

Contact Details

Telephone Number (Home): _____ Telephone Number (Work): _____
 Telephone Number (Cell): _____ Other Telephone Number: _____
 Fax Number (Home): _____ Fax Number (Work): _____
 Email Address (1): _____ Email Address (2): _____

CIP Details

ID Type: Alien Registration Card Driver's License Other Government ID Passport
 ID Number: _____
 Date of Issue: _____ Date of Expiration: _____ Country of Issue: _____

Financial Details

Annual Income: _____ Net Worth (Excluding Principal Residence): _____
 Less than \$50,000 Federal Tax Status: Less than \$50,000
 50,000-99,999 0-15% 50,000-99,999
 100,000-249,999 15.1-32% 100,000-249,999
 250,000-499,999 32.1-50% 250,000-499,999
 500,000-999,999 50.1% or more 500,000-999,999
 1,000,000-2,499,999 1,000,000-2,499,999
 2,500,000-4,999,999 2,500,000-4,999,999
 5,000,000 and over 5,000,000 and over

Approximate % of net worth that is investable assets (stocks, bonds, etc.)? _____ What % of net worth is Retirement Accounts? _____

Source of Wealth: Inheritance or Gifts Sale of Securities Individual Earnings Other (please provide): _____
 Corporate Executive Public or Gov't Official Sale of Real Estate _____
 Sale of Other Assets Lottery or Gaming Corporate Earnings _____
 Professional Earnings Sale of Business Business Owner _____

Liquidity Needs: Low (Somewhat important) Medium (Important) High (Very important)

Time Horizon (approximate year account owner expects to achieve the financial goals for this account):
 _____ Year OR 10 years or longer

Investment Experience

Investment Type	Experience (Required) Years of Investing	Annual Activity Level (Select one)			
		None No history of any transactions	Limited (1-5 transactions per year)	Moderate (6-15 transactions per year)	High (Over 15 transactions per year)
Equities					
Options					
Fixed Income					
Mutual Funds					
Exchange Traded Funds (ETFs)					
Real Estate Property (excluding Primary Residence)					
Variable Annuities					
Alternative Investments (Hedge Funds, Private Equity)					
Structured Products					
Foreign Currency					