

AULL & MONROE NEW CLIENT INFORMATION SHEET

The information obtained below is necessary to make appropriate investment decisions on your behalf as well as to establish account relationships with your third party custodian. We do not disclose any of this nonpublic personal information about you to unaffiliated third parties.

Legal Name

First _____ Middle Initial _____ Last _____ M F

Date of Birth ____/____/____ Social Security # ____ - ____ - ____ US Citizen Yes No

Identification Type: Passport US Drivers License Govt. Issued ID
ID# _____ Place of Issuance _____ Issue Date _____ Expiration Date _____

Marital Status: Married Single Divorced Widowed # of Children _____

Contact Information Home _____ Work _____ Cell _____
FAX _____ E-mail Address _____

Home Address (No PO Box) _____ Mailing Address (If Different) _____

Employment Information

Employed Retired Homemaker Unemployed Years until Retirement _____

If Employed or Retired Employer Name _____

If Employed Employer Address _____

Type of Business _____ Occupation/Position Title _____

Legal Name of Secondary Individual (If Applicable)

First _____ Middle Initial _____ Last _____ M F

Date of Birth ____/____/____ Social Security # ____ - ____ - ____ US Citizen Yes No

Identification Type: Passport US Drivers License Govt. Issued ID
ID# _____ Place of Issuance _____ Issue Date _____ Expiration Date _____

Marital Status: Married Single Divorced Widowed # of Children _____

Contact Information Home _____ Work _____ Cell _____
FAX _____ E-mail Address _____

Home Address (No PO Box) _____ Mailing Address (If Different) _____

Employment Information

Employed Retired Homemaker Unemployed Years until Retirement _____

If Employed or Retired Employer Name _____

If Employed Employer Address _____

Type of Business _____ Occupation/Position Title _____

Accountant Information

I (We) authorize Aull & Monroe to provide information to my (our) accountant in order to facilitate in the preparation of annual tax returns (i.e. cost basis, 1099s, management fees paid, etc.)

Accountant Name _____

Address _____

Telephone _____ FAX _____

Over Please →

Investment Objectives/Risk Tolerance

Growth

Seeks capital appreciation primarily with equity oriented investments that have potential for significant growth.

Tax Advantage

Preference for investments which offer tax-free income or tax-deferred advantages.

Income

Seeks income via fixed income or equity investments that offer higher yields.

Speculation

Seeks to maximize return via a broad range of investment strategies that involve a high degree of risk, volatility and/or trading.

Type of Investor: Conservative Moderate Aggressive

Investment Horizon: When will you need cash from investments (i.e. college tuition, wedding, home purchase, supplemental income)? 1-2 years 2-5 years 5-10 years 10 or more years

Financial Background

Approximate Federal Tax Bracket: 10% 15% 25% 28% 33% 35%

Household Annual Income under \$25,000
 \$25,000-\$39,999
 \$40,000-\$64,999
 \$65,000-\$124,999
 \$125,000-\$149,999
 over \$150,000

Net Worth under \$25,000
 \$25,000-\$50,000
 \$50,000-\$100,000
 \$100,000-\$500,000
 \$500,000-\$1,000,000
 \$1,000,000-\$5,000,000
 over \$5,000,000

Liquid Net Worth under \$25,000
 \$25,000-\$50,000
 \$50,000-\$100,000
 \$100,000-\$500,000
 \$500,000-\$1,000,000
 over \$1,000,000

I (WE) VERIFY THAT THE ACCOUNT INFORMATION PROVIDED IS ACCURATE AND THAT I (WE) WILL NOTIFY AULL & MONROE OF ANY SIGNIFICANT CHANGES IN MY (OUR) FINANCIAL CONDITION AND/OR INVESTMENT OBJECTIVES.

X _____
Account Owner Signature

Date: _____

X _____
Secondary Individual Signature

Date: _____