Edelman Managed Asset Program® Suitability Questionnaire

OWNER

NAME		SSN OR TIN	IF NOT A U.S. CITIZEN, LIST COUNTRY OF CITIZENSHIP
MAILING ADDRESS			ARE YOU A RESIDENT ALIEN? (PROVIDE COPY OF RESIDENT ALIEN CARD) YES ☐ NO ☐
LEGAL ADDRESS (IF DIFFERENT FROM MAILING ADDRESS)			
HOME TELEPHONE #	BUSINESS TELEPHONE #	CELL TELEPHONE #	EMAIL ADDRESS
DATE OF BIRTH	NUMBER OF DEPENDENTS	MARITAL STATUS SINGLE ☐ DIVORCED ☐ MARRIED ☐ WIDOWED ☐	OCCUPATION
EMPLOYER	YEARS EMPLOYED	EMPLOYER ADDRESS	

CO-OWNER

NAME		SSN OR TIN	IF NOT A U.S. CITIZEN, LIST COUNTRY OF CITIZENSHIP
HOME TELEPHONE #	BUSINESS TELEPHONE #	CELL TELEPHONE #	
DATE OF BIRTH	OCCUPATION	EMAIL ADDRESS	ARE YOU A RESIDENT ALIEN? (PROVIDE COPY OF RESIDENT ALIEN CARD) YES ☐ NO ☐
EMPLOYER	YEARS EMPLOYED	EMPLOYER ADDRESS	

HOUSEHOLD

If account is an UGMA, use child's information.
If account is a trust, use trust information.

SOURCE OF FUNDS? (CHECK ALL THAT APPLY)
☐ INVESTMENT PROCEEDS ☐ PENSION/IRA/RETIREMENT SAVINGS ☐ INCOME FROM EARNINGS ☐ GIFT
☐ INHERITANCE ☐ SALE OF BUSINESS ☐ LEGAL SETTLEMENT ☐ SPOUSE/PARENT
☐ LOTTERY/GAMING PROCEEDS ☐ INSURANCE PROCEEDS ☐ OTHER ________________

ARE YOU OR THE JOINT ACCOUNT HOLDER AN EMPLOYEE OF A BROKER-DEALER? *(Employer authorization is required to open this account.)* YES ☐ NO ☐

ARE YOU AN OFFICER, A DIRECTOR OR 5% SHAREHOLDER OF A PUBLIC COMPANY? *If yes, what company?* YES ☐ NO ☐

ANNUAL INCOME (CHECK ONE)
☐ LESS THAN $50,000 ☐ $100,000 TO UNDER $250,000
☐ $50,000 TO UNDER $100,000 ☐ $250,000 OR MORE

ESTIMATED LIQUID NET WORTH (CHECK ONE)
☐ LESS THAN $100,000 ☐ $250,000 TO UNDER $1,000,000
☐ $100,000 TO UNDER $250,000 ☐ $1,000,000 OR MORE

FEDERAL TAX BRACKET (CHECK ONE)
☐ 15% OR LESS ☐ 30% OR ABOVE
☐ 16 – 29% ☐ NOT SURE

INVESTMENT EXPERIENCE (CHECK ONE)
☐ NONE ☐ LIMITED ☐ EXPERIENCED ☐ EXTENSIVE

TIME HORIZON (CHECK ONE)
☐ 0-3 YEARS ☐ OVER 3 YEARS

ACCOUNT REGISTRATION & PORTFOLIO SELECTION	RISK TOLERANCE: CONSERVATIVE	MODERATE	AGGRESSIVE	INVESTMENT OBJECTIVE: PRESERVATION OF CAPITAL	CONSERVATIVE INCOME	GROWTH & INCOME	MODERATE GROWTH	GROWTH	AGGRESSIVE GROWTH	SIZE
Portfolio:	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐ 3K-24,999 ☐ 25K-74,999 ☐ 75K-749,999 ☐ 750K+
Portfolio:	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐ 3K-24,999 ☐ 25K-74,999 ☐ 75K-749,999 ☐ 750K+
Portfolio:	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐ 3K-24,999 ☐ 25K-74,999 ☐ 75K-749,999 ☐ 750K+

INVESTMENT OBJECTIVE DEFINITIONS

PRESERVATION OF CAPITAL: You seek to preserve your capital and will accept lower returns in exchange for greater price stability
CONSERVATIVE INCOME: Your goal is to minimize the effect of market value fluctuations by taking an income-oriented approach with only limited potential for capital appreciation
GROWTH & INCOME: You seek a modest increase in your investment through a combination of income and appreciation and are willing to tolerate some market fluctuation
MODERATE GROWTH: While income is somewhat important, preference is for growth and can withstand moderate market fluctuations in order to achieve it
GROWTH: You have a preference for growth and can withstand significant market value fluctuations in order to achieve it
AGGRESSIVE GROWTH: You seek aggressive growth and are willing to tolerate very wide market value fluctuations in order to achieve it (WILLING TO LOSE MORE THAN 50%)

Please attach additional sheet if you have additional account registrations. The Suitability Questionnaire is designed to help investors identify an investment approach that could generally suit them. The scope of the form is by no means exhaustive. Investors should be fully aware of the risks involved in the purchase of investment products.