St. Therese Financial LLC **Client Profile Form**

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 Name:	Middle Name:
Preferred name:	Mother's Maiden Name:	
Sex: ☐ Male ☐ Female Social Security Number:		US Citizen: ☐ Yes ☐ No
Date of Birth:	Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Widow(er)	
Home Address:	City, State, ZIP:	
Home Phone:	Cell Phone:	Email:
Employment Status		
☐ Employed ☐ Self-employed ☐ Unemployed ☐ Student ☐ Retired		
Client Employer:	Occupation:	
Employer Address:	City, State, ZIP:	
Work Email:	Work Phone:	
Verification of Client		
ID Type:	ID#:	
Issuer (i.e. State or Government Agency):	Issue Date:	Exp. Date:
Citizenship Country:	Length of time advisor has known investor:	
Are you a 10% shareholder of a publicly traded company?	☐ Yes ☐ No	
Company name:	CUSIP:	
Are you or anyone of interest in the account a politically exposed person (Foreign Political Official)?	☐ Yes ☐ No	
CLIENT 2		
Last Name:	First Name:	Middle Name:
Preferred name:	Mother's Maiden Name:	
Sex: ☐ Male ☐ Female Social Security Number:		US Citizen: ☐ Yes ☐ No
Date of Birth:	Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Widow(er)	
Home Address:	City, State, ZIP:	
Home Phone:	Cell Phone:	Email:
Employment Status		
☐ Employed ☐ Self-employed ☐ Unemployed ☐ Student ☐ Retired		
Client Employer:	Occupation:	
Employer Address:	City, State, ZIP:	
Work Email:	Work Phone:	
Verification of Client		
ID Type:	ID#:	
Issuer (i.e. State or Government Agency):	Issue Date:	Exp. Date:
Citizenship Country:	Length of time advisor has known investor:	
Are you a 10% shareholder of a publicly traded company?	☐ Yes ☐ No	
Company name:	CUSIP:	
Are you or anyone of interest in the account a politically exposed person (Foreign Political Official)?	☐ Yes ☐ No	

OWNER & JOINT OWNER	
How client was acquired:	☐ Existing client ☐ Referral ☐ Cold call ☐ Unsolicited walk/call in ☐ Solicited
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 Agreement.	
Risk Tolerance	☐ Conservative ☐ Moderately Conservative ☐ Moderate ☐ Moderately Aggressive ☐ Aggressive
Investment Objective	☐ Safety of Principal ☐ Tax Advantaged ☐ Income ☐ Growth ☐ Speculation
Investment Horizon	☐ Under 1 year ☐ 1-3 years ☐ 3-5 years ☐ 5-10 years ☐ 10-20 years ☐ 20+ years

FINANCIAL INFORMATION					
Federal tax bracket	☐ 0-12%	☐ 13-22%	☐ 23-32%	☐ 33+%	
Estimated net worth	☐ Under $100K	☐ $100-500K	☐ $500K-1M	☐ $1-2M	☐ Over $2M
Liquid net worth (exclude primary residence)	☐ Under $100K	☐ $100-500K	☐ $500K-1M	☐ $1-2M	☐ Over $2M
Estimated annual income	☐ Under $50K	☐ $50-100K	☐ $100K-200K	☐ $200K-500K	☐ Over $500K
Total investment assets	☐ Under $100K	☐ $100-500K	☐ $500K-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 ☐ Reasonable/fair understanding			☐ Minimal/some common knowledge ☐ Expert/very knowledgeable			
% Of Overall Investments:	☐ 0-15%	☐ 16-30%	☐ 31-45%	☐ 46-60%	☐ 61-75%		☐ 76-100%
# of Years Owned:	☐ Under 1	☐ 1-3	☐ 3-5	☐ 5-10	☐ 10-20	☐ 20+	☐ unknown

ETFs

Investment Experience:	☐ Novice/little to no knowledge ☐ Reasonable/fair understanding			☐ Minimal/some common knowledge ☐ Expert/very knowledgeable			
% Of Overall Investments:	☐ 0-15%	☐ 16-30%	☐ 31-45%	☐ 46-60%	☐ 61-75%		☐ 76-100%
# of Years Owned:	☐ Under 1	☐ 1-3	☐ 3-5	☐ 5-10	☐ 10-20	☐ 20+	☐ unknown

Individual stocks & bonds

Investment Experience:	☐ Novice/little to no knowledge ☐ Reasonable/fair understanding			☐ Minimal/some common knowledge ☐ Expert/very knowledgeable			
% Of Overall Investments:	☐ 0-15%	☐ 16-30%	☐ 31-45%	☐ 46-60%	☐ 61-75%		☐ 76-100%
# of Years Owned:	☐ Under 1	☐ 1-3	☐ 3-5	☐ 5-10	☐ 10-20	☐ 20+	☐ unknown

Annuities (fixed/variable)

Investment Experience:	☐ Novice/little to no knowledge ☐ Reasonable/fair understanding			☐ Minimal/some common knowledge ☐ Expert/very knowledgeable			
% of Overall Investments:	☐ 0-15%	☐ 16-30%	☐ 31-45%	☐ 46-60%	☐ 61-75%		☐ 76-100%
# of Years Owned:	☐ Under 1	☐ 1-3	☐ 3-5	☐ 5-10	☐ 10-20	☐ 20+	☐ unknown

Other

Description/details of other investments:

Investment Experience:	☐ Novice/little to no knowledge ☐ Reasonable/fair understanding			☐ Minimal/some common knowledge ☐ Expert/very knowledgeable			
% of Overall Investments:	☐ 0-15%	☐ 16-30%	☐ 31-45%	☐ 46-60%	☐ 61-75%		☐ 76-100%
# of Years Owned:	☐ Under 1	☐ 1-3	☐ 3-5	☐ 5-10	☐ 10-20	☐ 20+	☐ unknown

Rate your understanding of the following:

Current Investments	☐ Little or None	☐ Average	☐ Good	☐ Excellent
Investments as a Whole	☐ Little or None	☐ Average	☐ Good	☐ Excellent

Notes:

ACKNOWLEDGEMENTS

By signing below, I/we acknowledge 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: