

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: <input type="checkbox"/> 1 to 3 years <input type="checkbox"/> 4 to 7 years <input type="checkbox"/> 8 to 10 years <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> <input type="checkbox"/> My goal is capital preservation . I am adverse to short-term loss and can accept only minimal fluctuations in my portfolio value. My investment objective is fixed income . <input type="checkbox"/> My primary goal is capital preservation and my secondary goal is capital growth . I am willing to accept a low level of fluctuation in my portfolio value. My investment objective is income with growth . <input type="checkbox"/> My primary goal is capital growth and my secondary goal is capital preservation . I am willing to accept a moderate level of fluctuation in my portfolio value. My investment objective is capital appreciation with income . <input type="checkbox"/> My goal is capital growth . I am modestly concerned with the level of fluctuation in my portfolio. My investment objective is capital appreciation . <input type="checkbox"/> My only goal is aggressive capital growth . I am not concerned with the level of fluctuation in my portfolio value. My investment objective is aggressive growth .	
Income Needs			
How much of this portfolio is required as current income? <input type="checkbox"/> No need for current income <input type="checkbox"/> Less than 2% per year <input type="checkbox"/> 2% to 4% per year <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

