

New Client Profile

Full Name (First, Middle, Last) _____

Date of Birth _____ Social Security Number _____

Physical Address _____

Mailing Address _____

Email _____ Cell Phone _____ Home Phone _____

Citizenship: USA Other _____ Marital Status: Single Married

Driver's License # _____ State of Issue _____ Issue Date _____ Expiry Date _____

Employer Name _____ Work Phone _____

Employer's City/State _____ Occupation _____

Bank Account to Link: Checking Savings Other: _____

Institution Name _____ Account # _____ Routing # _____

Annual Income:

- \$0-29,999 \$30,000-49,999 \$50,000-74,999 \$75,000-99,999
 \$100,000-149,999 \$150,000-249,999 \$250,000-399,999 \$400,000+

Federal Tax Bracket:

- 0-15% 16-28%
 29-36% >36%

Adjusted Net Worth: (exclude Primary Residence)

- \$0-74,999 \$75,000-99,999
 \$100,000-149,999 \$150,000-249,999
 \$250,000- 499,999 \$500,000-999,999
 \$1,000,000-2,999,999 \$3,000,000-Over

Liquid Net Worth:

- \$0-74,999 \$75,000-99,999
 \$100,000-149,999 \$150,000-249,999
 \$250,000-499,999 \$500,000-999,999
 \$1,000,000-2,999,999 \$3,000,000-Over

Investment Experience: Stocks ___ yrs Bonds ___ yrs Mutual Funds/ETFs ___ yrs
Options ___ yrs DPPs ___ yrs REITs ___ yrs Annuities ___ yrs Other _____

Account Objective:

- Total Return
 Income
 Capital Preservation
 Growth
 Aggressive Growth

Risk Tolerance:

- Conservative
 Moderately Conservative
 Moderate
 Moderately Aggressive
 Significant Risk

Investment Strategy:

- Asset Allocation Diversification
 Value Investing Tax Management
 Income Oriented Passive/Indexing
 Dollar Cost Averaging
 Socially Responsible Investing

Account Time Horizon:

- 4 years or less 5-8 years
 More than 8 years

Account's Liquidity Needs:

- None \$1-4,999 \$5,000-9,999 \$10,000-24,999 \$25,000-49,999
 \$50,000-74,999 \$75,000-99,999 \$100,000-Over

Online Access/E-Delivery: (Pershing Accounts Only)

E-Delivery of Documents Yes No

Online Access Yes No

Desired User ID _____

Security Word _____

Beneficiary Information:

.....Primary.....Contingent

Name _____

Address _____

Relationship _____

Date of Birth _____

Social Security Number _____