



## ACCOUNT UPDATE FORM

In order to comply with regulations and to provide high quality service, all customers who have accounts with us need to fill out the account update form every 3 years. Please sign it and mail back to us at your earliest convenience. Please disregard if you've already completed and returned this form to us in the past 3 years.

Thank you!

**Account Number:** \_\_\_\_\_

**Account Name(s):** \_\_\_\_\_

**\* To avoid delays in processing your request, completion of all questions is required.**

### **Applicant Information**

- Name: \_\_\_\_\_
- Day Phone Number: \_\_\_\_\_
- Evening Phone Number: \_\_\_\_\_
- Email: \_\_\_\_\_
- Employers Name: \_\_\_\_\_
- Title/Occupation: \_\_\_\_\_
- Employer's Address: \_\_\_\_\_
- Marital Status:  Married.  Single.  Divorced.  Other.
- Number of Dependents: \_\_\_\_\_
- Are you a director, 10% shareholder or officer of a publicly trade company?  
 No.  Yes. Please list the companies: \_\_\_\_\_
- Are you associated with a brokerage firm, a member of a stock exchange or the NASD?  
 No.  Yes. Please list the companies: \_\_\_\_\_

### **Co-Applicant Information**

- Name: \_\_\_\_\_
- Day Phone Number: \_\_\_\_\_
- Evening Phone Number: \_\_\_\_\_
- Email: \_\_\_\_\_
- Employers Name: \_\_\_\_\_

- Title/Occupation: \_\_\_\_\_
  - Employer's Address: \_\_\_\_\_
  - Marital Status:  Married.  Single.  Divorced.  Other.
  - Number of Dependents: \_\_\_\_\_
  - Are you a director, 10% shareholder or officer of a publicly trade company?  
 No.  Yes. Please list the companies: \_\_\_\_\_
  - Are you associated with a brokerage firm, a member of a stock exchange or the NASD?  
 No.  Yes. Please list the companies: \_\_\_\_\_
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**Financial Profile**

(For Joint Accounts, individual data should be combined. **All questions must be answered.**)

- Annual Income (US Dollar Amount):  
 Under \$25,000.  \$25,000-\$80,000.  \$80,000-\$150,000.  Over \$150,000.
- Estimated Net Worth (Exclusive of Residence): US\$ \_\_\_\_\_
- Estimated Liquid Net Worth (Cash, Stocks...): US\$ \_\_\_\_\_
- Federal Tax Bracket:  ≤15%.  15% - 28%.  ≥ 28%.  Other: \_\_\_\_\_
- Investment Objective:  Income.  Growth.  Speculation(occasional).  Speculation.  
 Day Trading
- Investment Knowledge:  Limited.  Good.  Extensive.  Professional Trader.
- Number of Years Investment: \_\_\_\_\_
- Average Size of Transaction (US Dollar Amount): \_\_\_\_\_
- Average Number of Transaction Per Year: \_\_\_\_\_

**Applicant Signature:**

**Co-applicant Signature:**

\_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_