

This information is required to open an account, and is confidential. (Please see the Customer Agreement and the Definitions section below for explanations.)

FINANCIAL PROFILE For Joint Accounts, use combined total when applicable below.

Account #: (If Known) _____

Name/Account Title _____		S.S. #/Tax ID _____		
Annual Income (From all sources)	Estimated Net Worth (Excluding primary residence)	Liquid Net Worth (Incl. cash & marketable securities)	Fed Tax Bracket	Marital Status
<input type="checkbox"/> Under \$25,000	<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> 10% - 15%	<input type="checkbox"/> Single
<input type="checkbox"/> \$25,000 - \$50,000	<input type="checkbox"/> \$50,000 - \$100,000	<input type="checkbox"/> \$50,000 - \$100,000	<input type="checkbox"/> 16% - 27%	<input type="checkbox"/> Married/Legal Domestic Partnership
<input type="checkbox"/> \$50,001 - \$100,000	<input type="checkbox"/> \$100,001 - \$500,000	<input type="checkbox"/> \$100,001 - \$500,000	<input type="checkbox"/> 28% - 33%	<input type="checkbox"/> Divorced
<input type="checkbox"/> Over \$100,000 specify: \$ _____	<input type="checkbox"/> Over \$500,000 specify: \$ _____	<input type="checkbox"/> Over \$500,000 specify: \$ _____	<input type="checkbox"/> Over 33%	<input type="checkbox"/> Widowed
Account Funding Source	Annual Expenses (Recurring)	Special Expenses (Future & non-recurring)	Time Frame (Required for Special Expenses)	Dependents
<input type="checkbox"/> Asset Appreciation	<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> Within 2 years	<input type="checkbox"/> 0
<input type="checkbox"/> Business Revenue	<input type="checkbox"/> \$50,000 - \$100,000	<input type="checkbox"/> \$50,000 - \$100,000	<input type="checkbox"/> 3 - 5 years	<input type="checkbox"/> 1
<input type="checkbox"/> Inheritance	<input type="checkbox"/> \$100,001 - \$250,000	<input type="checkbox"/> \$100,001 - \$250,000	<input type="checkbox"/> 6 - 10 years	<input type="checkbox"/> 2
<input type="checkbox"/> Legal/Insurance Settlement	<input type="checkbox"/> \$250,001 - \$500,000	<input type="checkbox"/> Over \$250,000 specify: \$ _____	<input type="checkbox"/> Long Term	<input type="checkbox"/> 3+
<input type="checkbox"/> Sale of Assets				
<input type="checkbox"/> Savings from Earnings				
<input type="checkbox"/> Other: _____				
Decision-Making Experience Check all that apply:				
I consult with my broker	<input type="checkbox"/> Yes <input type="checkbox"/> No	Assets Held Away - Provide total value of assets held away and percentages for each type of asset. Total percentages must equal 100%.		
I make my own decisions	<input type="checkbox"/> Yes <input type="checkbox"/> No	Total value of assets held away: \$ _____		
I consult with my family/friends	<input type="checkbox"/> Yes <input type="checkbox"/> No	Stocks _____%	Alternative Investments _____%	Foreign Security _____%
Additional Information: _____		Bonds _____%	Short-Term _____%	Variable Contracts _____%
		Annuities _____%	Mutual Funds _____%	Options _____%
			Limited Partnerships _____%	Security Futures _____%
				Other _____%
				Total _____%
				Foreign Currency _____%

INVESTMENT PROFILE

Investment Objectives: Please rank in order of importance. See Definitions below.	Investment Purpose	Risk Tolerance See Definitions below.	Investment Time Horizon See Definitions below.	General Investment Knowledge	Investment Experience
Principal Protection: 1 st 2 nd 3 rd 4 th	<input type="checkbox"/> Save for Education	<input type="checkbox"/> Conservative	<input type="checkbox"/> Near Term	<input type="checkbox"/> Limited	<input type="checkbox"/> 0 - 5 yrs
Income: 1 st 2 nd 3 rd 4 th	<input type="checkbox"/> Save for Retirement	<input type="checkbox"/> Moderately Conservative	<input type="checkbox"/> Very Short	<input type="checkbox"/> Good	<input type="checkbox"/> 5 - 10 yrs
Growth: 1 st 2 nd 3 rd 4 th	<input type="checkbox"/> Save for short term goal(s)	<input type="checkbox"/> Moderate	<input type="checkbox"/> Short	<input type="checkbox"/> Extensive	<input type="checkbox"/> 10 - 20 yrs
Speculation: 1 st 2 nd 3 rd 4 th	<input type="checkbox"/> Generate Income	<input type="checkbox"/> Moderately Aggressive	<input type="checkbox"/> Intermediate		<input type="checkbox"/> 20+ yrs
	<input type="checkbox"/> Accumulate Wealth	<input type="checkbox"/> Aggressive	<input type="checkbox"/> Long		
	<input type="checkbox"/> Preserve Wealth				
	<input type="checkbox"/> Market Speculation				
	<input type="checkbox"/> Other: _____				

DEFINITIONS

INVESTMENT OBJECTIVES: Your investment goal(s) based on your risk tolerance and time horizon.

- Protection of Principle: Relatively lower risk investments with the goal of preserving the money invested
- Income: Investments with regular payments of interests, dividends or other income

- Growth: Investments with a history of future potential for capital gains, but with a higher risk of loss
- Speculation: Investments with the possibility of large profits, but also pose a higher than average possibility of loss.

RISK TOLERANCE: The degree of uncertainty that you can handle in regard to a negative change in the value of your portfolio.

- Conservative: willing to forego upside potential to avoid downside fluctuations
- Moderately Conservative: adverse to large short-term downside fluctuations, seek more return with a little less income
- Moderate: generally investing for the long term, with a mix of asset classes; willing to accept some risk for long term good return with investments that may go up less than the markets as a whole, but should also go down less when markets decline
- Moderately Aggressive: willing to take on more downside risk than the markets in order to achieve long term performance better than the markets. More emphasis on making money than on preventing loss.
- Aggressive: looking to substantially outperform the market and willing to accept significant risk (losses of 40% or more in a quarter) to do so. No emphasis on preventing loss.

INVESTMENT TIME HORIZON: The total length of time that you expect to hold a security or portfolio.

- Near term: immediate liquidity
- Very short: six months
- Short: six months to three years
- Intermediate: three to ten years
- Long: greater than ten years.

SUITABILITY AGREEMENT

I certify that the suitability selections above are true to the best of my knowledge and may be used to by StockCross to determine my income needs and desired risk exposure, which is used to aid in security selection. I understand that I must update my suitability information with StockCross if any changes occur.

Signature

Date

Signature

Date