

ICDS

Bundle ID

Client ID

**Client Data Sheet (for Independent RIA)**

78210

Investment Advisor Rep Number

Scott Summerlin

Investment Advisor Rep Name

PFG Advisors

Investment Advisory Firm Name

**Account Title**

Scott Summerlin, IRA

**ACCOUNT INFORMATION****Assets Held At** (Check one)☒ Third Party Custodian

Custodian Name

AssetMark

☐ Money Manager

Sponsor / Program Name

00003

Account Number

**REGISTRATION TYPE****Personal Accounts**☐ Individual☐ Sole Proprietor**Joint Account**☐ With Rights☐ Tenants in Common☐ Community Property☐ Comm Prop w/Rights☐ Tenants by Entirety**Transfer On Death**☐ TOD - Individual☐ TOD - Joint With Rights**Custodial**☐ UGMA☐ Guardian☐ UTMA☐ Conservator**Estate Account**☐ Personal Representative☐ Executor**Entity Accounts**☐ Corporation☐ Limited Liability Company☐ Non-Corporate☐ Partnership☐ Trust**Qualified Accounts**☐ 529 Plan☐ Minor Roth☒ IRA☐ Education IRA☐ SEP IRA☐ SIMPLE Corp☐ Roth IRA☐ SIMPLE Part.☐ Minor IRA**Plan Type**☐ Plan☐ Participant**Non-ERISA**☐ Individual (k)☐ 457(b)☐ 403(b)☐ 401(a)**ERISA**☐ 403(b)☐ Defined Benefit Pension Plan☐ 401(k)☐ Profit Sharing☐ Money Purchase**PRIMARY ACCOUNT HOLDER INFORMATION****Primary Account Holder Relationship**☒ Individual Owner☐ Minor☐ FBO☐ Estate☐ Limited Liability Company☐ Partnership☐ Non-Corporate☐ Joint Holder\*☐ Donor☐ Corporation☐ Trust☐ Sole Proprietorship☐ Investment Club

\*For Tenants in Common indicate this owner's share

**If Entity Indicate Type of Business**

Summerlin

Last Name/Entity Name

Scott

First Name

W

MI

Suffix

☒ SSN☐ TID

44

2/20/1968

Date of Birth/Plan/Trust Date (MM/DD/YYYY)

**SECONDARY ACCOUNT HOLDER INFORMATION****Secondary Account Holder Relationship**☐ Joint Holder\*☐ Administrator☐ Guardian☐ Trust☐ Conservator☐ Trustee☐ Naked Owner (Usufruct)☐ Sole Proprietor☐ Custodian☐ Executor☐ Partner☐ FBO☐ Personal Rep☐ Plan Administrator

\*For Tenants in Common indicate this owner's share

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Bundle ID

## Secondary Account Holder Personal Information (continued)

Last Name

First Name

MI

Suffix

☐ SSN☐ TID

Date of Birth/Plan/Trust Date (MM/DD/YYYY)

## Suitability

## Financial Situation and Tax Status

Estimated Annual Income  
(From all sources)

\$

Estimated Net Worth  
(Exclusive of primary)

\$

Estimated Liquid Net Worth  
(Including cash and securities)

\$

## Federal Tax Bracket

☐ 15% and below☒ 15.1% to 27.5%☐ Over 27.5%

## Investment Profile

## Investment Purpose (Select all that apply)

☐ Save for education
 ☐ Generate income
 ☐ Preserve wealth
 ☒ Retirement Purposes
 ☒ Accumulate wealth
 ☐ Market speculation

☐ Save for short term goals
 ☐ Other

## Investment Objective

☐ Current Income
 ☐ Balanced
 ☐ Growth & Income

☒ Growth
 ☐ Maximum Growth

## Investment Time Horizon

☐ Short (less than 5 years)
 ☒ Long (over 10 years)

☐ Intermediate (5 - 10 years)

## Investment Knowledge

☐ None☐ Limited☐ Good☒ Excellent

## Risk Tolerance

☐ Conservative☐ Moderately Conservative☐ Moderate☐ Moderately Aggressive☒ Aggressive☐ Speculative

## Investment Experience (Indicate # of years)







Mutual Funds

Stocks

Bonds

Limited Partnerships

Variable Annuities

Options

## Investment Advisor Representative Signature

The Investment Advisor Representative ("IAR") whose signature appears below acknowledges that:

- Supervision of securities transactions conducted for the client account(s), by the Broker/Dealer ("B/D") with which IAR is affiliated, is mandated by FINRA Notices to Members 94-44 and 96-33. IAR agrees to submit to surveillance by the B/D for the B/D's supervision of securities transactions. Information contained in this Client Data Sheet is relied upon by the B/D to perform such supervision.
- Although the B/D has a supervisory obligation with respect to securities transactions, IAR has complete and sole responsibility for compliance with applicable regulations to which the IAR and IAR's independent registered investment advisor firm are subject.
- IAR has reviewed this Client Data Sheet for completeness and accuracy and represents that the information contained in this Client Data Sheet is consistent with any client information obtained separately by IAR.
- IAR agrees to promptly notify the B/D of any changes to client's legal name, investment objective, or financial information that is reported on the Client Data Sheet for this account and all of client's other accounts associated with this Client Data Sheet that are eligible for conducting securities transactions.
- IAR may not participate in any securities transactions for client that are not approved by the B/D.

Investment Advisor Representative Name (Printed)

Scott Summerlin

Investment Advisor Representative Signature

DocuSigned by:

Scott Summerlin

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Date

10/26/2020

