

FIFTH CAPITAL MANAGEMENT
CONFIDENTIAL INFORMATION TO OPEN A NEW ACCOUNT
(*PLEASE FILL OUT COMPLETELY***)**
- PROVIDE COPY OF DRIVER'S LICENSE -

PERSONAL INFORMATION

Name: _____ SS/Tax ID # _____ DOB _____

Address: _____ City: _____ State/Zip: _____

Home Phone: _____ Cell Phone: _____ Email: _____

Employer Name: _____ Position: _____

Address: _____ City: _____ State: _____ Zip: _____

Employed Since: _____ Nature of Business: _____

Marital Status: _____ # of Dependents (Ages) _____

Mothers's maiden name: _____ City of Birth: _____

Spouse Information

Spouse's Name: _____ SS# _____ DOB _____

Employer Name: _____ Position: _____

Address: _____ City: _____ State: _____ Zip: _____

Employed Since: _____ Mother's maiden name: _____ City of Birth: _____

Financial

Investment Objectives (Rank 1, 2, 3, & 4, 1 being the Highest)

Growth _____ Income _____ Liquidity _____ Tax-Deferral _____

Risk Tolerance (choose one): Aggressive _____, Moderate _____, or Conservative _____

Do investment Objectives Allow Speculation? Yes _____ or No _____

Primary Source of Income: Compensation _____ Investments _____ Retirement Assets _____

Source of Wealth: Compensation _____ Business Ownership _____ Inheritance/Gift _____
Investments _____

Investing Since (Enter Year): Stocks _____ Bonds _____ Options _____ Commodities _____

Have you had accounts at other firms? Yes _____ No _____. If yes, where? _____

Use These Ranges for Estimating Financial Data

A = Less than \$25,000 D = \$100,000 - \$150,000 G = \$250,000 - \$300,000 J = \$600,000 – 1.2MM
B = \$25,000 - \$50,000 E = \$150,000 - \$200,000 H = \$300,000 - \$350,000 K = \$1.2MM – 2MM
C = \$50,000 – 100,000 F = \$200,000 – \$250,000 I = \$350,000 - \$600,000 L = \$2MM and above

(use letter corresponding to amount)

Annual Income \$_____ Spouse's Annual Income \$_____

Total Annual Income (all sources) \$_____

Estimated Liquid Net Worth \$_____

***Estimated Liquid Net Worth: total value of all assets in the client's name that can be easily converted to cash i.e. checking, saving, money market, CDs, marketable securities less any liabilities against these securities, i.e. margin debt.*

Estimated Total Net Worth \$_____

****Estimated Total Net Worth: Client's total assets, exclusive of family residence and retirement assets less total liabilities.*

Retirement Assets: \$_____

Estimated Federal Income Tax Bracket _____ (10%, 15%, 25%, 28%, 33% or 35%)

Are you or is anyone upon whom you are financially dependent a senior officer of a financial institution or responsible for buying and selling securities for that institution? Yes _____ or No _____

Are you or anyone in your immediate family employed by a broker/dealer? Yes _____ or No _____

Have you ever been accused, acquitted, or charged with any kind of securities violation? Yes _____ or No _____

Thank you for your help with this confidential information required by the Securities Exchange Commission. You will receive a form confirming that we have received the correct information.