



TRIUMPH CAPITAL
PRIVATE WEALTH MANAGEMENT

CLIENT QUESTIONNAIRE

Triumph Capital Management

Headquarters: 1610 Wynkoop Street Suite 550. Denver, CO 80202

Phone: 720.399.5555 | E-Mail: Info@TriumphCapitalManagement.com | www.TriumphCapitalManagement.com

Advisory Services offered through Triumph Capital Management, a registered investment advisor.

CONFIDENTIAL PROFILE QUESTIONNAIRE

■ YOUR INFORMATION

FIRST NAME	LAST NAME	SSN	DATE OF BIRTH
SPOUSE'S NAME	SSN	DATE OF BIRTH	ANNIVERSARY DATE
RESIDENCE ADDRESS	CITY	STATE	ZIP
MAILING ADDRESS	CITY	STATE	ZIP
HOME PHONE	CELL PHONE	FAX	
E-MAIL ADDRESS	2ND & 3RD E-MAIL ADDRESSES		

■ DEPENDENTS

NAME	RELATIONSHIP	SSN	DATE OF BIRTH
NAME	RELATIONSHIP	SSN	DATE OF BIRTH
NAME	RELATIONSHIP	SSN	DATE OF BIRTH
NAME	RELATIONSHIP	SSN	DATE OF BIRTH

■ OCCUPATION

JOB TITLE	EMPLOYER (LAST, IF RETIRED)	NO. OF YEARS	ANTICIPATED RETIREMENT AGE
SPOUSE'S JOB TITLE	EMPLOYER (LAST, IF RETIRED)	NO. OF YEARS	ANTICIPATED RETIREMENT AGE



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ASSETS AND LIABILITIES

■ ANNUAL INCOME

ANNUAL INCOME	YOU	SPOUSE
Employment (wage, salary, bonus)		
Self-employment/Business Income		
Social Security Benefits		
Other Government Programs		
Taxable Investment Income		
Nontaxable Investment Income		
Pension (if currently receiving)		
TOTAL:		

■ FAMILY EXPENSES

Fixed (monthly) (i.e., mortgage, car payment, etc.)

Variable (monthly) (i.e., food, leisure, etc.)

Total (monthly)

Total (yearly)

■ NOTES:



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■ REAL ESTATE HOLDINGS

TYPE	YEAR PURCHASED	PURCHASE PRICE	CURRENT VALUE?	MORTGAGE BALANCE?	INTEREST RATE?
Primary Residence					
Second Home					
Investment Property					
Other					
Other					
Total:					

■ NON-RETIREMENT ACCOUNTS

TYPE	WHERE IS THE MONEY HELD? (I.E) WELLS FARGO	ACCOUNT OWNER?	NOTES	CURRENT VALUE?
Checking/Savings/CD's/ Money Market				
Investment Accounts				
Investment Accounts				
Investment Accounts				
Annuity				
Total:				

■ RETIREMENT ACCOUNTS

TYPE	WHERE IS THE MONEY HELD? (I.E) WELLS FARGO	ACCOUNT OWNER?	NOTES	CURRENT VALUE?
Traditional IRA				
Traditional IRA				
Rollover IRA				
Rollover IRA				
Roth IRA				
Roth IRA				
401(k) / 403(b)				
401(k) / 403(b)				
Pension				
Total:				



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■ LIFE INSURANCE

LIFE INSURANCE	POLICY 1	POLICY 2	POLICY 3
Name of Insurance Company?			
Insured/Owner?			
Beneficiary?			
Death Benefits/Cash Value			
Type (Term / Whole)			

■ LIABILITIES

TYPE OF LOAN	ACCOUNT OWNER	WHO IS THE LOAN WITH?	BALANCE ON THE LOAN	INTEREST RATE
Primary Residence Loan				
Non-Primary Residence Loan				
Car Loans				
HELOC				
Credit Cards				
Other:				
Other:				
Other:				
Other:				
Other:				
Total:				

■ NOTES:



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■ PROTECTION

- Do you have any current health problems? Yes No Uncertain
- Do you have adequate medical coverage? Yes No Uncertain
- Do you have disability coverage? Yes No Uncertain
- Do you have personal liability coverage? Yes No Uncertain
- Do you have enough life insurance? Yes No Uncertain
- Do you have long-term health care coverage? Yes No Uncertain

■ ESTATE PLANNING

- Do you have updated/adequate wills? Yes No Uncertain
- Have you established any trusts? Yes No Uncertain
- Will you be receiving a significant inheritance? Yes No Uncertain
- Have you adequately considered estate taxes? Yes No Uncertain
- Have you provided adequate estate liquidity for your heirs? Yes No Uncertain
- Is proper titling a concern? Yes No Uncertain
- Do you have long-term health care coverage? Yes No Uncertain

■ BENEFICIARIES

IF YOU PASS AWAY WHOM DO YOU WANT YOUR ASSETS TO PASS TO?

NAME RELATIONSHIP DATE OF BIRTH SSN

NAME RELATIONSHIP DATE OF BIRTH SSN

NAME RELATIONSHIP DATE OF BIRTH SSN

NAME RELATIONSHIP DATE OF BIRTH SSN



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■ GENERAL INFORMATION

Are you anticipating any major lifestyle changes? Yes No Uncertain
(i.e., marriage, divorce, retirement, moving, etc.)

If so, what changes are you expecting?

Are you comfortable with your current cash flow? Yes No Uncertain

Do you anticipate any significant changes in your cash flow? Yes No Uncertain

Do you anticipate any major expenditures in the near future? Yes No Uncertain

If so, what expenditures are you expecting?

	YOU	SPOUSE
Do you have pets? What Kind? Names?		
Do you drink wine or cocktails? What is your favorite?		
What hobbies do you enjoy?		
Do you have a favorite author?		
What is your favorite sports team?		
What is your favorite restaurant?		

■ NOTES:



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■ CHECKLIST

PLEASE PROVIDE THE FOLLOWING ITEMS:

- This client intake form.
- Recent copies of investment account statements including but not limited to IRA's, 401(k)'s, annuities, investment accounts, mutual fund accounts and all other types of investment accounts.
- If you own insurance (Life Insurance, Disability Insurance, Long Term Care Insurance) please provide a recent statement. Often you will not receive statements on insurance related accounts. Therefore, we ask that you provide the declaration pages on the policy. The declaration page simply spells out the insurance coverage in detail. You can call the insurance company and ask them to e-mail you a copy of your declaration pages.
- Copies of any and all debt statements, including mortgage statements, student loans, credit cards, auto, home equity lines etc.
- Spending: If you keep a budget, providing your budget will be valuable information for us in designing your plan. We would like to see your spending broken down by fixed expenses and variable expenses.
- Income / household income: We like to have one to two years of tax returns with the W2's and 1099's included.
 - Copies of your most recent paystubs, please provide the last two weeks.
- Balances of bank accounts: We do not need the actual bank account statements, rather we need the balances of these accounts. This would include checking, savings accounts, as well as CD's if they are held at that the bank.
- If you are working for a company today, we would like the employee handbook in PDF format from the company. We are looking for the benefits that are included with your employment today. This would include such things like your current health insurance, 401(k) plan, and other compensation benefits.
- Social Security Statements: Please go to www.socialsecurity.gov and click on the picture that reads "My Social Security." You should establish your Social Security login's and password's as the Social Security administration will not be sending out your Social Security statements and reports as often as they once did. Once you set this up, please download your most recent statement and provide this information to us.
- Wills and Trusts: If you have done any estate planning, please provide us with a copy of the legal documents.



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■ RISK TOLERANCE

In order for your Financial Advisor to develop the proper investment recommendations for you, please provide the following important information. Please answer the following questions with regard to only the assets to be invested in this program.

<p>1. What is your current age?</p> <p><input type="checkbox"/> Over 65 years old (1)</p> <p><input type="checkbox"/> 55-64 years old (2)</p> <p><input type="checkbox"/> 45-54 year old (4)</p> <p><input type="checkbox"/> 30-44 year old (6)</p> <p><input type="checkbox"/> 18-29 years old (8)</p>	<p>5. How long do you anticipate being retired? Many experts suggest you should plan as though you will live into your 90s.</p> <p><input type="checkbox"/> 1-5 years (1)</p> <p><input type="checkbox"/> 6-10 years (3)</p> <p><input type="checkbox"/> 11-20 years (6)</p> <p><input type="checkbox"/> 21 or more years (8)</p>
<p>2. When do you plan to retire?</p> <p><input type="checkbox"/> Already retired (0)</p> <p><input type="checkbox"/> 1-5 years (1)</p> <p><input type="checkbox"/> 6-10 years (3)</p> <p><input type="checkbox"/> 11-20 years (6)</p> <p><input type="checkbox"/> 21 or more years (8)</p>	<p>6. Which statement best reflects your attitude toward taking risk in order to counter the effects of inflation?</p> <p><input type="checkbox"/> I want to avoid risk, no matter the effect of inflation (2)</p> <p><input type="checkbox"/> I am willing to assume a moderate level of risk in an effort to stay ahead of inflation (3)</p> <p><input type="checkbox"/> I am willing to accept a substantial level of risk in an effort to significantly outpace inflation. (6)</p>
<p>3. When do you plan to begin withdrawing funds from your retirement accounts?</p> <p><input type="checkbox"/> 1-5 years (1)</p> <p><input type="checkbox"/> 6-10 years (3)</p> <p><input type="checkbox"/> 11-15 years (6)</p> <p><input type="checkbox"/> 16 or more years (8)</p>	<p>7. When monitoring the performance of your portfolio, which of the following are you most concerned with?</p> <p><input type="checkbox"/> Not meeting expected returns (6)</p> <p><input type="checkbox"/> Long-term erosion of principal (2)</p> <p><input type="checkbox"/> Short-term fluctuations in portfolio value (4)</p> <p><input type="checkbox"/> Not keeping up with inflation (3)</p>
<p>4. How many months could you continue to meet all your living expenses from existing cash and cash equivalents if you suddenly lost your income?</p> <p><input type="checkbox"/> Less than one month (0)</p> <p><input type="checkbox"/> 2-3 months (2)</p> <p><input type="checkbox"/> 4-6 months (4)</p> <p><input type="checkbox"/> More than 6 months (6)</p>	<p>8. Which of the following statements best describe how you feel about fluctuations in the value of your portfolio?</p> <p><input type="checkbox"/> I have no tolerance for fluctuations (1)</p> <p><input type="checkbox"/> I feel somewhat uncomfortable with fluctuations (3)</p> <p><input type="checkbox"/> I do not mind seeing fluctuations (6)</p>



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9. If you were to select between these two investments with these annual returns, which would you select?

	Year 1	Year 2	Year 3	Year 4	Year 5
<input type="checkbox"/> A:	+10%	+54%	-30%	+2%	+18% (6)
<input type="checkbox"/> B:	+5%	+9%	+3%	+7%	+8% (3)

10. You bought a stock investment about one year ago. You hear on the evening news that the stock just dropped 10%. You would be inclined to:

- Sell the investment (1)
- Hold onto it (4)
- Buy more (6)

SCORING KEY:

- <= 18 = Income and Preservation
- 19-24 = Capital Preservation
- 25-31 = Conservation Growth
- 32-37 = Growth & Income
- 38-47 = Balanced Growth
- 48-57 = Growth
- >= 58 = Aggressive Growth

SCORE:

CLIENT SIGNATURE

DATE

PRINT NAME

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