

Client Profile

	Client #1	Client #2
Client Name on account		
Client Date of Birth (mm/dd/yyyy)		
Employment status/occupation		

Household income <\$100k \$100k-\$250k >\$250k

Net worth (exclude residence) <\$100k \$100k-\$500k \$500k-\$1mm
 \$1mm-\$2mm >\$2mm

Investment Objectives: *(Check all that apply)*

The investment objectives are overall for the entire account and may be inconsistent with a particular holding and the account's performance at any time. Please note: achievement of the stated investment objective is a long-term goal for the account.

- Growth & Income:** Designed for steady cash flow with capital appreciation over time
- Growth:** Designed for mid to long-term appreciation with less emphasis on current cash flow
- Aggressive growth:** Designed for above average returns primarily from capital appreciation with little or no emphasis on current cash flow
- Speculation:** Designed for maximal returns through capital appreciation from riskier investments
- Income:** Designed for capital protection and steady cash flow

Risk Tolerance

How would you respond if your portfolio were to suffer a decline in value?

- I would sell my investments immediately if they suffered substantial declines.
- Although declines in investment value make me uncomfortable, I would wait one to two quarters before adjusting my portfolio.
- I can endure significant declines in the value of my investments and would wait at least one year before adjusting my portfolio.
- Even if my investments suffered a significant decline over several years, I would continue to follow my long-term investment strategy.
- If the underlying investment approach remains sound, I would increase the amount invested in my portfolio in anticipation of an increase in value in the future.

Account time horizon

When do you expect to be withdrawing significant funds from this account?

- Short term (under 3 years)
- Intermediate (3-10 years)
- Long term (10+ years)