



CLIENT INFORMATION

Name: First: _____ Middle: _____ Last: _____

What do you prefer to be called? _____ Date of Birth: _____

Known Rep Since: _____ (yyyy) How would you like us to contact you? _____

Are you interested in being invited to seminars we offer? Yes _____ No _____

Number of Dependents: _____

Related Parties: (Name and Birthday)

Spouse: _____

Children: _____

Who should we contact in the event of an emergency? _____

CONTACT INFORMATION

Mailing Address

Business Address

Home: Phone: _____ Email: _____

Cell: _____ Work Phone: _____ Work Email: _____

Driver's License Issuing State: _____ ID Number: _____

Marital Status: _____ Wedding Anniversary: _____

School Attended: _____

Retirement Date : _____

Are you a tax client? Yes _____ No _____

Which type of wine do you prefer? Red _____ White _____ No Preference _____

Which type of chocolate do you prefer? Milk _____ Dark _____ No Preference _____

What is your favorite movie? _____

What is your favorite show? _____

Hobbies: _____

What is your favorite restaurant? _____

What kind of pets do you have? _____

Past accomplishment you are most proud of? _____

What is a future goal of yours? _____

FINANCIAL PROFILE

Annual Income: \$ _____ Taxable Income: \$ _____ Net Worth: \$ _____
Liquid Assets: \$ _____ Loss Carry Forward: \$ _____
Federal Tax Bracket: 0-15% 16- 28% 29- 33% 34- 39% Over 40%

ACCOUNT SUITABILITY

Prior Investment Experience: _____ (Extensive, Good, Limited, None)

Risk Tolerance: (check one):

Conservative	Moderately Aggressive	Moderately Conservative
Aggressive	Moderate	(See descriptions below)

Aggressive The aggressive portfolio should be constructed to maximize long-term annual returns rather than to minimize possible shortterm losses. Standard Deviation can exceed 21.

Moderately Aggressive Moderately aggressive investors are willing to assume more short-term risk in order to maximize long-term annual returns. Standard Deviation should be targeted between 18 and 21.

Moderate The moderate investor is willing to accept more risk than the conservative or the moderate conservative investor, but is probably not willing to accept the short-term risk associated with achieving a long-term return dramatically above the inflation rate. Standard Deviation should be targeted between 12 and 18.

Moderately Conservative The moderately conservative investor is sensitive to short-term losses, but can tolerate some risk in order to achieve a higher rate of return. Standard Deviation should be targeted between 6 and 12.

Conservative The conservative investor is particularly sensitive to short-term losses, but is seeking to outperform inflation over the long run. Standard Deviation should be targeted below 6.

Investment Objectives: (rank all that apply from 1 (most important) to 6)

_____ Capital Preservation	_____ Capital Appreciation	_____ Growth
_____ Speculation	_____ Income	_____ Tax Advantage

If you have any questions regarding these six investment objectives, please call our office at 301-962-0480.

OUTSIDE ASSETS

It is important in financial planning to review each individual asset as a portion of your whole financial picture.

Do you have assets that will be managed elsewhere? Yes No

Please provide more detail on your outside assets: _____

What are your financial goals and their time frame? (For example, retire with annual income of X in 15 years)

- 1) _____
- 2) _____
- 3) _____

NET WORTH STATEMENT

Please complete the following to the best of your ability:

<p>Assets</p> <p>Savings and Investments</p> <p>Money in Checking _____</p> <p>Savings Accounts _____</p> <p>Money Market Accounts _____</p> <p>CDs _____</p> <p>Stocks _____</p> <p>Bonds _____</p> <p>Mutual Funds _____</p> <p>Annuities _____</p> <p>Cash value of Life Insurance _____</p> <p>Real Estate Investments</p> <p>Market Value of Home _____</p> <p>Market Value of Vacation Home _____</p> <p>Market Value of Rental Property _____</p> <p>Retirement Savings</p> <p>Employee Pension _____</p> <p>401k or 403(b) accounts _____</p> <p>IRA Accounts _____</p> <p>Keogh Accounts _____</p> <p>Other _____</p> <p>Total Assets _____</p>	<p>Liabilities</p> <p>Mortgage _____</p> <p>Vacation Home Mortgage _____</p> <p>Home Equity Loan _____</p> <p>Car Loans _____</p> <p>Credit Card Debt _____</p> <p>Student Loans _____</p> <p>Bank Loans _____</p> <p>Medical Bills _____</p> <p>Taxes Owed _____</p> <p>Other _____</p> <p>Total Liabilities _____</p>
<div style="border: 1px solid black; display: inline-block; padding: 5px 20px; font-weight: bold; font-size: 1.2em;"> Net Worth </div>	

The information provided is accurate and up to date as of _____