ADVISER
INVESTMENTS

Investor Profile

(Confidential)

The following questionnaire is intended to help us understand your investment needs, financial goals and attitude towards risk. This information will allow us to develop an investment strategy and personal portfolio to best meet your unique requirements. All responses are strictly confidential.

I. Account Registration

Name: ______________________ Joint Tenant Name: ______________

Corporate/Trust Name: ______________________ Tax ID #: ______________

Account Registration (if other than above): ______________________

Address: ______________________ Daytime Phone: ( ) ______________ Preferred ☐

City: __________ State: __________ Zip: __________ Evening Phone: ( ) ______________ ☐

Email: ______________________ Cell Phone: ( ) ______________ ☐

Type of Account: ☐ Individual ☐ Joint Tenant ☐ IRA ☐ Trust (trust date): ______________

☐ Pension Plan ☐ Gifts/ Transfers to Minor ☐ Other (please specify): ______________

☐ Single ☐ Married ☐ Divorced ☐ Widowed

2. Personal Data

Client Information

Date of Birth: ______________________

Social Security # ______________________

Occupation: ______________________

Self-Employed: ☐ Yes ☐ No

Retired: ☐ Yes ☐ No

If no, how many years before you expect to retire?_____

Spouse Information

Date of Birth: ______________________

Social Security # ______________________

Occupation: ______________________

Self-Employed: ☐ Yes ☐ No

Retired: ☐ Yes ☐ No

If no, how many years before you expect to retire?_____

3. Income

Client Information

Name of Employer: ______________________

Annual Compensation: $______________________

Spouse Information

Name of Employer: ______________________

Annual Compensation: $______________________

Additional Sources of Income:

Source:	Annual Amount:
__________	$__________
__________	__________
__________	__________
__________	__________

Combined Annual Income: $______________________ Annual Retirement Goal: $______________________

Over the next 3-5 years, do you expect your annual income to:

☐ **A.** Increase by $__________or ______% ☐ **B**. Decrease by $__________or ______% ☐ **C**. Remain the Same

If you answered A or B, what will cause your income to increase/decrease? ______________________

____

4. Expenses

Combined Annual Expenses: $______________________________

Over the next 3-5 years, do you expect your annual expenses to:

☐ **A.** Increase by $__________or ______% ☐ **B**. Decrease by $__________or ______% ☐ **C**. Remain the Same

If you answered A or B, what will cause your expenses to increase/decrease? ____

____

Number of Children/Dependents: _________

Name:	Age:	Relationship:	Annual Financial Support: (if not included above)
____________________	________	______________	$ ____________________
____________________	________	______________	____________________
____________________	________	______________	____________________
____________________	________	______________	____________________

Please describe any other financial commitments, SEC restrictions, legal limitations or special circumstances that might affect management of your account:

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5. Taxes

Federal Tax Rate this Year:___________________________________% Do you expect this rate to: ☐ Increase ☐ Decrease

Filing State: ____

Do you have any other tax considerations we should be aware of, such as tax-loss carry forwards? ______________________________

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6. Assets

Please list the value of the assets in your total investment portfolio:

Individual Stocks: $__________________________ Money Market Funds: $ ________________________________

Individual Bonds: $__________________________ Mutual Funds: $ ________________________________

CDs: $__________________________ Options/Other $ ________________________________

Additional Assets (please list market value less mortgages or loans):

Residence: $______________________________ Other Real Estate: $ ________________________________

(Value Outstanding Mortgage)

Business: $______________________________ Other (please describe): $ ________________________________

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(Over)

7. Adviser Investment Management Portfolio

Attention: *Please enclose copies of your most recent statements, including cost basis.*

Beginning portfolio value to be managed by Adviser Investments: $____________________________

What percentage of your total investment portfolio does this represent? ________________________%

Over the next year, how much money do you expect to withdraw from your portfolio? $ _________________or _______________%

Do you expect this amount to remain the same in subsequent years? ☐ Yes ☐ No

If no, please explain ____

Over the next year, how much money do you expect to contribute to your portfolio? $ _________________or _______________%

Do you expect this amount to remain the same in subsequent years? ☐ Yes ☐ No

If no, please explain ____

For how long do you expect to have this money invested?

☐ More than ten years ☐ Five to ten years ☐ Three to five years ☐ Less than three years

Which of the following best describes your investment objective? (Mark all that apply)

☐ Aggressive Growth: Maximize potential for capital appreciation and seek growth of principal. I understand that the pursuit of greater asset growth may entail a greater potential loss of principal.

☐ Growth: Objectives include capital appreciation with less risk than the aggressive growth strategy. I understand that the pursuit of greater asset growth may entail a greater potential loss of principal.

☐ Conservative Growth: Seek a balance of growth of principal and current income.

☐ Growth and Income: Portfolio objectives include a hedge against inflation and aim to preserve principal.

☐ Income: Seek to maximize portfolio income from a variety of sources.

The investment objectives of this account represent:

☐ My overall objectives ☐ One component of a larger investment plan (if so, please describe the overall objectives and other components of the plan):

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8. Signature:

Completed by: ____

Signature: ____ Date: ______________________________