# CLIENT INFORMATION AND ACCOUNT OBJECTIVES

## TYPE OF ACCOUNT

- ☐ Joint
- ☐ Individual
- ☐ IRA
- ☐ Trust
- ☐ Guardianship
- ☐ Endowment
- ☐ Foundation
- ☐ Estate
- ☐ Custodial
- ☐ Partnership

Name ______________________________________________

Joint Name ______________________________________________

Address______________________________________________

______________________________________________

Telephone: Work ____________________

Home ____________________

Email ______________________________

## PERSONAL INFORMATION

Date of Birth _________________________

(if joint) _____________________________

Marital Status _________________________

Dependents __________________________

State of Residency _____________________

Social Security #_______________________

## BUSINESS OR PROFESSION (FORMER, IF RETIRED)

Self _________________________________

Business Income ________________________

Tax Bracket ___________________________

Spouse ______________________________

Other Income __________________________

Total Net Worth _______________________

## FOR TRUST ACCOUNTS

Tax Bracket of Trust __________________________________________

Income Beneficiaries __________________________________________

Age of Beneficiaries ___________________________________________

## INVESTMENT INFORMATION

Approximate Value of Portfolio $ ________________________________

***Portfolio Category:***

☐ Common Stock Portfolio

☐ Balanced Portfolio (Stocks & Bonds)

***Equity Exposure:***

Maximum % in Speculative Stocks____

Minimum % in Income Oriented Stocks___

Maximum Exposure to Equities_____%

Minimum Exposure to Equities_____%

***Performance Comparisons (if any):***

| | | | |
|---|---|---|---|
| ☐ S&P 500 (Standard and Poor's 500) | _____% S&P 500 (Standard and Poor's 500) | ☐ LGCBI (Lehman Gov't Corp. Bond Index) | _____%LGCBI (Lehman Gov't Corp. Bond Index) |

If a taxable portfolio, are there loss-carry forwards? If so, $ ________________________

***Investment Objectives:***

☐ Primarily Growth
☐ Income & Growth
☐ Primarily Income

***Should Dividends and/or Income Be:***

☐ Reinvestment
☐ Remitted
If remitted, to whom?___________________

Annual Income Requirements From Portfolio $ __________________________________

***Cash Reserves Should Be Invested In:***

☐ Taxable Short-Term Fund
☐ U.S. Government Fund
☐ Non-Taxable Short-Term Fund

Do You Anticipate Any Significant Changes Within The Next Five Years That May Affect Any Of The Following:

Investment Objectives _________________________________________________
Income Requirements __________________________________________________
Account Withdrawals/Contributions ________________________________________

Do You Have A Significant Position In Any One Company Of Which We Should Be Made Aware? _____________________________________________________________________
_____________________________________________________________________________

Are There Any Industries Or Specific Companies We Should Avoid When Making Investments For Your Portfolio? ____________________________________________
_____________________________________________________________________________

Are There Any Further Comments Which Should Be Considered By Your Portfolio Manager? _______________________________________________________________
_____________________________________________________________________________

______________________________ ______________________________
**Client Signature** **Client Signature (if Joint Account)**

____________________________
**Date**