

# Confidential Investor Profile

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## Type of Account(s) to Be Opened

Individual     Individual Retirement (IRA)     IRA Rollover     Trust     Joint     Other \_\_\_\_\_

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## Personal Information

Name:	E-Mail:		
Social Security #/Tax ID Number:	Date of Birth:		
Home Address:	Suite/Apt:		
City	State:	Zip:	Country:
Home Number:	Business Number:		
Fax Number:		Choose a Login Name:	
Choose a Password:			
Employer:	Occupation:		
Employer Address:	Suite/Apt:		
City:	State:	Zip:	Country:
Spouse's Name:	E-Mail:		
Social Security #/Tax ID Number:	Date of Birth:		
Employer:	Occupation:		
Employer Address:	Suite/Apt:		
City:	State:	Zip:	Country:

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## Financial Profile

### Current Accounts: (Complete for each account being evaluated)

- 1.** Account Title: \_\_\_\_\_ Custodian: \_\_\_\_\_  
Type of Account:  Individual     Individual Retirement (IRA)     Joint  
                     Trust          IRA Rollover          Other \_\_\_\_\_  
Account Value: \$ \_\_\_\_\_ Assets planned for allocation to Premier Asset Manager Program:  
                     Entire Account     Other: \$ \_\_\_\_\_
  
- 2.** Account Title: \_\_\_\_\_ Custodian: \_\_\_\_\_  
Type of Account:  Individual     Individual Retirement (IRA)     Joint  
                     Trust          IRA Rollover          Other \_\_\_\_\_  
Account Value: \$ \_\_\_\_\_ Assets planned for allocation to Premier Asset Manager Program:  
                     Entire Account     Other: \$ \_\_\_\_\_
  
- 3.** Account Title: \_\_\_\_\_ Custodian: \_\_\_\_\_  
Type of Account:  Individual     Individual Retirement (IRA)     Joint  
                     Trust          IRA Rollover          Other \_\_\_\_\_  
Account Value: \$ \_\_\_\_\_ Assets planned for allocation to Premier Asset Manager Program:  
                     Entire Account     Other: \$ \_\_\_\_\_

**4.** Account Title: \_\_\_\_\_ Custodian: \_\_\_\_\_

Type of Account:  Individual  Individual Retirement (IRA)  Joint  
 Trust  IRA Rollover  Other \_\_\_\_\_

Account Value: \$ \_\_\_\_\_ Assets planned for allocation to Premier Asset Manager Program:  
 Entire Account  Other: \$ \_\_\_\_\_

**5.** Account Title: \_\_\_\_\_ Custodian: \_\_\_\_\_

Type of Account:  Individual  Individual Retirement (IRA)  Joint  
 Trust  IRA Rollover  Other \_\_\_\_\_

Account Value: \$ \_\_\_\_\_ Assets planned for allocation to Premier Asset Manager Program:  
 Entire Account  Other: \$ \_\_\_\_\_

**Current Investments:**

What is the amount of your total investable assets? \$ \_\_\_\_\_

Total assets planned for allocation to Premier Asset Manager Program: \$ \_\_\_\_\_

**Please indicate the approximate value of your current investments below: (Please attach statements)**

Asset Class	Taxable Personal Account(s)	Tax-Deferred Investments (including IRA, 401(k), etc.)
Domestic Equities:	_____	_____
International Equities:	_____	_____
Taxable Fixed Income:	_____	_____
Municipal Fixed Income:	_____	_____
REITs:	_____	_____
Cash and Cash Equivalents:	_____	_____
Other:	_____	_____
<b>Totals:</b>	\$ _____	\$ _____

Annual Household Income: \$ \_\_\_\_\_ Federal Tax Bracket: \_\_\_\_\_

Approximate Net Worth: \$ \_\_\_\_\_ State Tax Bracket: \_\_\_\_\_

Are there any assets listed above which should not be liquidated? If so, please specify:  
\_\_\_\_\_  
\_\_\_\_\_

Do you have a will?  Yes  No Have you created any trusts?  Yes  No

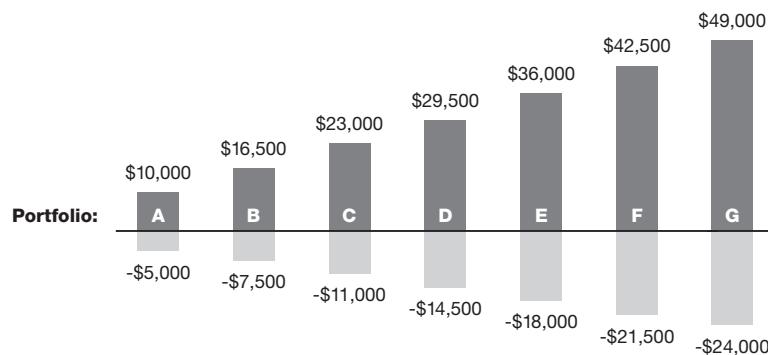
Do you have life insurance?  Yes  No

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## Investment Objectives and Risk Tolerance

1. This graph shows the potential range of gains or losses of a \$100,000 investment in each of seven hypothetical portfolios at the end of a 1-year period. The number above each bar shows the best potential gain for that portfolio, while the number below each bar shows the worst potential loss. Given that this is the only information that you have on these seven hypothetical portfolios, which one would you choose to invest in?

- A:** Portfolio A
- B:** Portfolio B
- C:** Portfolio C
- D:** Portfolio D
- E:** Portfolio E
- F:** Portfolio F
- G:** Portfolio G



- 2.** Inflation (rising prices for goods and services) can have a significant effect on your investments by decreasing their potential purchasing power over time. Aggressive investments have historically outpaced inflation over the long run, have had more instances of short-term losses than more conservative investments. How do you feel about inflation and its impact on your investments?
- A:** I am satisfied with my investments keeping pace with inflation. Limiting the potential for short-term loss is my main goal, and I am willing to sacrifice the potential for higher returns.
- B:** I would like my investments to outpace inflation. I am willing to assume some potential for short-term loss in order to achieve that goal.
- C:** I prefer that my investments significantly outperform inflation. I am willing to assume a greater potential for short-term loss in order to achieve that goal.
- 3.** Suppose that a substantial portion of your investment portfolio is invested in stocks. If the stock market were to experience a prolonged down market, losing 45 percent of its value over an 18 month period, what would you do (assuming your stocks behaved in a similar fashion)?
- A:** Sell all the stocks in your portfolio. You are afraid that the stock market is in a downturn and you cannot afford the decrease in value.
- B:** Sell half of the stocks in your portfolio. You think that the market may rebound, but you are not willing to leave all of your investment exposed to further loss.
- C:** Hold the stocks in your portfolio. You understand that your investment may be subject to short-term price swings and are comfortable ‘weathering the storm’.
- D:** Buy more stocks for your portfolio to take advantage of their low price. You are comfortable with market fluctuations and assume that the stocks will regain their previous value or increase in value.
- 4.** Once again, assume you have a substantial portion of your investment portfolio in stocks. If the stock market were to gradually decline at an average of 2 percent per month, eventually losing 22% of its value over a year, which of the following would you do?
- A:** Invest more now because stocks are selling for approximately 20% less than they were 12 months ago. You believe that the stocks will regain their value or possibly appreciate even higher over the long-term.
- B:** Sell the stocks in your portfolio and realize the 22% loss. You wish to avoid the risk of further loss.
- C:** Sell half of the stocks your portfolio. You are not willing to leave all of your investment at risk for further loss.
- D:** Do nothing. You are comfortable waiting for the stocks to regain their previous value or to increase in value.
- 5.** Aggressive investments have historically provided higher returns while exhibiting greater short-term price fluctuations and potential for loss. How do you feel about fluctuations in the value of your portfolio?
- A:** I want to minimize the possibility of loss in the value of my portfolio. I understand that I am sacrificing higher long-term returns by holding investments that reduce the potential for short-term loss and price fluctuation.
- B:** I can tolerate moderate losses in order to achieve potentially favorable returns.
- C:** I can tolerate the risk of large losses in my portfolio in order to increase the potential of achieving high returns.
- 6.** What is the investment time horizon on these investable assets?
- A:** Less than 3 years.     **B:** 3-5 years.     **C:** 6-9 years.     **D:** 10+ years.

## Account Activity: Contributions and Withdrawals

- 7.** Will you require distributions or withdrawals from your account assets?     Yes     No
- If yes, please indicate the expected amount as either: \_\_\_\_\_ % per year, or \$\_\_\_\_\_ per year.
- Please indicate how you would like the distributions to be made:
- Monthly     Quarterly     Semi-annually     Annually
- When do you anticipate these withdrawals to begin? \_\_\_\_\_
- 8.** Will you make additional contributions/deposits to these assets?     Yes     No
- If yes, please indicate the expected amount as either: \_\_\_\_\_ % per year, or \$\_\_\_\_\_ per year.
- When do you anticipate these deposits to begin? \_\_\_\_\_

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## Account Restrictions/Constraints and Preferences

9. Are there any limitations to holding specific asset classes in the portfolio? (e.g., *emerging markets*)  Yes  No  
**If yes,** note below any maximum or minimum percentages on a particular asset class. (e.g., *no more than 50% equities*)

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10. Do you wish to prohibit investments in certain securities or industry groups?  
(e.g., *XYZ Corp. stock; alcohol, tobacco or gaming industries*)

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## Additional Information

11. Is there any additional information you wish to provide us so that we can best address your investment needs?

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