Client Information Form

TruNorth Financial

Personal Information

Full Name

Street Address

City, State Zip code

Home/ Cell Phone

Email

Primary Citizenship ☐ USA ☐ Other

Social Security Number/ EIN

State/ Country of Birth

Date of Birth

Marital Status ☐ Single ☐ Married ☐ Divorced ☐ Domestic Partner ☐ Widowed

ID Verification

Drivers License Number

State Issued

Date Issued

Expiration Date

Employment Information

Employment Status ◉ Employed ○ Homemaker ○ Student ○ Retired ○ Self-employed

Occupation

Years Employed

Company Name

Income

Company Street Address

Company City, State Zip code

Beneficiary Information

Full Name

Relationship to Applicant

Date of Birth

Social Security Number

Phone Number

Email Address

Address

Doctors Information

Insurance Clients Only - Please include doctors name, phone number, email, address, date & reason for last visit, medicines you take, current height and weight and any medical conditions you are diagnosed with.

Banking Information

Account Type

Bank Name

Routing Number

Account Number

Account Holder/Holders

For Investment Clients Only

Financial Information

Household Income	*Net Worth*	*Liquid Net Worth*	*Tax Bracket*
○ Under $25,000	○ Under $10,000	○ Under $10,000	○ Low (0 - 12%)
○ $25,000 - $39,999	○ $10,000 - $24,999	◉ $10,000 - $24,999	○ Mid (12.1 - 24%)
○ $40,000 - $49,999	○ $25,000 - $49,999	○ $25,000 - $49,999	◉ High (24.1 - 35%)
○ $50,000 - $64,999	◉ $50,000 - $199,999	○ $50,000 - $199,999	○ Top (35%+)
○ $65,000 - $124,999	○ $200,000 - $499,999	○ $200,000 - $499,999	
◉ $125,000 - $499,999	○ $500,000 - $999,999	○ $500,000 - $999,999	
○ $500,000 - $99,999	○ $1,000,000 - $4,999,999	○ $1,000,000 - $4,999,999	
○ Over $1,000,000	○ Over $5,000,000	○ Over $5,000,000	

Investment Knowledge

	Limited	*Moderate*	*Extensive*	*None*
General Investment Knowledge	○	◉	○	○
Equities	○	◉	○	○
Options	○	◉	○	○
Fixed Income	○	◉	○	○
Mutual Funds	○	◉	○	○
Unit Investment Trust	○	◉	○	○
Exchange Traded Funds	○	◉	○	○
Insurance	○	◉	○	○
Annuities	○	◉	○	○
Precious Metals	○	◉	○	○
Commodities & Futures	○	◉	○	○

Broker-Dealer Affiliations

	Yes	*No*
Employee of this B/D?	○	◉
Employee of another B/D?	○	◉
Related to employee of the B/D?	○	◉
Has other brokerage accounts?	○	◉
Member/ employee or related to FINRA/ exchange member?	○	◉
Self/ family director or 10% shareholder of public co.?	○	◉
Foreign or private account?	○	◉
Politically exposed person?	○	◉

Investment Objective

○ Income/Capital Preservation - A conservative investor who is risk adverse and wishes to maximize current Income/preserve capital while maintaining liquidity. Willing to accept lower returns to do so.

○ Income/Growth - A conservative investor who is willing to assume some risk with the goal of some growth of investment value and income flow, and who wishes to maintain preservation of principal and overall liquidity of their portfolio.

○ Growth - An investor willing to assume risk and market fluctuations with the long-term goal of growing the portfolio while maintaining some safety of principal and liquidity.

◉ Aggressive Growth - An aggressive investor willing to assume the highest level of risk, along with the accompanying market fluctuations, with a goal of achieving the largest possible return while maintaining a long-term focus for overall portfolio growth.

○ Tax Reduction - An investor who wishes to minimize taxable income from their investments by maintaining a portfolio that focuses on securities that are exempt from federal and state taxes.

Risk Tolerance ○ Conservative ○ Mod Conservative ○ Balanced ○ Aggressive ◉ Very Aggressive

Liquidity Needs ◉ Low ○ Medium ○ High **Time Horizon** 2050