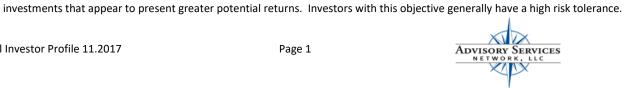
Individual / Joint Account(s)

Confidential Investor Profile

Brand/Advisor: _	
-	

☐ New Account(s) ☐ Update

	Account Owner Information	
Name	Date of Birth	Social Security Number
Mailing Address		
City	State	Zip
Daytime Phone	Alternate Phone	
E-mail	Dependents (Ages)	
Employer	Occupation	
	Joint Owner Information	
Joint Name	Date of Birth	Social Security Number
Mailing Address (if different from above)		
Daytime Phone	Joint Owner's Relationship to A	Account Owner
E-mail	Dependents (Ages)	
Employer	Occupation	
	Additional Owner Information	
Is client related to Investment Adviser Represei	ntative? \ Ves \ \ No. If yes explain.	
Is client an Officer, Director or 10% shareholder Yes No If yes, explain:		
	Investment Objectives / Risk Tolerance	
Your investment objective and risk tolerance	te for this account (or group of accounts) is as f	ollows (Check only one):
 Capital Preservation: Seek very condenses with this objective are gen Income: Generate a level of income investment principal. Investors with income sought. Growth and Income: Seek relatively 	servative investment growth and/or income with a paterally risk averse. exceeding that available through commercial bank in this objective generally have conservative to mococococococococococococococococococo	nstruments with a secondary focus on protecting derate risk tolerance, depending on the level of limited market risk in order to modestly enhance
	ors with this objective generally have conservative to it principal (with or without a modest amount of inc	



Aggressive Growth: Seek growth of investment principal exceeding the growth of investment markets in general by targeting higher risk

markets in general. Investors with this objective generally have a moderate risk tolerance.

		110112011	
Your time horizon for this account (or group of accounts) i.e. how	w long hefore you intend to	use these assets, is (Check only one):
☐ Immediate: scheduled p	= :	w long before you intend to	use these assets, is (check only one).
☐ Short Term: less than 3			
☐ Medium Term: betweer	<u>-</u>		
☐ Long Term: greater than	· · · · · · · · · · · · · · · · · · ·		
Long ferm. greater than	•		
	Asset Allocatio	ns & Restrictions	
Your account(s) will be managed in acco any additional guidelines or instructions			orth on this Profile form. Please reflect below ent of your account(s).
You may place reasonable restrictions or identify any such restrictions you wish to		ed, such as limiting types of inv	vestments or sectors of the market. Please
*If an advisor model portfolio will be ut	ilized, please list the model nam	ne and/or number in the space	above.
	* ***********************************	tal paragla	
	Financ	ial Profile	
1. Current Annual Income and Sources	(e.g., employment, investments	s. social security. alimony. etc.):
□ Under \$25,000	□ \$25,000 - 50,000		00 - 100,000
□ \$100,000 - 250,000	□ \$250,000 - 500,000	□ Over :	\$500,000
2. List Sources of Income (check all tha	t annly):		
☐ Employment/Wages	□ Social Security	☐ Pensio	on
☐ Investments		oe):	
3. Total Investable Assets:			
☐ Under \$50,000	□ \$50,001 - 100,000	□ \$100,001 - 250,000	□ \$250 001 - 500 000
□ \$500,001 - 750,000	□ \$750,001 - 1,000,000	□ \$1,000,001 - 1,500,000	
□ \$2,000,001 - 3,000,000	□ \$3,000,000 - 5,000,000	Over \$5,000,000:	
4. Percentage of Above Assets to be Inv	vested Through Our Firm:		
□ 20%	_	□ 60%	
□ 80%	□ 100%		:
E Investment Evnerience			
5. Investment Experience: Describe your involvement (ei	ther with an adviser or individua	Illy) in the management of you	r investment assets?
□ Very Limited (0-1 years)	☐ Limited (Less than 5 y		investment assets.
☐ Moderate (5-10 years)	☐ Extensive (More than		
6. Overall Investment/Financial Goals f			
☐ Generate Current Income	□ Retirement		Estate for Heirs
☐ Long-Term Wealth Accumul	_		
☐ Tax Planning/Savings	Other (please describe)	pe)	
7. Risk Acknowledgement			
I understand that when I s	eek to generate greater investm	ent returns, I must accept gre	ater risk of loss
on my investments.		☐ Yes ☐ No	,
I understand that all inves	tments have risk of loss.	☐ Yes ☐ No	

Account(s)

The information set forth in this Profile form are applicable to the following accounts:

Account Type	Account Name/Number

Note: If you are establishing multiple accounts that have different Investment Objectives/Risk Tolerances and/or Time Horizon, you must provide separate for each account or group of accounts that have similar Investment Objectives/Risk Tolerances and Time Horizon.

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We want to help you accomplish your financial goals. The information requested in this Profile is essential to us in helping you
accomplish your financial goals. Please notify us promptly if there are any changes to this information. Periodically we will ask you
to review and verify your personal information. Please review the document in its entirety to ensure all questions have been
completed to the best of your ability. By signing below, you confirm that the information provided is correct.

Client Signature	Date
Joint Signature (if applicable)	Date

ASN Use Only	
Reviewed:	Date: