

INVESTMENT OBJECTIVE / SUITABILITY
OBJETIVO DE INVERSION / IDONEIDAD

Account Number: _____

Date: _____

Individual Corporation Joint

S S N or T I N: _____

Name: _____

Telephone Number (Home): _____ Telephone Number (Cellular): _____

Telephone Number (Business): _____ E-mail: _____

Employment Status:

Employed (EMPL) Self-Employed (SEMP) Retired (RETD) Unemployed (UEMP) Homemaker (HOME) Student (STDT)

Job Title: _____

Years Employed: _____

Description of Business: _____

Annual Income:

From: \$ _____ To: \$ _____

Net Worth (Excluding Home):

From: \$ _____ To: \$ _____

GOVERNMENT PHOTO ID:

Type of Unexpired Photo ID: _____

ID Number: _____

Country of Issue: _____

State/Province/Subdivision: _____

Date of Issue: _____ / _____ / _____

Date of Expiration: _____ / _____ / _____

INVESTMENT KNOWLEDGE AND EXPERIENCE:

GENERAL INVESTMENT KNOWLEDGE: Limited Moderate Extensive None

KNOWLEDGE AND EXPERIENCE BY INVESTMENT TYPE:

<u>INVESTMENT</u>	<u>INVESTMENT KNOWLEDGE</u>	<u>INVESTMENT EXPERIENCE</u>
Equities	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Options	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Fixed Income	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Mutual Funds	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Unit Investment Trusts	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Exchange Traded Funds	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Real Estate	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Insurance	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Variable Annuities	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Fixed Annuities	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Precious Metals	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Commodities and Futures	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____
Other _____	<input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive <input type="checkbox"/> None	Since Year _____

Are you maintaining any other brokerage accounts? Yes...

With what firms(s) are you maintaining other brokerage accounts?

No

Years of investment experience: _____

Risk Exposure: (check one)

Low Moderate Speculation High Risk

Account Investment Objectives:

Income Long-Term Growth Short-Term Growth

OTHER INVESTMENTS:

<u>INVESTMENT</u>	<u>INVESTMENT VALUE</u>	<u>INVESTMENT</u>	<u>INVESTMENT VALUE</u>
Equities	Value (\$) _____	Fixed Annuities	Value (\$) _____
Options	Value (\$) _____	Precious Metals	Value (\$) _____
Fixed Income	Value (\$) _____	Commodities and Futures	Value (\$) _____
Mutual Funds	Value (\$) _____	Other _____	Value (\$) _____
Unit Investment Trusts	Value (\$) _____	Other _____	Value (\$) _____
Exchange Traded Funds	Value (\$) _____	Other _____	Value (\$) _____
Real Estate	Value (\$) _____	Other _____	Value (\$) _____
Insurance	Value (\$) _____	Other _____	Value (\$) _____
Variable Annuities	Value (\$) _____		

Investment Time Horizon and Liquidity Needs:

Time Horizon ___ / ___ / _____

Liquidity Needs: High Medium Low

CERTIFICATE OF FOREIGN STATUS OF BENEFICIAL OWNER FOR UNITED STATES TAX WITHHOLDING (W8) OR U.S TAXPAYER NUMBER CERTIFICATION (W9):

W8BEN Last Date: _____

W9 Last Date: _____

SIGNATURES:

Please Review Your Information:

Primary Account Holder's Signature: _____ Date: _____

Secondary Account Holder's Signature: _____ Date: _____

For Broker-Dealer Use Only

Investment Professional (Print Name): _____

Signature: _____ Date: _____

Principal (Print Name): _____

Signature: _____ Date: _____