



# New Account Application

## 1. Account Type: \_\_\_\_\_ Account No.: \_\_\_\_\_

Individual  JTWROS  TIC  Trust  Custodian for \_\_\_\_\_  
 Sole Proprietorship  Partnership  Corporation  Club/Association  Non-Profit  Other \_\_\_\_\_

## 2. Account Title

Full Name of Applicant	SS#/TIN/EIN	Date of Birth	
Full Name of Spouse/Co-Applicant/Beneficiary(Custodial Acct.)	SS#/TIN/EIN	Date of Birth	
Home Address (Physical Location NOT PO Box)	City	Zip Code	Phone
Mailing Address (P O Box OK)	City	Zip Code	
E-Mail Address	Fax	Cell	

## 3. Profile

Marital Status: S M D W N/A No. Dependents \_\_\_\_\_  
 US Citizen? \_\_\_\_\_ If No, Country \_\_\_\_\_  

Employer	Position	No. Years	
Employer's Address	City	Zip Code	Phone
Spouse/Co-Applicant's Employer	Position	No. Years	Phone

Are you, co-applicant or spouse an employee of or affiliated with a securities firm, exchange, insurance co. or bank?  Yes  No  
 Are you, co-applicant or spouse a director, officer or 10% shareholder of any public company?  Yes  No  
 If yes to either question, please provide details \_\_\_\_\_

### Financial Information and Credit References:

Bank/Branch \_\_\_\_\_ Account Type \_\_\_\_\_ Average Balance \_\_\_\_\_ How long \_\_\_\_\_

<u>Estimated Annual Income</u>	<u>Estimated Net Worth</u>	<u>Cash &amp; Liquid Assets</u>	<u>Tax Bracket</u>
<input type="checkbox"/> Under \$25,000	<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> Under \$10,000	
<input type="checkbox"/> \$25,000 to \$49,999	<input type="checkbox"/> \$50,000 to \$99,999	<input type="checkbox"/> \$10 to \$49,999	
<input type="checkbox"/> \$50,000 to \$99,999	<input type="checkbox"/> \$100,000 to \$249,999	<input type="checkbox"/> \$50 to \$74,999	_____ %
<input type="checkbox"/> \$100,000 to \$250,000	<input type="checkbox"/> \$250,000 to \$500,000	<input type="checkbox"/> \$75 to \$100,000	
<input type="checkbox"/> Over \$250,000	<input type="checkbox"/> Over \$500,000	<input type="checkbox"/> Over \$100,000	

### Investment Objectives, Experience and Current Portfolio:

<u>Investment Objectives</u>	<u>Current Portfolio</u>	<u>Investment Experience (years)</u>
<input type="checkbox"/> Tax Free Income	<input type="checkbox"/> IRA \$ _____	Stocks _____
<input type="checkbox"/> Income	<input type="checkbox"/> Roth \$ _____	Bonds _____
<input type="checkbox"/> Capital Preservation	<input type="checkbox"/> 401(k) \$ _____	Mutual Funds _____
<input type="checkbox"/> Growth	<input type="checkbox"/> Ed IRA \$ _____	Options _____
<input type="checkbox"/> Speculation	<input type="checkbox"/> 529 \$ _____	
	<input type="checkbox"/> Other \$ _____	

Current/Previous Investment Advisor \_\_\_\_\_ How long \_\_\_\_\_

