QUANTITATIVE ASSET MANAGEMENT, LLC
Investment & Advisory Services

Client Application

Investor Information

Client Name: ______________________________

Address: ______________________________

Home Phone: ______________ Mobile Phone: ______________

Email Address: ______________ Birth Date: ______________

Marital Status: ______________ Tax ID # ______________

Employer Name: ______________________________

Employer Address: ______________________________

Occupation (If retired please indicate previous occupation): ______________

Retirement Plan (Name, Type, Provider): ______________

Additional Investor Information

Client Name: ______________________________

Address: ______________________________

Home Phone: ______________ Mobile Phone: ______________

Email Address: ______________ Birth Date: ______________

Marital Status: ______________ Tax ID # ______________

Employer Name: ______________________________

Employer Address: ______________________________

Occupation (If retired please indicate previous occupation): ______________

Retirement Plan (Name, Type, Provider): ______________

Risk Tolerance

- ☐ Conservative, cannot withstand any volatility
- ☐ ______________________________
- ☐ Moderate, can withstand some volatility
- ☐ ______________________________
- ☐ Aggressive, can withstand a lot of volatility

Previous Investment Experience

- ☐ Equities
- ☐ Bonds
- ☐ Options
- ☐ Real Estate
- ☐ Other

Type of Account

☐ Individual ☐ Joint ☐ IRA ☐ Roth IRA

☐ Trust – Name of Trustee(s)____

☐ Pension/Profit Sharing – Name of Trustee(s)____________________________________

Investor Strategy

Initial Portfolio Guidelines and Objectives (Growth, Income, Sector Concentration, etc.): ____________________

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Special Considerations (Time Horizon, Upcoming Expenses, etc.): __________________________________

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Financials

Years of Experience in Stocks:__________

Household Annual Income:

- ☐ Less than $50,000
- ☐ $50,000 to $100,000
- ☐ $100,001 to $250,000
- ☐ $250,001 to $500,000
- ☐ Over $500,001

Net Worth (Excluding Residence):

- ☐ Under $250,000
- ☐ $250,001 to $500,000
- ☐ $500,001 to $1,000,000
- ☐ $1,000,001 to $5,000,000
- ☐ Over $5,000,000

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Client Signature (Owner)

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Full Name Printed

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Date

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Client Signature (Co-Owner)

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Full Name Printed

____
Date

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Quantitative Asset Management, LLC

____
Its

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Date

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