Schulmerich & Associates Asset Management, LLC
New Account Form
Lincoln Center 10260 SW Greenburg Rd., Suite 400
Portland, OR 97223 Phone 503.672.7750 Fax 503.672.7699
www.schulmerichandassoc.com
Email schulmerich@comcast.net

Suitability and Client Info Form

☐ NEW Customer ☐ Update only
☐ Existing customer / New Account Type

First:	Middle, Last:

Complete Mailing Address:

SS#:	Date of Birth:	Email:

Employer:	Employer Address:

# of Dependents:	Home Phone:	Work Phone:	Mobile Phone:
Account #:	Approx. open date of account:	Custodian: TD Ameritrade	Discretion Authorized on Trades: ☐YES ☐NO

Account Type: ☐ Individual ☐ Joint_____ ☐ _____IRA ☐ Trust / Estate ☐ Corporation ☐ Other:

Notes:

Income (round to nearest $10,000):
Applicant: ______________
Co-applicant: ______________
Other Income: ______________
Total Income: ______________

Net Worth:
Total Assets: ______________
Total Liabilities:
Net Worth exclusive of home, autos, furnishings:
____

Investment Experience:
- ☐ Mutual Funds ________ years
- ☐ Stocks ________ years
- ☐ Bonds ________ years
- ☐ Options ________ years
- ☐ Partnerships ________ years
- ☐ Other ________ years

Investment Objective:
The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding and the account's performance at any time. Please note: achievement of the stated investment objective is a long-term goal for the account.

- ☐ **Income:** Designed to offer price stability and a steady stream of income.
- ☐ **Growth & Income:** Designed for the investor with the desire for income but also seeking some capital appreciation over time. Willing to accept exposure to possible loss of principal in exchange for potential higher return.
- ☐ **Growth:** Designed to seek mid to long-term capital appreciation in many types equities or fixed income products. There is little focus on generating income.
- ☐ **Aggressive Growth:** Designed to achieve above average returns for maximum capital appreciation. No focus on income. This objective has high potential for loss of principal.
- ☐ **Speculation:** You are investing in order to maximize your returns and are willing to accept a substantial risk of loss of principal.
- ☐ **Tax Advantaged:** Designed to achieve one of the objectives above while also incorporating some tax savings, deferral, or other tax benefit.

Investment Time Horizon:
- ☐ Long term (10+ years)
- ☐ Intermediate (3-10 years)
- ☐ Short (under 3 years)

Risk Tolerance (Please check one only):
- ☐ **Conservative**: Low tolerance for capital loss.
- ☐ **Cautious**: Moderately low tolerance for capital loss.
- ☐ **Moderate**: Average tolerance for capital loss.
- ☐ **High**: Moderately high risk tolerance for capital loss.
- ☐ **Aggressive**: High risk tolerance for capital loss.

Anti-Money Laundering ID Check:
- ☐ Un-expired Drivers License
- ☐ Passport
- ☐ Other Government issued document: ______________
- ☐ Other business document: ______________

ID# ______________

Expiration ______________

Required Representative Verification:

I have verified this account holder's identification.

Registered Representative's Signature ______________ Rep # ______

Joint Accounts: If this is a joint account, unless we notify you otherwise and provide such documentation as you require, the brokerage account(s) shall be held by us jointly with rights of survivorship (payable to either or the survivor of us). Each joint tenant irrevocably appoints the other as attorney-in-fact to take all action on his or her behalf and to represent him or her in all respects in connection with this Agreement. You shall be fully protected in acting upon the instructions of either of us. Each of us shall be liable, jointly and individually, for any amounts due to you pursuant to this Agreement, whether incurred by either or both of us.

Client Signature ______________ Date ______

Client Signature ______________ Date ______

Chief Compliance Officer ______________ Date ______

OFAC SDN List: ☐ Clear ☐ Not clear Date: Initials:

Revised 05/06