

# CLIENT PROFILE

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

## General Information

Primary Client Name	Primary Client's SSN # / Tax ID #	Primary Client's Date of Birth
Secondary Client Name	Secondary Client SSN # / Tax ID #	Secondary Client Date of Birth
Relationship	E-mail address	
Mailing Address	Home Phone	
City, State, Zip	Business Phone	
Legal Address	Fax Number	
Primary Client's Country of Citizenship	Secondary Client's Country of Citizenship	\$ _____ % Annual Household Income Tax Bracket
Primary Client's Occupation / Employer	Secondary Client's Occupation / Employer	\$ _____ Net Worth (excluding primary residence)

## Investment Experience

## Description of Assets

	PRIMARY CLIENT	SECONDARY CLIENT	
STOCKS	_____	_____ yrs	Assets initially to be placed under management: \$ _____
BONDS	_____	_____ yrs	
MUTUAL FUNDS	_____	_____ yrs	Total Investable Assets: (net liquid & current assets all accounts) \$ _____

## Investment Time Horizon

## Financial Objective

The portfolio should be structured to meet financial objectives over a period of:

1 to 3 years

4 to 7 years

8 to 10 years

more than 10 years ( \_\_\_\_\_ years)

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 Attitude

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. *Circle the most appropriate number.*

<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>Low Volatility</b>			<b>Medium Volatility</b>				<b>High Volatility</b>			