ADDENDUM II – CLIENT PROFILE AND SUITABILITY QUESTIONNAIRE

Name of Investment Adviser Representative: ______________________________

Section I. This Profile/Suitability Questionnaire applies to the following (Mark all that apply):

Non-Retirement Accounts

☐ Individual ☐ Joint ☐ Trust (Living Revocable/Irrevocable) ☐ Estate (*provide Letters of Testamentary dated within last 60 days & death certificate for the decedent)*

☐ UTMA/UGMA State of Establishment _______ ☐ C-Corp or S-Corp (*provide Articles of Incorporation*)

☐ Sole Proprietor ☐ Partnership/Limited Partnership (*provide copy of Partnership Agreement*)

☐ LLC (*provide copy of LLC Operating Agreement*) ☐ Non-Incorporated Organization (*provide copy of formation documents)*

☐ Other: ______________________________

Retirement Accounts

☐ Traditional IRA ☐ Roth IRA ☐ Rollover IRA ☐ SEP IRA ☐ Simple IRA ☐ 401(k)

☐ Other: ______________________________

Section II. Account Owner Information

1. Name of First Account Owner: ______________________________
   First MI Last

2. Name of Second Account Owner______________________________
   (If Applicable) First MI Last

3. Marital Status of First Account Owner: ☐ Married ☐ Unmarried ☐ Domestic Partner
   Marital Status of Second Account Owner: ☐ Married ☐ Unmarried ☐ Domestic Partner

4. Relationship of Account Owners (if applicable): ______________________________

5. SSN & Date of Birth of First Account Owner:

   ____________ ____________
   SSN *DOB*

6. SSN & Date of Birth of Second Account Owner:

   ____________ ____________
   SSN *DOB*

7. Anticipated Retirement Date of First Account Owner:

   ____

8. Anticipated Retirement Date of Second Account Owner:

   ____

9. Legal Address and Phone Number for First Account Owner:

____
Street Address (No PO Boxes) *City* *State* *Zip Code*

____________ ____________ ____________
Primary Phone *Secondary Phone* *email address*

10. Mailing Address of First Account Owner (if different from legal address):

____
Street Address or PO Box *City* *State* *Zip Code*

11. Legal Address and Phone Number for Second Account Owner:

____
Street Address (No PO Boxes) *City* *State* *Zip Code*

____________________ ____________________ ____________________
Primary Phone *Secondary Phone* *email address*

12. Mailing Address of Second Account Owner (if different from legal address):

____
Street Address or PO Box *City* *State* *Zip Code*

13. Annual Household Income from all sources:

$________________________________

14. Estimated Net Worth (excluding primary residence):

$________________________________

15. Liquid Net Worth(cash, stocks, bonds, etc):

$________________________________

16. Federal Income Tax Rate:

☐ 15% or below ☐ 16%-28% ☐ 29%-35% ☐ over 35%

17. Primary Investment Objective:
☐ Preservation of Capital ☐ Income ☐ Income and Growth ☐ Growth of Capital ☐ Aggressive Growth

18. Risk Tolerance:
☐ Conservative (Riskalyze 1-30) ☐ Moderately Conservative (Riskalyze 31-46) ☐ Moderate (Riskalyze 47-62) ☐ Moderately Aggressive (Riskalyze 63-78) ☐ Aggressive (Riskalyze 79-99)

19. Time Horizon:
☐ 0 – 4 years ☐ 5 – 9 years ☐ 10 – 12 years ☐ 13 – 16 years ☐ 17 – 20 years

20. General Investment Experience:
☐ No Experience ☐ Minimal Experience ☐ Somewhat Experienced ☐ Highly Experienced

21. For each investment category below, check the box that represents the investors' level of knowledge
(1 represents little or no knowledge and 5 represents highly knowledgeable):

	1	2	3	4	5
Stocks:	☐	☐	☐	☐	☐
Options:	☐	☐	☐	☐	☐
Mutual Funds:	☐	☐	☐	☐	☐
Bonds:	☐	☐	☐	☐	☐
Variable Contracts:	☐	☐	☐	☐	☐
LLPs/LLCs:	☐	☐	☐	☐	☐

22. Other Relevant Information Regarding the Needs and Circumstances of the Account Owner(s):

____

____

____

____

The account owner(s) acknowledge(s) that the information in this Client Profile and Suitability Questionnaire is a reasonable picture of the financial situation, investment goals, objectives and risk tolerance of the account owner(s).

________________________________ ________________________________
Signature of First Account Owner Date Signature of Second Account Owner Date