

Is Client or Spouse an officer, director or more than 10% shareholder of any public company? No Yes
If Yes, Explain _____

Is Client or Spouse directly or indirectly associated with any Brokerage Firm or Bank? No Yes
If Yes, Explain _____

Is this Account a "Power of Attorney" transaction? No Yes
If Yes, Explain _____

Bank _____ Checking Yes No Savings Yes No

How was client introduced to Firm: _____

INVESTMENT OBJECTIVES

Speculation <input type="checkbox"/>	Growth & Income <input type="checkbox"/>	Safety of Principal <input type="checkbox"/>
Growth <input type="checkbox"/>	Income <input type="checkbox"/>	Tax Reduction <input type="checkbox"/>
	Other _____ <input type="checkbox"/>	

Estimated Net Worth: \$ _____ Under \$100,000 ,
Over \$100,000 but under \$250,000 , Over \$250,000 but under \$500,000 ,
Over \$500,000 but under \$1,000,000 Over \$ 1,000,000

Estimated Household Income \$ _____ Under \$25,000 ,
Over \$25,000 but under \$50,000 , Over \$50,000 but under \$100,000 ,
Over \$100,000 but under \$200,000 , Over \$200,000 but under \$500,000 , Over \$500,000 .

Tax Bracket _____%

Investment History: (Type of Securities Owned)

Preferred Stock, Common Stock, Mutual Funds, Options, Corporate Bonds
 Municipal Bonds, GNMA/FNMA, Corporate Trusts, Mutual Trusts, Gov't Trust,
 CDs, Treasuries (Bonds, Notes, Bills), Commodities/Futures, Precious Metals,/Coins,
 "Wrap Accounts," Annuities, Other _____.

Description of initial transaction: _____

USA PATRIOT ACT

Driver's License # _____	Issue State _____
Identification Card # _____	Issue State _____
Passport # _____	Issue Country _____
Alien Card # _____	

Account Executive/ Registered Rep.
Signature

Rep #

Approved Principal Signature