



Account Update Form

This form is used to make any corrections or changes to your account. You may not use this form to change the account registration or the account type. All pages must be submitted together for processing. Complete all applicable sections.

ACCOUNT INFORMATION - REQUIRED

Account Title (Name of this account)		Account Number	
Client Name		Broker Rep Code	
<input type="radio"/> ADDRESS CHANGE			
Please change the address on my account to the following:			
Physical Address (no PO Box)	Address 1		Address 2
	City	State	Zip Code
	Country	Province	Foreign Postal Code
Mailing Address (if different from Physical)	Address 1		Address 2
	City	State	Zip Code
	Country	Province	Foreign Postal Code
<input type="radio"/> EMAIL ADDRESS/PHONE NUMBER CHANGE			
Home or Mobile Phone		Business Phone	
Foreign Phone		Email Address	
<input type="radio"/> OCCUPATION/BUSINESS NATURE/EMPLOYER CHANGE			
<input type="radio"/> Employed <input type="radio"/> Self-Employed <input type="radio"/> Retired <input type="radio"/> Unemployed <input type="radio"/> Homemaker <input type="radio"/> Student <i>If Employed/Self-Employed is indicated, please complete all employment fields.</i> <i>If Retired or Unemployed is indicated, please indicate former Occupation.</i>			
Employer Name	Years Employed	Phone Number	Occupation
Employer's Address	City	State	Zip Code
Country	Province	Foreign Postal Code	

Account Number:

<input type="radio"/> FINANCIAL INFORMATION				
Annual Income \$ _____	Net Worth \$ _____	Liquid Net Worth \$ _____	Risk Tolerance	Tax Bracket
<input type="radio"/> Under \$25,000 <input type="radio"/> \$25,001 - \$50,000 <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$200,000 <input type="radio"/> \$200,001 - \$500,000 <input type="radio"/> \$500,001 - \$1 million <input type="radio"/> Over \$1 million	(excluding residence) <input type="radio"/> Under \$50,000 <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$500,000 <input type="radio"/> \$500,001 - \$1 million <input type="radio"/> \$1,000,001 - \$3 million <input type="radio"/> Over \$3 million	<input type="radio"/> Under \$25,000 <input type="radio"/> \$25,001 - \$50,000 <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$200,000 <input type="radio"/> \$200,001 - \$500,000 <input type="radio"/> \$500,001 - \$1 million <input type="radio"/> \$1,000,001 - \$3 million <input type="radio"/> Over \$3 million	<input type="radio"/> Low <input type="radio"/> Moderate <input type="radio"/> Aggressive <input type="radio"/> Speculative	<input type="radio"/> 0% <input type="radio"/> 10% <input type="radio"/> 12% <input type="radio"/> 22% <input type="radio"/> 24% <input type="radio"/> 32% <input type="radio"/> 35% <input type="radio"/> 37%
Estimated Value of Investments	Liquidity Needs	Time Horizon	Annual Expenses	Special Expenses
<input type="radio"/> under \$10,000 <input type="radio"/> up to \$24,000 <input type="radio"/> up to \$50,000 <input type="radio"/> up to \$200,000 <input type="radio"/> under \$500,000 <input type="radio"/> over \$500,000	<input type="radio"/> less than 1 year <input type="radio"/> 1 – 5 years <input type="radio"/> 5 – 10 years <input type="radio"/> 10 – 15 years <input type="radio"/> Over 15 years <input type="radio"/> Not applicable	<input type="radio"/> Undefined <input type="radio"/> less than 1 year <input type="radio"/> 1 – 5 years <input type="radio"/> 5 – 10 years <input type="radio"/> 10 – 15 years <input type="radio"/> Over 15 years	<input type="radio"/> \$50,000 and under <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$250,000 <input type="radio"/> \$250,001 - \$500,000 <input type="radio"/> Over \$500,000	<input type="radio"/> \$50,000 and under <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$250,000 <input type="radio"/> \$250,001 - \$500,000 <input type="radio"/> Over \$500,000
			Investment Knowledge	<i>Timeframe</i>
			<input type="radio"/> Limited <input type="radio"/> Good <input type="radio"/> Excellent	<input type="radio"/> Within 2 years <input type="radio"/> 3 – 5 years <input type="radio"/> 6 – 10 years
Investment Objective				
<input type="radio"/> Current Income (A) - Preservation of capital with a primary consideration on current income <input type="radio"/> Balanced (F) - A balance between capital appreciation and current income with the primary consideration being current income <input type="radio"/> Growth & Income (G) - A balance between capital appreciation and current income with the primary consideration being capital appreciation		<input type="radio"/> Growth (H) - Capital appreciation through quality equity investment and little or no income <input type="radio"/> Maximum Growth (I) - Maximum capital appreciation with higher risk and little to no income. <input type="radio"/> Speculation (J) - Maximum total return potential, involving a higher degree of risk through investment in a broad spectrum of securities.		

Investment Experience	Years of Experience			Transactions per year		
Mutual Funds/Exchange Traded Funds	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15
Individual Stocks	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15
Bonds	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15
Options	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15
Securities Futures	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15
Annuities	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15
Alternative (structured products, hedge funds, etc.)	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15
Margin	<input type="radio"/> 0	<input type="radio"/> 1 - 5	<input type="radio"/> Over 5	<input type="radio"/> 0 - 5	<input type="radio"/> 6 - 15	<input type="radio"/> Over 15

SIGNATURES – ALL ACCOUNT HOLDERS, ALONG WITH AN AUTHORIZED FIRM REPRESENTATIVE, MUST SIGN BELOW		
Account Holder Signature x	Print Name	Date
Account Holder Signature x	Print Name	Date
Account Holder Signature x	Print Name	Date
Broker Signature x	Print Name	Date
General Principal Signature x	Print Name	Date