



Date: ____/____/____

Primary				
Name/Identification			Home Address	
First Name	Middle Initial	Last Name	Street	
Social Security Number		Date of Birth	City	State Zip
Phone & Email				
Home Phone		Mobile / Work Phone		
Email Address				
Employer		Retired?	Employer Address (if not retired)	
Employer Name (former if retired)		<input type="radio"/> Yes <input type="radio"/> No	Street	
Occupations (former if retired)			City	State Zip
Secondary				
Name/Identification			Home Address	
First Name	Middle Initial	Last Name	Street	
Social Security Number		Date of Birth	City	State Zip
Phone & Email				
Home Phone		Mobile / Work Phone		
Email Address				
Employer		Retired?	Employer Address	
Employer Name (former if retired)		<input type="radio"/> Yes <input type="radio"/> No	Street	
Occupations (former if retired)			City	State Zip
Beneficiary Information (List additional beneficiaries on separate sheet of paper)				
Name (First, Last)	Date of Birth	Relationship	Primary or Contingent?	%

Asset Management Group

Securities offered through LPL Financial. Member FINRA/SIPC

Section II: Investment Objective

1.	Registration (IRA, Roth IRA, Trust, Individual, etc.):
2.	<p>Select the investment objective that most accurately reflects the goals for this account (choose only one)</p> <p>The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time. Please note that achievement of the stated investment objectives is a long-term goal for the account.</p> <p><input type="radio"/> A. Income with Capital Preservation. Designed as a longer term accumulations account, this is the most conservative investment objective. Emphasis is placed on generation of current income and prevention of capital loss.</p> <p><input type="radio"/> B. Income with Moderate Growth. Emphasis is placed on generation of current income with a secondary focus on moderate capital.</p> <p><input type="radio"/> C. Growth with Income. Emphasis is placed on modest capital growth with some focus on generation of current income</p> <p><input type="radio"/> D. Growth. Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.</p> <p><input type="radio"/> E. Aggressive Growth. Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has a very high level of risk and is for investors with a longer time horizon.</p>

Section III: Financial Information and Experience

3.	<p>What is your total annual income?</p> <p><input type="radio"/> A. Less than \$25,000 <input type="radio"/> B. Between \$25,000 and \$49,999 <input type="radio"/> C. Between \$50,000 and \$99,999</p> <p><input type="radio"/> D. Between \$100,000 and \$249,999 <input type="radio"/> E. Between \$250,000 and \$499,999 <input type="radio"/> F. Between \$500,000 and \$749,999</p> <p><input type="radio"/> G. Between \$750,000 and \$999,999 <input type="radio"/> H. \$1,000,000 and over</p>														
4.	<p>What is your net worth? (exclusive of home)</p> <p><input type="radio"/> A. Less than \$25,000 <input type="radio"/> B. Between \$25,000 and \$49,999 <input type="radio"/> C. Between \$50,000 and \$99,999</p> <p><input type="radio"/> D. Between \$100,000 and \$249,999 <input type="radio"/> E. Between \$250,000 and \$499,999 <input type="radio"/> F. Between \$500,000 and \$749,999</p> <p><input type="radio"/> G. Between \$750,000 and \$999,999 <input type="radio"/> H. \$1,000,000 and over</p>														
5.	<p>What is your liquid net worth? (normally same as net worth minus real estate)</p> <p><input type="radio"/> A. Less than \$25,000 <input type="radio"/> B. Between \$25,000 and \$49,999 <input type="radio"/> C. Between \$50,000 and \$99,999</p> <p><input type="radio"/> D. Between \$100,000 and \$249,999 <input type="radio"/> E. Between \$250,000 and \$499,999 <input type="radio"/> F. Between \$500,000 and \$749,999</p> <p><input type="radio"/> G. Between \$750,000 and \$999,999 <input type="radio"/> H. \$1,000,000 and over</p>														
6.	<p>Approximate account value:</p> <p>A. Less than \$25,000 B. Between \$25,000 and \$49,999 C. Between \$50,000 and \$99,999</p> <p>D. Between \$100,000 and \$249,000 E. Between \$25,000 and \$499,999 F. \$500,000 and \$749,999</p> <p>G. Between \$750,000 and \$999,999 H. \$1,000,000 and over</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Account</th> <th style="text-align: left;">Type</th> <th style="text-align: left;">Value</th> </tr> </thead> <tbody> <tr> <td>Account #1</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Account #2</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Account #3</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>			Account	Type	Value	Account #1	_____	_____	Account #2	_____	_____	Account #3	_____	_____
Account	Type	Value													
Account #1	_____	_____													
Account #2	_____	_____													
Account #3	_____	_____													
7.	<p>What is your federal tax bracket? ____% (10,12,22,24,32,35,37%)</p>	7b.	<p>Source of Wealth and Income (inheritance, employment salary, sale of real estate, etc.):</p>												
8.	<p>Investment Experience (number of years)</p> <p>_____ None _____ Stocks _____ Bonds _____ Mutual Funds</p> <p>_____ Annuities _____ Margin _____ Options</p>														
9.	<p>Please indicate percentage of assets exclusive of primary home (must equal 100%).</p> <p>1) Checking/Savings ____% 5) Annuities ____%</p> <p>2) Mutual Funds ____% 6) Insurance ____%</p> <p>3) Stocks ____% 7) Real Estate ____%</p> <p>4) Alternative Investments ____%</p>														
10.	<p>Investment Time Horizon and Liquidity Needs</p> <p>What is your investment time horizon for this account?</p> <p><input type="radio"/> A. 1-3 years <input type="radio"/> B. 3-5years <input type="radio"/> C. 5-10years <input type="radio"/> D. More than 10 years</p> <p>Do you have liquidity needs for these funds? <input type="radio"/> Yes <input type="radio"/> No</p> <p>➤ If yes, when do you need these funds? <input type="radio"/> 0-3 years <input type="radio"/> More than 3 years</p> <p>➤ If yes, specify the approximate dollar amount for the time range indicated above: \$ _____</p>														