

## Client Suitability Quick Sheet

### Client (A)

Name (First/Last)			
Date of Birth	Marital Status	Gender <input type="checkbox"/> Female <input type="checkbox"/> Male	
Social Security	Birth State	Citizenship	
Driver's License Number	Issue Date	Expiration Date	State

### Client (B)

Name (First/Last)			
Date of Birth	Marital Status	Gender <input type="checkbox"/> Female <input type="checkbox"/> Male	
Social Security	Birth State	Citizenship	
Driver's License Number	Issue Date	Expiration Date	State

### Contact Info

Address	
Home Phone	Home Fax
Client (A) Cell Phone	Client (B) Cell Phone
Client (A) Email	Client (B) Email

### Employment

Employer Name, Title, & Address – Client (A)
Employer Name, Title, & Address – Client (B)

### Suitability Information

Investment Objective <input type="checkbox"/> Income & Capital Preservation <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Growth with Income <input type="checkbox"/> Growth <input type="checkbox"/> Aggressive Growth	
Risk Tolerance <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High	Liquidity <input type="checkbox"/> Not Important <input type="checkbox"/> Somewhat Important <input type="checkbox"/> Important <input type="checkbox"/> Very Important
Tax Bracket <input type="checkbox"/> 0% <input type="checkbox"/> 10% <input type="checkbox"/> 12% <input type="checkbox"/> 22% <input type="checkbox"/> 24% <input type="checkbox"/> 32% <input type="checkbox"/> 35%+	Income Client (A) \$_____ Client (B) \$_____
Net Worth \$_____	Liquid Net Worth \$_____
Investment Experience (years)	How long do you plan on holding this investment (years)
Would you like electronic delivery of statements and shareholder communications? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Internal Use	Option Account <input type="checkbox"/> Yes <input type="checkbox"/> No SWM Account Wrap   Fee ____% Cycle _____

### Beneficiaries

Name	Relationship	Primary/Contingent	Date of Birth	Social Security Number	Percentage

**Investor Profile Questionnaire**

**Client Name** \_\_\_\_\_

**Time Horizon**

**Question 1**

<b>What is your age?</b>	<b>Score</b>
56 and Over.....	1
46-55.....	2
36-45.....	3
20-35.....	4

**Question 2**

<b>What is your primary financial goal?</b>	<b>Score</b>
Wealth Preservation.....	1
Retirement Planning.....	2
Wealth Accumulation.....	3

**Question 3**

<b>What is the time frame in which you hope to achieve your financial goals?</b>	<b>Score</b>
0-5 years.....	1
5-10 years.....	2
10 years or longer.....	3

**Time Horizon Total** \_\_\_\_\_

**Financial Goals**

**Question 4**

<b>Which of the following best describes your financial goals?</b>	<b>Score</b>
Preserving principal and earning a moderate amount of current income.....	1
Generating a high amount of current income.....	2
Generating some current income and growing assets over an extended time frame.....	3
Growing assets substantially over an extended time frame.....	4

**Question 5**

<b>In five years, how do you expect your standard of living to compare to what it is today?</b>	<b>Score</b>
Less than it is today.....	1
The same as it is today.....	2
Somewhat higher than it is today.....	3
Substantially greater than it is today.....	4

**Question 6**

**Five years from today, you expect your portfolio value to be:** **Score**

- Portfolio value is not my primary concern; I am more concerned with current income..... 1
  - The same as or slightly more than it is today..... 2
  - Greater than it is today..... 3
  - Substantially greater than it is today..... 4
- 

**Question 7**

**Generating current income from your portfolio is:** **Score**

- A primary concern (only if you are about to retire)..... 1
  - Not important..... 2
- 

**Question 8**

**With the income generated from your portfolio, you plan to:** **Score**

- Use it for living expenses..... 1
  - Use some and reinvest some..... 2
  - Reinvest all income..... 3
- 

**Financial Goals Total** \_\_\_\_\_

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**Risk Tolerance**

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**Question 9**

**Imagine you've just received a large amount of money. How would you invest it?** **Score**

- I would invest in something that offered moderate current income and was very conservative..... 1
  - I would invest in something that offered high current income with moderate amount of risk..... 2
  - I would invest in something that offered high total return (current income & appreciation) with a moderately high amount of risk..... 3
  - I would invest in something that offered substantial capital appreciation even though it has a high amount of risk..... 4
- 

**Question 10**

**Which of the following statements would best describe your reaction if your portfolio were to suddenly decline by 15%** **Score**

- I would be very concerned because I can't accept fluctuations in the value of my portfolio..... 1
  - If the amount of income I received was unaffected, it wouldn't bother me..... 2
  - Although I invest for long-term growth, even a temporary decline would concern me..... 3
  - Because I invest for long-term growth, I would accept temporary fluctuations due to market influences..... 4
-

**Question 11**

**Which of the following investments would you feel most comfortable owning? Score**

- Certificates of deposit..... 1
  - U.S. Government securities..... 2
  - Blue-chip stocks..... 3
  - Stocks of new growth companies..... 4
- 

**Question 12**

**Which of the following investments would you least like to own? Score**

- Stocks of new growth companies..... 1
  - Blue-chip stocks..... 2
  - U.S. Government securities..... 3
  - Certificates of deposit..... 4
- 

**Question 13**

**Which of the following investments do you feel are the most ideal for your portfolio? Score**

- Certificates of deposit..... 1
  - U.S. Government securities..... 2
  - Blue-chip stocks..... 3
  - Stocks of new growth companies..... 4
- 

**Question 14**

**How optimistic are you about the long-term prospects for the economy? Score**

- Very pessimistic..... 1
  - Unsure..... 2
  - Somewhat optimistic..... 3
  - Very optimistic..... 4
- 

**Question 15**

**Which of the following best describes your attitude about investments outside the U.S.? Score**

- Unsure..... 1
  - I believe the U.S. economy and foreign markets are interdependent..... 2
  - I believe the overseas markets provide attractive investment opportunities..... 3
- 

**Risk Tolerance Total** \_\_\_\_\_

## Investor Scorecard


Total for each section is multiplied by the number that represents the overall importance of that section when determining your investment objective.

Time Horizon Total		x 1 =	
Financial Goals Total		x 2 =	
Risk Tolerance Total		x 3 =	
		<b>Total Score</b>	

Match your total score with one of the investment objectives listed below. If your score is near the top or bottom of an Adjusted Total Range, you may want to examine the next or previous objective to determine which represents your needs more accurately.

Adjusted Total Range	Investment Objective
34-57	Income with Capital Preservation
58-83	Income with Moderate Growth
84-99	Growth with Income
100-114	Growth
115-125	Aggressive Growth

The investment objectives shown are for illustrative purposes only. Your investment objective is based on many factors including your financial situation, tolerance for risk, time horizon, and other financial needs. Consult your financial advisor if you have any questions.

Income with Capital Preservation	Income with Moderate Growth	Growth and Income	Growth	Aggressive Growth
 <b>INCREASING RISK, VOLATILITY, AND RETURN EXPECTATIONS</b>				
<ul style="list-style-type: none"> <li>Need for capital preservation and current income</li> <li>No focus on growth</li> <li>Lowest tolerance for risk</li> <li>Shortest investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>Need for current income</li> <li>Moderate focus on growth</li> <li>Low tolerance for risk</li> <li>Short /intermediate investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>Equal focus on growth and current income</li> <li>Moderate tolerance for risk</li> <li>Intermediate investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>Little need for current income</li> <li>Focus on growth</li> <li>High tolerance for risk</li> <li>Intermediate / long investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>No need for current income</li> <li>Focus on aggressive growth</li> <li>Highest tolerance for risk</li> <li>Long investment horizon</li> </ul>