



Personal Data & Suitability

	dial, etc.)	Account Type				
		☐ Individual	☐ Trust	☐ Joint	☐ Tradition	al IRA
		☐ Rollover IRA	☐ Roth IRA	☐ Other		
mary Client Name (Individual, Truste	ee, Custodian)	Secondary/Join	t Name (Individual,	Trustee, Custodia	an)	
eet Address		Street Address				
	State Zip	City		State		Zip
ID Date of Birth	Citizenship	Tax ID	Date of Birth		Citizens	ship
nary Phone #	Secondary Phone #	Primary Phone #		Se	econdary Phone #	ŧ
nary Email Address		Primary Email Address				
ilary Elliali Address		Filliary Email Address	•			
ling Address (if different than legal address)		Mailing Address (if diffe	erent than legal addre	ss)		
,	State Zip	City		State		Zip
How long before you pla	ın on withdrawing funds, in exc	ess of dividends. fro	om this accou	ınt?	Dainta	
-					Points	
Loos man one year					Points	1
1 to 3 years						
*						2
3 to 5 years 5 to 10 years						2 3 4
3 to 5 years 5 to 10 years						2 3 4
3 to 5 years 5 to 10 years						2 3 4
3 to 5 years						2 4 5
3 to 5 years						
3 to 5 years						
3 to 5 years						
3 to 5 years	vithdrawal from this investment	in the next 2 years?	?			
3 to 5 years	vithdrawal from this investment	in the next 2 years	?			
3 to 5 years	vithdrawal from this investment	in the next 2 years?	?			2 4 5 5 8 6
3 to 5 years	vithdrawal from this investment	in the next 2 years?	?			2 4 5 5 8 6
3 to 5 years	vithdrawal from this investment	in the next 2 years?	?	ccount?		
3 to 5 years	vithdrawal from this investment	in the next 2 years?	? 	ccount?		2 4 5 8 6 6



Tel: (858) 935-1125 Fax: (858) 452-3742



Assuming the overall market was dow next 12 months in this investment?	n, which of these statements would best	describe your attitudes about the
I can tolerate a loss of 10%-20%I can tolerate a loss of 0%-10%	ble, even over a short period	5 4
		Total Points
For purposes of aggregating fee break	spoints, do you have any family members	s living in your household that currently
receive services from our firm? \Box Yes	s□No	
this document may be obtained from us, your ac Corporation, One North Wacker Dr., Suite 500, retain discretionary trading authority on all accor of trading.	person must receive a copy of <u>Characteristi</u> dvisor, from any exchange on which options Chicago, IL 60606 (1-888-678-4667). This unts. In no event will we engage in "naked" Portfolio Selection of you feel that you would be better suite	cs and Risks of Standardized Options. Copies of are traded or by contacting The Options Clearing
13-26 points – Lower Risk Tolerance	17-28 points – Higher Risk Tolerance	29+ points – Most Risk Tolerance
☐ MRP Lite: 7-10% allocation to options	☐ MRP Core: 10-12% allocation to options	☐ MRP Growth: 12-15% allocation to options
I WINT LITE. 1-10% allocation to options	☐ CLIP: 100% allocation to equities	WINT Growth. 12-13 // anocation to options
Advisor Signature Additional Instructions or Custom Por	tfalia Description:	Date
Additional histractions of custom For	tiono description.	