

## 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     <\$100-\$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.

- Income:** *Client's primary goal is to have a portfolio that produces current income.*
- Growth & Income:** *Client seeks both higher returns from capital appreciation and some current income.*
- Growth:** *Client seeks higher returns from capital appreciation and has no need for current income.*

### Tolerance to Volatility

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

\_\_\_ I am not comfortable with volatility in my account and cannot accept declines in the value of my portfolio.

\_\_\_ I can endure minor declines in the value of my portfolio, but would alter my investment strategy and be inclined to sell if a moderate or significant decline occurred.

\_\_\_ Even if my investments suffered a moderate or significant decline, I would continue to follow my long-term investment strategy.

\_\_\_ If the underlying investment approach remains sound, given a moderate or significant decline I would increase the amount invested in my portfolio in anticipation of an increase in value in the future.

**When Client needs the capital in the account:**

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

- Within three years
- Three to ten years
- More than 10 years