SUITABILITY QUESTIONNAIRE

FULL NAME ___________________________ DATED: ______________________

DATE OF BIRTH ___________________ S.S.# ____________________________

DRIVER'S LIC. # __________________ STATE OF ISSUANCE ______________

ISSUED DATE ___________ EXP. DATE _________ U.S. CITIZEN? ________

MARITAL STATUS _______ NUMBER OF DEPENDENT CHILDREN: ______

HOME ADDRESS ____

CITY _____________________________ STATE ___________ ZIP ___________

HOME PHONE ____________________ CELL PHONE ____________________

EMAIL ____

OCCUPATION ____________________ EMPLOYER _______________________

BUSINESS ADDRESS ____

WORK PHONE ____

SPOUSE FULL NAME____

SPOUSE DATE OF BIRTH _______________ SPOUSE S.S.# ______________

SPOUSE DRIVER'S LIC. # ______________ STATE OF ISSUANCE ________

ISSUED DATE ___________ EXP. DATE _________ U.S. CITIZEN? ________

SPOUSE OCCUPATION EMPLOYER __________________________________

SPOUSE BUSINESS ADDRESS ______________________________________

SPOUSE CELL PHONE ______________ SPOUSE EMAIL ________________

Financial Position

Choose the range *that* best *describes* your *situation or provide the dollar amount.*

Annual Income

From *all sources*

- $0-$25,000
- $25,000-$50,000
- $50,000-$100,000
- *Over* $100,000

$_____________

Estimated Net Worth

Excluding primary residence

- $0-$50,000
- $50,000-$100,000
- $100,000-$500,000
- *Over* $500,000

$_____________

Investable/Liquid Assets

Including cash and securities

- $0-$50,000
- $50,000-$100,000
- $100,000-$500,000
- *Over* $500,000

$_____________

Account Funding Source

Check all that apply.

- ☐ Asset appreciation
- ☐ Business revenue
- ☐ Inheritance
- ☐ Legal/insurance settlement
- ☐ Sale of assets
- ☐ Savings from earnings
- ☐ Other

Annual Expenses

Recurring

- $0-$50,000
- $50,000-$100,000
- $100,000-$250,000
- $250,000-$500,000
- *Over* $500,000

$_____________

Special Expenses

Future and non-recurring

- $0-$50,000
- $50,000-$100,000
- $100,000-$250,000
- *Over* $250,000

$_____________

Timeframe

Required for Special Expenses

- Within 2 years
- 3-5 years
- 6-10 years

Federal Tax Bracket

- 0-15%
- 21%-27½%
- Over 27½%

Investment Profile

Investment Purpose

- Save for education
- Save for retirement
- Save for short-term goal(s)
- Generate income
- Accumulate wealth
- Preserve wealth
- Market speculation
- Other

Investment Objectives

Rank your investment objectives for this account in order of importance (1 being the highest).

Preservation of capital
Income
Capital appreciation
Speculation
Trading profits
Growth and Income
Other _____________________

General Investment Knowledge

- Limited
- Good
- Extensive

Risk Tolerance

- Conservative
- Moderately Conservative
- Moderate
- Moderately Aggressive
- Aggressive
- Combination: ______________

Investment Time Horizon

- Near Term
- Very Short
- Short
- Intermediate
- Long
- Combination: ______________

List of Beneficiaries for Your Account (optional)

Can be your living trust, spouse, or children. List Percentage for each beneficiary-total must be 100%.

Primary Beneficiaries

Name & Social Security No.	Address & Phone	Date of Birth	Percentage (%)