



Client Profile Form

Date:		Completed By:	
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General Information			
Primary Client		Secondary Client	
Name		Name	
SSN #/TAX ID #		SSN #/Tax ID #	
Date of Birth		Date of Birth	
Relationship to Secondary Client		Relationship to Primary Client	
Mailing Address		Mailing Address	
City, State, Zip,		City, State, Zip	
Home Phone		Home Phone	
Business Phone		Business Phone	
Fax		Fax	
Citizenship		Citizenship	
Occupation		Occupation	
Annual Income		Annual Income	
Tax Bracket		Tax Bracket	
Net Worth (exclude primary residence)		Net Worth (exclude primary residence)	

Investment Assets		
Total Investable Assets:	\$	
Assets to be initially Invested:	\$	

Investment Experience			
	Primary Client	Secondary Client	
Stocks			years
Bonds			years
Mutual Funds			years
Options			years

Time Horizon	
My portfolio should be structured to meet financial objectives over a period of:	
	1 to 3 years
	4 to 7 years
	8 to 10 years
	10 to 15 years
	Over 15 years (Specify)

Financial Objective	
Which one of the following best describes your attitude toward your investments over your investment time horizon?	
	My goal is capital preservation . I am adverse to short-term loss and can accept only minimal fluctuations in my portfolio value.
	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 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 goal is capital growth . I am modestly concerned with the level of fluctuation in my portfolio.
	My only goal is aggressive capital growth . I am not concerned with the level of fluctuation in my portfolio value.

Income Needs	
How much of this portfolio is client dependent upon for spendable income?	
	No need for current income
	Less than 2% per year
	2% to 4% per year
	Greater than 4% (____%)

Risk Tolerance										
The graph below represents my attitude toward risk with respect to my portfolio with you. I understand and accept that any one component of my portfolio with you may be more or less volatile or aggressive than my entire portfolio.										
<i>Circle the most appropriate number.</i>										
0	1	2	3	4	5	6	7	8	9	10
Low Volatility			Medium Volatility				High Volatility			