (net liquid & current assets in all accounts): \$ _____ |
| Investment Time Horizon  |   | Financial Objective   |   |
| The portfolio should be structured to meet financial objectives over a period of:<br><input type="checkbox"/> 1 to 3 years<br><input type="checkbox"/> 4 to 7 years<br><input type="checkbox"/> 8 to 10 years<br><input type="checkbox"/> more than 10 years ( _____ yrs)                                  |   | Which one of the following best describes your attitude toward your investments over your investment time horizon? <i>(Please initial in the space provided)</i><br><br><input type="checkbox"/> My goal is <b>capital preservation</b> . I am adverse to short-term loss and can accept only minimal fluctuations in my portfolio value. My investment objective is <b>fixed income</b> .<br><input type="checkbox"/> My primary goal is <b>capital preservation</b> and my secondary goal is <b>capital growth</b> . I am willing to accept a low level of fluctuation in my portfolio value. My investment objective is <b>income with growth</b> .<br><input type="checkbox"/> My primary goal is <b>capital growth</b> and my secondary goal is <b>capital preservation</b> . I am willing to accept a moderate level of fluctuation in my portfolio value. My investment objective is <b>capital appreciation with income</b> .<br><input type="checkbox"/> My goal is <b>capital growth</b> . I am modestly concerned with the level of fluctuation in my portfolio. My investment objective is <b>capital appreciation</b> .<br><input type="checkbox"/> My only goal is <b>aggressive capital growth</b> . I am not concerned with the level of fluctuation in my portfolio value. My investment objective is <b>aggressive growth</b> . |   |
| Income Needs   |   |   |   |
| How much of this portfolio is required as current income?<br><input type="checkbox"/> No need for current income<br><input type="checkbox"/> Less than 2% per year<br><input type="checkbox"/> 2% to 4% per year<br><input type="checkbox"/> Greater than 4% ( _____ %)                                    |   |   |   |
| Risk Attitude  |   |   |   |
| The graph below represents your attitude towards risk with respect to the assets you are placing under our management. You understand and accept that any one component of your portfolio may be more or less volatile or aggressive than the entire portfolio. <i>Circle the most appropriate number.</i> |   |   |   |
| ①  | ②   | ③   | ④   |
| ⑤  | ⑥   | ⑦   | ⑧   |
| ⑨  | ⑩   |   |   |
| Low Volatility   |   | Medium Volatility   |   |
| Represents lower volatility than the broad equity market. Often requires a position in cash, bonds, and treasuries that could be significant at time to protect capital. Returns will be expected to be lower than equity markets.   |   | The broad equity market is represented by the S&P 500 and indicates a stock portfolio generally invested in stocks with larger capitalization.  |   |
|  |   | High Volatility   |   |
|  |   | Represents higher volatility than the broad equity market. Often requires a position in smaller stock, emerging market securities or alternative investments. You would expect a premium on your return for the additional risk.  |   |

### Client Acknowledgement:

Client Initials

Date

Client Initials

Date

