

NEW CLIENT DATA

Client: _____

Email Address _____

Mailing Address: _____ City: _____ State: _____ Zip: _____

Home Phone Number: _____ Cell Phone Number: _____

Social Security Number: _____ Date of Birth: _____

Employer: _____ Annual Salary: _____

Address: _____ Business Phone: _____

Occupation: _____ Industry: _____

Drivers License Number: _____ Exp Date: _____ Issue Date: _____ State: _____

Spouse: _____ Date of Birth: _____

Social Security Number: _____

Employer: _____ Annual Salary: _____

Address: _____ Business Phone: _____

Occupation: _____ Industry: _____

Drivers License Number: _____ Exp Date: _____ Issue Date: _____ State: _____

REFERRED BY: _____

Investment Objective:

Aggressive _____ Growth _____

Moderate _____ Growth with Income _____

Conservative _____ Income _____

How can we help you?

LPL Account Number

Section III: Financial Information and Experience

1. What is your total annual income?

<input type="radio"/> A. Less than \$25,000	<input type="radio"/> D. Between \$100,000 and \$249,999	<input type="radio"/> G. Between \$750,000 and \$999,999
<input type="radio"/> B. Between \$25,000 and \$49,999	<input type="radio"/> E. Between \$250,000 and \$499,999	<input type="radio"/> H. \$1,000,000 and over
<input type="radio"/> C. Between \$50,000 and \$99,999	<input type="radio"/> F. Between \$500,000 and \$749,999	

2. What is your net worth? (exclusive of home)

<input type="radio"/> A. Less than \$25,000	<input type="radio"/> D. Between \$100,000 and \$249,999	<input type="radio"/> G. Between \$750,000 and \$999,999
<input type="radio"/> B. Between \$25,000 and \$49,999	<input type="radio"/> E. Between \$250,000 and \$499,999	<input type="radio"/> H. \$1,000,000 and over
<input type="radio"/> C. Between \$50,000 and \$99,999	<input type="radio"/> F. Between \$500,000 and \$749,999	

3. What is your liquid net worth?

<input type="radio"/> A. Less than \$25,000	<input type="radio"/> D. Between \$100,000 and \$249,999	<input type="radio"/> G. Between \$750,000 and \$999,999
<input type="radio"/> B. Between \$25,000 and \$49,999	<input type="radio"/> E. Between \$250,000 and \$499,999	<input type="radio"/> H. \$1,000,000 and over
<input type="radio"/> C. Between \$50,000 and \$99,999	<input type="radio"/> F. Between \$500,000 and \$749,999	

4. Approximate account value?

<input type="radio"/> A. Less than \$25,000	<input type="radio"/> D. Between \$100,000 and \$249,999	<input type="radio"/> G. Between \$750,000 and \$999,999
<input type="radio"/> B. Between \$25,000 and \$49,999	<input type="radio"/> E. Between \$250,000 and \$499,999	<input type="radio"/> H. \$1,000,000 and over
<input type="radio"/> C. Between \$50,000 and \$99,999	<input type="radio"/> F. Between \$500,000 and \$749,999	

5. What is your federal tax bracket?

%

6. Investment Experience (number of years):

<input type="text"/> None	<input type="text"/> Margin	<input type="text"/> Stocks	<input type="text"/> Options
<input type="text"/> Mutual Funds	<input type="text"/> Annuities	<input type="text"/> Bonds	<input type="text"/> Partnerships
<input type="text"/> Other, please explain: _____			

7. Source of client "wealth and income"? (inheritance, employment salary, sale of real estate, etc.)

Section IV: Margin Agreement

An LPL Margin Account allows you to borrow against eligible securities or purchase securities on margin. Initial below if you want to establish a Margin Account and to indicate that you have received the Margin Disclosure Statement and have read the Margin disclosure section in the Master Account Agreement and agree to the terms and conditions. (Note: ALL Parties must initial).

Date Margin Disclosure Statement provided

MM / DD / YYYY Initials Initials Initials Initials