

# wealthMD

1706 Bardstown Road, 2<sup>nd</sup> Floor, Louisville, KY 40205  
 Phone: 502-413-6893 Fax: 502-410-0468  
[www.wealthMD.net](http://www.wealthMD.net)

## Suitability Form – Annual Client Update

Client Profile			
Primary Client Name		Primary Client's SSN # / Tax ID #	Primary Client's Date of Birth
Secondary Client Name		Secondary Client SSN # / Tax ID #	Secondary Client Date of Birth
Relationship		E-mail address	
Mailing Address		Home Phone	
City, State, Zip		Business Phone	
Legal Address		Cell Phone Number	
Primary Client's Country of Citizenship	Secondary Client's Country of Citizenship	\$ _____	Primary Client Income
			Tax Bracket
			%
Primary Client's Occupation / Employer	Secondary Client's Occupation / Employer	\$ _____	Secondary Client Income
			Tax Bracket
			%
		\$ _____	Net Worth (excluding primary residence)

### Financial Objective

Which one of the following best describes your attitude toward your investments over your investment time horizon? *(Please initial in the space provided)*

\_\_\_ My goal is **capital preservation**. I am averse to short-term loss and can accept only minimal fluctuations in my portfolio value. My investment objective is **fixed income**.

\_\_\_ My primary goal is **capital preservation** and my secondary goal is **capital growth**. I am willing to accept a low level of fluctuation in my portfolio value. My investment objective is **income with growth**.

\_\_\_ My primary goal is **capital growth** and my secondary goal is **capital preservation**. I am willing to accept a moderate level of fluctuation in my portfolio value. My investment objective is **capital appreciation with income**.

\_\_\_ My goal is **capital growth**. I am modestly concerned with the level of fluctuation in my portfolio. My investment objective is **capital appreciation**.

\_\_\_ My only goal is **aggressive capital growth**. I am not concerned with the level of fluctuation in my portfolio value. My investment objective is **aggressive growth**.

### Risk Attitude

The graph below represents your attitude towards risk with respect to the assets you are placing under our management. You understand and accept that any one component of your portfolio may be more or less volatile or aggressive than the entire portfolio. *Circle the most appropriate number.*

①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩
Low Volatility			Medium Volatility				High Volatility		
Represents lower volatility than the broad equity market. Often requires a position in cash, bonds, and treasuries that could be significant at time to protect capital. Returns will be expected to be lower than equity markets.			The broad equity market is represented by the S&P 500 and indicates a stock portfolio generally invested in stocks with larger capitalization.				Represents higher volatility than the broad equity market. Often requires a position in smaller stock, emerging market securities or alternative investments. You would expect a premium on you return for the additional risk.		

\_\_\_\_\_  
 Client Name / Signature

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Client Name / Signature

\_\_\_\_\_  
 Date