

Investments:

\$ _____ Marketable Securities (MF, Bonds, Stocks)
\$ _____ Variable Annuities
\$ _____ Life Insurance (Cash Value)
\$ _____ Cash
\$ _____ Fixed Annuities
\$ _____ Other

Years of Experience

Bonds _____ Mutual Funds _____
Stocks _____ Options _____
REITS _____ Partnerships _____
VA's _____ Other _____

Liquidity Needs: Under 3 years 3-5 years 6-10 years 11-20 years over 20 years

Risk Tolerance: Low Medium High Time Horizon: 0-5 years 6-10 years over 10

Investment Objectives (1-4): _____ Tax Adv. _____ Income _____ Growth _____ Speculation

Type of Account:

Individual Trust UGMA/UTMA 529 Plan
JTWROS Estate IRA Type _____
Tenants in Common Non-Corp QP Type _____
TOD Corp. Other _____

I plan to use this account for:

_____ Generate income for current and future expenses
_____ Partially fund my retirement
_____ Wholly Fund my Retirement
_____ Steadily accumulate wealth over the long term
_____ Preserve wealth and pass it on to my heirs
_____ Pay for education
_____ Market Speculations
_____ Other: _____

Portfolio Investment in this Account:

less than 1/3
1/3 to 2/3
more than 2/3

Initial Source of Funds: _____

Beneficiaries:

Name: _____ Relationship: _____ SSN: _____ DOB: _____

Address: _____ Percentage: _____

Name: _____ Relationship: _____ SSN: _____ DOB: _____

Address: _____ Percentage: _____

Name: _____ Relationship: _____ SSN: _____ DOB: _____

Address: _____ Percentage: _____

Notes: