

CLIENT INVESTMENT OBJECTIVES AND GUIDELINES

The purpose of this worksheet is to identify the investment objectives of clients.

1. Account Name: _____
2. Birthdate(s) of ALL account holder(s): _____
3. Social security Number of ALL account holders: _____
4. Beneficiary(s): Name,Address,Social for ALL Beneficiaries listed:

5. Address for account holder: _____
6. Phone: _____
(email) _____
7. Fax: _____
Employer: _____

8. Occupation: _____
9. Business Address: _____
10. Financial Experience: Stocks ____ years- Bonds ____years - Options ____years- Futures ____years
11. Net Worth _____
12. Liquid Net Worth _____
13. Annual Net Income _____
14. Source of Funds _____
15. Initial Deposit Amount _____
16. Security Question: (Pick one)

- ____ Mothers maiden name
- ____ Town you were born in
- ____ Pets Name
- ____ Street Name you grew up on
- ____ Favorite Vacation Spot

Answer: _____

General Investment Questions:

17. Approximate value of any taxable investment accounts: _____
 18. Do you make regular contributions? If so, how much? _____
 19. Who currently manages these investments? _____
 20. Approximate value of accounts for children: _____
 21. Approximate value of any college accounts: _____
 22. Do you own or lease your primary residence: _____
 23. Do you foresee any large expense in the next year? _____
 24. Are you satisfied with the current return on your investments? _____
 25. What return on your investments do you expect this year? _____
 26. What return would you expect over the next five years? _____
 27. Are tax consequences of your investments important? _____
 28. Do you have an IRA? Current Value? Contributions? _____
 29. Do you have any other investment assets? _____
 30. Do you have a preference for stocks, bonds, mutual funds? _____
 31. Do you have a preference for current income vs. cap gains? _____
 32. Would you be interested in investing in private equity? _____
 33. On a scale of 1-10, describe your risk tolerance: _____
 34. Place yourself on a scale of conservative to aggressive: _____
 35. On a scale of 1-10, describe your patience: _____
 36. How much, if anything, do you currently save each month? _____
 37. Who, if anyone, has influence/control over your finances? _____
 38. Are you ready to grant discretion over your investments? _____
 39. Do you use a professional to prepare your taxes? _____
 40. What are your general plans for the future/retirement? _____
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