General Information

Primary Client Name | Primary Client's SSN # / Tax ID # | Primary Client's Date of Birth

Secondary Client Name | Secondary Client SSN # / Tax ID # | Secondary Client Date of Birth

Relationship | E-mail address

Mailing Address | Home Phone

City, State, Zip | Business Phone

Legal Address | Fax Number

Primary Client's Country of Citizenship | Secondary Client's Country of Citizenship | $ Annual Household Income | % Tax Bracket

Primary Client's Occupation / Employer | Secondary Client's Occupation / Employer | $ Net Worth (excluding primary residence)

Investment Experience

	PRIMARY CLIENT	SECONDARY CLIENT	
STOCKS	_____	_____	yrs
BONDS	_____	_____	yrs
MUTUAL FUNDS	_____	_____	yrs

Description of Assets

Assets initially to be placed under management (approx.): $ _____

Total liquid assets (net liquid & current assets in all accounts): $ _____

Investment Time Horizon

The portfolio should be structured to meet financial objectives over a period of:

- ☐ 1 to 3 years
- ☐ 4 to 7 years
- ☐ 8 to 10 years
- ☐ more than 10 years (_____ yrs)

Income Needs

How much of this portfolio is required as current income?

- ☐ No need for current income
- ☐ Less than 2% per year
- ☐ 2% to 4% per year
- ☐ Greater than 4% (_____%)

Financial Objective

Which one of the following best describes your attitude toward your investments over your investment time horizon? (*Please initial in the space provided*)

____ 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**.

____ 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**.

____ 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**.

____ My goal is **capital growth**. I am modestly concerned with the level of fluctuation in my portfolio. My investment objective is **capital appreciation.**

____ 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**.

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. *Circle the most appropriate number.*

⓿	❶	❷	❸	❹	❺	❻	❼	❽	❾	❿

Low Volatility	Medium Volatility	High 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.	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.