Personal Information

Name (full legal) ____

Legal Address ____

Mailing Address (if different from Legal) ____

Phone(s) Home ______________________ Cell ______________________

Preferred phone to contact you on: ☐ Home / ☐ Cell (please check one)

Email Address ________________________________

Social Security # ______________________ Date of Birth ______________________

Country of Citizenship __________ Married ☐ No ☐ Yes – Spouse's Name ______________________

Occupation / Title ______________________ Employer Name ______________________

Electronic Funds Transfer Bank Name ______________________ ☐ Savings / ☐ Checking (please check one)

Routing # ______________________ Account # ______________________

For Retirement Accounts Only

Primary Beneficiary(s)

Name ______________________ Date of Birth ______________ Share Percentage ______%

Name ______________________ Date of Birth ______________ Share Percentage ______%

Name ______________________ Date of Birth ______________ Share Percentage ______%

Contingent / Successor Beneficiary(s)

Name ______________________ Date of Birth ______________ Share Percentage ______%

Name ______________________ Date of Birth ______________ Share Percentage ______%

Name ______________________ Date of Birth ______________ Share Percentage ______%

Trusted Contact Person - This person has no authority to make transactions on your behalf. This person will be contacted to confirm specifics about your current contact information and health status if you are unreachable.

Name: ______________________________ Phone: ______________________

Address: ____

Financial Information

Annual Income
(household)

- ☐ $0 - $25k
- ☐ $25k - $50k
- ☐ $50k - $100k
- ☐ $100k - $250k
- ☐ $250k - $500k
- ☐ Over $500k

Estimated Net Worth
(excluding primary residence)

- ☐ Under $50k
- ☐ $50k - $100k
- ☐ $100k - $500k
- ☐ $500k - $1 million
- ☐ $1million - $5million
- ☐ Over $5 million

Investable / Liquid Assets
(including cash & securities)

- ☐ Under $50k
- ☐ $50k - $100k
- ☐ $100k - $500k
- ☐ $500k - $1 million
- ☐ $1million - $5million
- ☐ Over $5 million

Annual Expenses
(recurring)

- ☐ $0 - $50k
- ☐ $50k - $100k
- ☐ $100k - $250k
- ☐ $250k - $500k
- ☐ Over $500k

Special Expenses
(future & non-recurring, for example – buy a home)

- ☐ $0 - $50k
- ☐ $50k - $100k
- ☐ $100k - $250k
- ☐ Over $250k

Special Expenses Timeframe – How many years until you will make this purchase?

- ☐ 0 – 2 years
- ☐ 3 – 5 years
- ☐ 6 – 10 years

Investment Purpose

- ☐ Education
- ☐ Retirement
- ☐ Short term goal
- ☐ Other ______________

General Investment Knowledge

- ☐ Limited
- ☐ Good
- ☐ Extensive

Federal Tax Bracket

- ☐ 0% - 15%
- ☐ 16% - 25%
- ☐ 26% - 30%
- ☐ 31% - 35%
- ☐ Over 35%

Investment Time Horizon

- ☐ Less than 1 year (near term)
- ☐ 1 – 3 years (very short term)
- ☐ 3 – 5 years (short term)
- ☐ 6 – 10 years (intermediate term)
- ☐ Over 10 years (long term)

Investment Product Knowledge

	None	Limited	Good	Extensive
Stocks	☐	☐	☐	☐
Bonds	☐	☐	☐	☐
Mutual Funds	☐	☐	☐	☐
Variable Contracts	☐	☐	☐	☐
Limited Partnerships	☐	☐	☐	☐
Alternative Investments	☐	☐	☐	☐
Annuities	☐	☐	☐	☐