Regulations require each Registered Investment Advisor to maintain written information about each advisory Client as a basis for making any recommendation or providing any investment advice. This information is confidential and will only be used by us to help achieve your unique financial goals.

CLIENT 1									
Last Name:		First Nam	ie:			Middl	e Name:		
Preferred name:				Mother's Maiden Name:					
Sex: ☐ Male ☐ Femal	e Social Securit	y Number:					US Citizen:	:	□ Yes □ No
Date of Birth:	Marital Stat	us:	Single		Marrie		Divorced		Widow(er)
Home Address:		•		City	y, State,	, ZIP:			
Home Phone:		Cell Phone	e:			Email	:		
<b>Employment Status</b>									
	elf-employed	☐ Unen	nployed		□ Stud	ent	☐ Ret	ired	
Client Employer:						Occupation:			
Employer Address:				City, State, ZIP:					
Work Email:				Work Phone:					
Verification of Client									
ID Type:				ID#:			1		
Issuer (i.e. State or Governme	nt Agency):			Issue Date			Exp. Date:		
Citizenship Country: Length of time advisor has known investor:									
Are you a 10% shareholder of a publicly traded company? $\square$ Yes $\square$ No									
Company name:				CUSIP:					
Are you or anyone of interest	in the account a p	oolitically ex	posed p	erson (Fore	eign Po	olitical	□ Yes		□ No
Official)?									
CLIENT 2  Last Name:		First Nam				M: 441	e Name:		
Preferred name:		FIISUNAIII	ie:	Mother's N	Maidan		e Name:		
Sex:	Cogial Cogunit	v Numban		Mother's N	viaiueii	name:	US Citizen:		☐ Yes ☐ No
Date of Birth:	Social Securit  Marital Stat	•	Cingle		Marrie	d П	Divorced		
Home Address:	Maritai Stat	us:	Single		y, State,		Divorceu	ш	Widow(er)
Home Phone:		Cell Phone	0.	City	y, state,	Email			
Employment Status		Cell Filoli	e. 			Elliali	•		
	elf-employed	☐ Unen	nnloved	Г	□ Stud	ant	□ Ret	ired	
Client Employer:	en-employeu	u onen	пріоуец	<u> </u>		Occupation:		neu	
Employer Address:				City, State, ZIP:					
Work Email:						Work Phone			
Verification of Client						WOLK LIIOLIC	··		
ID Type:				ID#:					
Issuer (i.e. State or Governme	nt Agency)·			Issue Date	٠.		Exp. Date:		
Citizenship Country:				Length of time advisor has known investor:					
Are you a 10% shareholder o	f a publicly traded	company?		□ Ye		□ No			
Company name:	a publicly trauet	· company ·		CUSIP:					
Are you or anyone of interest	in the account a r	olitically ex	posed p		eign Po	litical			
Official)?	1	J			O		☐ Yes		□ No
OWNER & JOINT OWNER									
How client was acquired:	☐ Existing client		eferral		old call		solicited walk		
Responses provided below are for the general intentions of the Client(s). Client(s) may specify varying intentions for each account									
on the Investment Advisory A									
Risk Tolerance	□ Conservative	_		1 Moderate	-	servative	☐ Moderate	9	
T	☐ Moderately Ag			Aggressiv					_
Investment Objective	☐ Safety of Principal ☐ Tax Advantaged ☐ Income								
Towns at an and IV and a second	Growth			Speculation		1 10	<b>—</b> 10.20		П 20.
Investment Horizon	☐ Under 1 year	□ 1-3 yea	ars L	<b>1</b> 3-5 years	⊔ 5	5-10 years	□ 10-20 year	ars	□ 20+ years

FINANCIAL INFORMATION												
Federal tax bracket	□ 0-12%	□ 13-22 <sup>9</sup>	<b>6</b> □ 23	-32% <b></b>	1 33+%							
Estimated net worth	□ Under \$100	K □ \$100-5	00K □ \$5	00K-1M □	] \$1-2M	□ Over \$2M						
Liquid net worth (exclude primary residence)	☐ Under \$100	K □ \$100-5	500K □ \$5	00K-1M □	<b>1</b> \$1-2M	□ Over \$2M						
Estimated annual income	□ Under \$50k	□ \$50-10	00K 🗆 \$1	00K-200K □	1 \$200K-500K	□ Over \$500K						
Total investment assets	☐ Under \$100	K □ \$100-5	00K □ \$5	00K-1M □	] \$1-2M	□ Over \$2M						
CURRENT INVESTMENTS & EXPERIENCE												
Below for each category, please indicate your investment experience, approximate percentage of your overall investments that you own for each type of investment and the approximate number of years you have owned the investment.												
Mutual funds												
Investment Experience:	□ Novice/little to no knowledge □ Minimal/some common knowledge											
Investment Experience:	☐ Reasonable/fai		☐ Expert/very knowledgeable									
% Of Overall Investments:	•		31-45% □		□ 61-75%	□ 76-100%						
# of Years Owned:	□ Under 1 □	1 1-3 🔲 3-	5 🗆 5-10	0 🛮 10-20	□ 20+	□ unknown						
ETFs												
Investment Experience:	☐ Novice/little to no knowledge ☐ Minimal/some common knowledge											
	☐ Reasonable/fai	r understanding		☐ Expert/ver	☐ Expert/very knowledgeable							
% Of Overall Investments:	□ 0-15% □	16-30% □ 3	31-45%	46-60%	□ 61-75%	□ 76-100%						
# of Years Owned:	□ Under 1 □	1 1-3 🔲 3-	5 🗆 5-10	0 🛮 10-20	□ 20+	□ unknown						
Individual stocks & bonds												
Investment Experience:	☐ Novice/little to		☐ Minimal/so	ome common kno	owledge							
	☐ Reasonable/fair understanding			☐ Expert/very knowledgeable								
% Of Overall Investments:	□ 0-15%	□ 16-30%	□ 31-45%	□ 46-60%	□ 61-75%	□ 76-100%						
# of Years Owned:	□ Under 1 □ 1	1-3 🔲 3-5	□ 5-10	□ 10-20	□ 20+	□ unknown						
Annuities (fixed/variable)												
Investment Experience:	☐ Novice/little to	_		•	ome common kno	-						
	☐ Reasonable/fai				y knowledgeable							
% of Overall Investments:	□ 0-15%	□ 16-30%	□ 31-45%	□ 46-60%	□ 61-75%	□ 76-100%						
# of Years Owned:	□ Under 1 □ 1	1-3 🗆 3-5	□ 5-10	□ 10-20	□ 20+	□ unknown						
Other												
Description/details of other												
Investment Experience:	☐ Novice/little to ☐ Reasonable/fai	-		<ul><li>☐ Minimal/some common knowledge</li><li>☐ Expert/very knowledgeable</li></ul>								
% of Overall Investments:	□ 0-15%		□ 31-45%	□ 46-60%		□ 76-100%						
# of Years Owned:	□ Under 1 □ 1		□ 5-10	□ 10-20	□ 20+	□ unknown						
Rate your understanding	of the following:											
<b>Current Investments</b>	☐ Little or None	□ Ave	rage	□ Good		☐ Excellent						
Investments as a Whole	☐ Little or None	□ Ave	rage	☐ Good	□ Excellent							
Notes:												
ACKNOWLEDGEMENTS												
By signing below, I/we ackn	owledge the above	information is true	and accurate to	the best of my/	our knowledge.							
Client 1 Signature:												
Print name:				Date:								
Client 2 Signature:												
Print name:				Date:								
Advisor Signature:												
Print Name:				Date:								