

CONFIDENTIAL INVESTOR PROFILE



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## TYPE OF ACCOUNT (S) TO BE OPENED

Individual     Joint     IRA (Rollover, Roth, etc.)     Trust     other \_\_\_\_\_

## PERSONAL INFORMATION

Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Legal/Home Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Home #: \_\_\_\_\_ Work #: \_\_\_\_\_ e-mail: \_\_\_\_\_

Employer: \_\_\_\_\_ Occupation: \_\_\_\_\_

*If applicable:*

Spouse's Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Employer: \_\_\_\_\_ Occupation: \_\_\_\_\_

## FINANCIAL PROFILE

*Please indicate the approximate value of your current assets/investments below:*

*(Please attach any recent available statements).*

<u>Asset Class/Investment:</u>	<u>Taxable Personal Accounts:</u>	<u>Tax-deferred Accounts (IRA, 401k, etc.):</u>
U.S. stocks/funds:	\$ _____	\$ _____
International stocks/funds:	\$ _____	\$ _____
U.S. Gov't/Agency securities:	\$ _____	\$ _____
Corporate debt securities:	\$ _____	\$ _____
Municipal debt securities:	\$ _____	\$ _____
Real Estate Investment Trusts:	\$ _____	\$ _____
Cash and equivalents:	\$ _____	\$ _____
Variable Annuities:	\$ _____	\$ _____
Fixed Annuities:	\$ _____	\$ _____
Other: _____	\$ _____	\$ _____
<b>TOTALS:</b>	<b>\$ _____</b>	<b>\$ _____</b>
Anticipated allocation to Kimball & Cross account:		\$ _____

Annual Household Income: \$ \_\_\_\_\_ Federal Tax Bracket: \_\_\_\_\_ %

Approximate Net Worth: \$ \_\_\_\_\_ State Tax Bracket: \_\_\_\_\_ %

Do you have a will?  Yes  No

Do you have personal life insurance?  Yes  No

Have you created any trusts?  Yes  No

*If yes, check all that apply:*  Whole  Term  
(\$ \_\_\_\_\_ in total coverage)

## INVESTMENT OBJECTIVES AND RISK TOLERANCE

**How would you rank in order of importance the following investment parameters in terms of your personal investment approach? (Circle your choice of rank.)**

Concern for risk/losses:

Emphasis on yield/income:

Emphasis on growth/gains:

1<sup>st</sup> 2<sup>nd</sup> 3<sup>rd</sup>

1<sup>st</sup> 2<sup>nd</sup> 3<sup>rd</sup>

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**Stocks with the greatest potential for capital appreciation often have lower dividend yields. How should your portfolio be invested? (Check one.)**

- Emphasize capital appreciation.
- Balance between appreciation and yield.
- Emphasize yield.

**Which of the following scenarios would you prefer to experience? (Check one.)**

- Solid long-term returns despite results that vary with short-term market volatility.
- Steady short-term returns even though results may underperform long-term market returns.

**What loss in value after one year would you deem unacceptable for a portfolio that had an initial value of \$500,000? (Check one.)**

- loss of \$10,000 (2%)
- loss of \$25,000 (5%)
- loss of \$50,000 (10%)
- loss of \$75,000 (15%)
- loss of \$100,000 (20%)
- other \$ \_\_\_\_\_ or \_\_\_\_ %

**Please specify your general risk tolerance: (Check one.)**

- Conservative
- Moderate
- Aggressive
- Combination: \_\_\_\_\_

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## PORTFOLIO STRUCTURE AND ACCOUNT ACTIVITY

**What is the time horizon for the stated investment objective for this portfolio (How many years before withdrawals from this portfolio become necessary)? (Check one.)**

- Less than 3 years
- 3 – 5 years
- 6 – 9 years
- 10+ years

**Will you require distributions or withdrawals from your portfolio? (Check one.)**  Yes  No

*If yes,* \$ \_\_\_\_\_ per year or \_\_\_\_\_%

When do you anticipate withdrawals to begin?: \_\_\_\_\_

Please indicate how often you would prefer distributions made? (Check one.)

- Monthly
- Quarterly
- Semi-annually
- Annually

**Will you make additional contributions/depositis to this portfolio? (Check one.)**  Yes  No

*If yes,* \$ \_\_\_\_\_ per year or \_\_\_\_\_%

When do you anticipate contributions to begin?: \_\_\_\_\_

Please indicate how often you would anticipate making contributions? (Check one.)

- Monthly
- Quarterly
- Semi-annually
- Annually

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## ADDITIONAL INFORMATION/PREFERENCES

**Are there any limitations to holding specific asset classes (i.e., no emerging markets, maximum of 50% equities, etc.) and/or investing in certain securities, industry groups or other sectors (i.e., no tobacco or gaming industries, no country-specific investments, etc.)? (Check one.)**

- Yes
- No

*If yes,* note any specific constraints on the investments in your account in the space provided.

\_\_\_\_\_

\_\_\_\_\_

# CONFIDENTIAL INVESTOR PROFILE

What is your general investment knowledge?     Extensive     Good     Limited

What is your specific investment experience: (Specify number of years)

Stocks _____	Private placements _____	Variable Annuities _____
Bonds _____	Options _____	Fixed Annuities _____
Mutual Funds _____	Commodities _____	Limited Partnerships _____
		Real Estate _____

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## ACKNOWLEDGMENTS

**I. PLEASE CHECK ANY OF THE STATEMENTS 1-3 BELOW THAT APPLY TO YOU (AND YOUR SPOUSE, IF JOINT ACCOUNT):**

1. I have an individual net worth or joint net worth with my spouse in excess of \$1,000,000; or
2. I have had an individual income in excess of \$200,000 in each of the two most recent years and I reasonably expect an individual income in excess of \$200,000 in the current year; or
3. My spouse and I have had a joint income in excess of \$300,000 in each of the two most recent years and we reasonably expect a joint income in excess of \$300,000 in the current year.

**II. PLEASE CHECK THE STATEMENTS BELOW THAT APPLY TO YOU:**

- I am a United States citizen or permanent resident of the United States for United States federal income tax purposes.
- I am neither a United States citizen nor a permanent resident of the United States for United States federal income tax purposes.

*In signing below, you acknowledge that the information provided in this investor profile is true and correct in all material respects and that you recognize that Kimball & Cross Investment Management Corp. and its registered representative(s) are relying on the truth and accuracy of that information when determining suitability as that relates to the transactions, solicited or unsolicited, affected in your account(s). You agree to promptly notify Kimball & Cross and its registered representative(s) of any substantive changes in the information provided herein.*

**SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_  
(if applicable)

**DATE:** \_\_\_\_\_

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