

Client Name
Address
City, State, Zip

Re: Account Update

Dear Client,

On occasion we are required to ensure the new account application on file is up to date and complete. Below you will find the information I have on file for your investment account. Please take a few moments to review the information. If everything included in this letter is up to date, there is no need to take any action.

If the information needs to be updated, please make the appropriate change, sign the bottom of the form, and return it to me in the provided envelope.

Risk Tolerance (check one):

- ☐ Conservative – Seeks low volatility and low probability of capital loss.
- ☐ Conservative/Moderate – Comfortable with only limited swings in annual return.
- ☐ Moderate – Seeks potential for higher returns while accepting the higher probability of the risk of loss.
- ☐ Moderate/Aggressive – Seeks potential for appreciation of principal while accepting a high degree of risk.
- ☐ Aggressive – Will tolerate large market fluctuations in value in exchange for potentially higher returns.
- ☐ Speculative - Trading volatile securities with higher than average possibility of loss of principal in exchange for potentially higher returns. (May include low priced securities, options, alternative investments, etc.)

Investment Objective: (check no more than two)

- ☐ Capital Preservation – Seeks modest income and preservation of capital.
- ☐ Income – Seeks current or periodic income and will tolerate only limited swings in annual returns.
- ☐ Balance Growth – Seeks growth with relatively stable capital appreciation.
- ☐ Capital Growth – Seeks high potential growth and willing to accept above average risk.
- ☐ Aggressive Growth – Seeks to build significant wealth over time and willing to accept greater risk to do so.
- ☐ Speculative – Seeks returns above general market rates and may experience dramatic swings in value and a higher rate of return.

ANNUAL INCOME (from all sources)	NET WORTH (excluding your residence)	LIQUID NET WORTH	TAX RATE (highest marginal)
☐ \$25,000 and under	☐ \$25,000 and under	☐ \$25,000 and under	☐ 0-10%
☐ \$25,001-50,000	☐ \$25,001-50,000	☐ \$25,001-50,000	☐ 11-12%
☐ \$50,001-100,000	☐ \$50,001-200,000	☐ \$50,001-200,000	☐ 13-22%
☐ \$100,001-250,000	☐ \$200,001-500,000	☐ \$200,001-500,000	☐ 23-24%
☐ \$250,001-500,000	☐ \$500,001-1,000,000	☐ \$500,001-1,000,000	☐ 25-32%
☐ Over \$500,000	☐ \$1,000,001-3,000,000	☐ \$1,000,001-3,000,000	☐ 33-35%
	☐ Over \$3,000,000	☐ Over \$3,000,000	☐ 37%

Employer: _____ Work Phone: _____

Employer Address: _____

Trusted Contact Person: _____ Relationship: _____

Home Phone: _____ Cell Phone: _____ Email: _____

Thank you for your time and the trust you have placed in me.

Sincerely,

(REPRESENTATIVE'S NAME)

Customer Signature
4/6/2020

Date

Joint Signature

Date