

Suitability Questionnaire

OWNER	NAME		SSN OR TIN	IF NOT A U.S. CITIZEN, LIST COUNTRY OF CITIZENSHIP		
	MAILING ADDRESS					
	LEGAL ADDRESS (IF DIFFERENT FROM MAILING ADDRESS)					
	ARE YOU A RESIDENT ALIEN? (PROVIDE COPY OF RESIDENT ALIEN CARD) YES <input type="checkbox"/> NO <input type="checkbox"/>					
	HOME TELEPHONE #	BUSINESS TELEPHONE #	CELL TELEPHONE #	EMAIL ADDRESS		
	DATE OF BIRTH	NUMBER OF DEPENDENTS	MARITAL STATUS SINGLE <input type="checkbox"/> DIVORCED <input type="checkbox"/> MARRIED <input type="checkbox"/> WIDOWED <input type="checkbox"/>	OCCUPATION		
EMPLOYER	YEARS EMPLOYED	EMPLOYER ADDRESS				

CO-OWNER	NAME		SSN OR TIN	IF NOT A U.S. CITIZEN, LIST COUNTRY OF CITIZENSHIP	
	HOME TELEPHONE #	BUSINESS TELEPHONE #	CELL TELEPHONE #		
	DATE OF BIRTH	OCCUPATION	EMAIL ADDRESS	ARE YOU A RESIDENT ALIEN? (PROVIDE COPY OF RESIDENT ALIEN CARD) YES <input type="checkbox"/> NO <input type="checkbox"/>	
	EMPLOYER	YEARS EMPLOYED	EMPLOYER ADDRESS		

HOUSEHOLD	SOURCE OF FUNDS? (CHECK ALL THAT APPLY)					
	<input type="checkbox"/> INVESTMENT PROCEEDS		<input type="checkbox"/> PENSION/IRA/RETIREMENT SAVINGS		<input type="checkbox"/> INCOME FROM EARNINGS	
	<input type="checkbox"/> INHERITANCE		<input type="checkbox"/> SALE OF BUSINESS		<input type="checkbox"/> LEGAL SETTLEMENT	
	<input type="checkbox"/> LOTTERY/GAMING PROCEEDS		<input type="checkbox"/> INSURANCE PROCEEDS		<input type="checkbox"/> GIFT	
					<input type="checkbox"/> SPOUSE/PARENT	
					<input type="checkbox"/> OTHER _____	
	ARE YOU OR THE JOINT ACCOUNT HOLDER AN EMPLOYEE OF A BROKER-DEALER? (EMPLOYER AUTHORIZATION IS REQUIRED TO OPEN THIS ACCOUNT.) YES <input type="checkbox"/> NO <input type="checkbox"/>			ARE YOU AN OFFICER, A DIRECTOR OR 5% SHAREHOLDER OF A PUBLIC COMPANY? IF YES, WHAT COMPANY? YES <input type="checkbox"/> NO <input type="checkbox"/>		
ANNUAL INCOME (CHECK ONE)			ESTIMATED NET WORTH (CHECK ONE)			
<input type="checkbox"/> LESS THAN \$50,000		<input type="checkbox"/> \$100,000 TO UNDER \$250,000		<input type="checkbox"/> LESS THAN \$100,000		
<input type="checkbox"/> \$50,000 TO UNDER \$100,000		<input type="checkbox"/> \$250,000 OR MORE		<input type="checkbox"/> \$250,000 TO UNDER \$1,000,000		
				<input type="checkbox"/> \$100,000 TO UNDER \$250,000		
				<input type="checkbox"/> \$1,000,000 OR MORE		
FEDERAL TAX BRACKET (CHECK ONE)			INVESTMENT EXPERIENCE (CHECK ONE)			
<input type="checkbox"/> 15% OR LESS		<input type="checkbox"/> 30% OR ABOVE		<input type="checkbox"/> NONE		
<input type="checkbox"/> 16 - 29%		<input type="checkbox"/> NOT SURE		<input type="checkbox"/> EXPERIENCED		
				<input type="checkbox"/> LIMITED		
				<input type="checkbox"/> EXTENSIVE		
RISK TOLERANCE (CHECK ONE)			INVESTMENT OBJECTIVE (CHECK ONE)			
<input type="checkbox"/> CONSERVATIVE		<input type="checkbox"/> PRESERVATION OF CAPITAL You seek to preserve your capital and will accept lower returns in exchange for greater price stability				
<input type="checkbox"/> MODERATE		<input type="checkbox"/> INCOME Your goal is to minimize the effect of market value fluctuations by taking an income-oriented approach with only limited potential for capital appreciation				
		<input type="checkbox"/> GROWTH & INCOME You seek a modest increase in your investment through a combination of income and appreciation and are willing to tolerate some market fluctuation				
<input type="checkbox"/> AGGRESSIVE		<input type="checkbox"/> GROWTH You have a preference for growth and can withstand significant market value fluctuations in order to achieve it				
		<input type="checkbox"/> AGGRESSIVE GROWTH You seek aggressive growth and are willing to tolerate very wide market value fluctuations in order to achieve it (WILLING TO LOSE MORE THAN 50%)				

Signature of Owner _____ Date _____

Signature of Advisor _____ Date _____

Signature of Co-Owner _____ Date _____

Principal Approval (as needed) _____ Date _____

EF USE ONLY	Portfolios Selected _____	_____
	_____	Manager Approval _____ Date _____

The Suitability Questionnaire is designed to help investors identify an investment approach that could generally suit them. The scope of the form is by no means exhaustive. Investors should be fully aware of the risks involved in the purchase of investment products.