



8111 Timberlodge Trail  
Dayton, OH 45458-2103

CUSTODIAN: \_\_\_\_\_  
ACCOUNT NUMBER: \_\_\_\_\_  
COMPANY-ADVISED:  Or  
Rep Advised: ADVISOR NAME: \_\_\_\_\_

**Section One**

**PRIMARY ACCOUNT HOLDER INFORMATION**

CLIENT NAME		SOCIAL SECURITY #		BIRTHDATE	
STREET		CITY	STATE	ZIP CODE	COUNTY
COUNTRY	HOME PHONE (Preferred number for contact?)			CELL PHONE	
NAME OF BANK (SEC Required Information)			BANK BRANCH ADDRESS (SEC Required Information)		
<input type="checkbox"/> Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Student <input type="checkbox"/> Self-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker		EMPLOYER'S NAME / CLIENT OCCUPATION		EMPLOYER'S PHONE	
EMPLOYER'S ADDRESS / CITY / STATE / ZIP					YEARS EMPLOYED
EMAIL ADDRESS				<input type="checkbox"/> I would like to receive Tudor monthly market updates via email.	

**Section Two**

**SECONDARY ACCOUNT HOLDER INFORMATION**

CLIENT NAME		SOCIAL SECURITY #		BIRTHDATE	
STREET / CITY		STATE	ZIP CODE	COUNTY	
COUNTRY	HOME PHONE (Preferred number for contact?)			CELL PHONE	
NAME OF BANK (SEC Required Information)			BANK BRANCH ADDRESS (SEC Required Information)		
<input type="checkbox"/> Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Student <input type="checkbox"/> Self-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker		EMPLOYER'S NAME / CLIENT OCCUPATION		EMPLOYER'S PHONE	
EMPLOYER'S ADDRESS / CITY / STATE / ZIP					YEARS EMPLOYED
EMAIL ADDRESS				<input type="checkbox"/> I would like to receive Tudor monthly market updates via email.	

**Section Three**

**BENEFICIARY INFORMATION**

NAME (PRIMARY 1)	GENDER	RELATIONSHIP	D.O.B.	S.S.N.	PERCENTAGE
NAME (PRIMARY 2)	GENDER	RELATIONSHIP	D.O.B.	S.S.N.	PERCENTAGE
NAME (CONTINGENT 1)	GENDER	RELATIONSHIP	D.O.B.	S.S.N.	PERCENTAGE
NAME (CONTINGENT 2)	GENDER	RELATIONSHIP	D.O.B.	S.S.N.	PERCENTAGE

**Section Four**

**INCOME / NET WORTH**

HOUSEHOLD INCOME	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	\$0 - 49,999	\$50,000 - 79,999	\$80,000 - 119,999	\$120,000 - 199,999	\$200,000 - OVER
SCORE:	1	2	4	6	8
HOUSEHOLD NET WORTH (ASSETS minus LIABILITIES)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	\$0 - 99,999	\$100,000 - 199,999	\$200,000 - 249,999	\$250,000 - 499,999	\$500,000 - OVER
SCORE:	1	2	4	6	8
ESTIMATED TAX BRACKET	<input type="checkbox"/> 0-15%	<input type="checkbox"/> 16-25%	<input type="checkbox"/> 26-33%	<input type="checkbox"/> 33-35%	<input type="checkbox"/> 36-39.6%

Income/Net Worth Section Total \_\_\_\_\_



**TIME HORIZON**

<b>MY CURRENT AGE IS:</b>	<input type="checkbox"/> Less than 40	<input type="checkbox"/> 40 to 45	<input type="checkbox"/> 46 to 55	<input type="checkbox"/> 56 to 65	<input type="checkbox"/> 66 and up
<b>SCORE:</b>	9	6	4	2	1
<b>I EXPECT TO DRAW FROM MY INVESTMENTS:</b>	<input type="checkbox"/> Not for at least twenty years	<input type="checkbox"/> In 10 to 20 years	<input type="checkbox"/> In 5 to 10 years	<input type="checkbox"/> In 1 to 5 years	<input type="checkbox"/> Immediately
<b>SCORE:</b>	9	6	4	2	1

Time Horizon Section Total \_\_\_\_\_

**CASH FLOW**

<b>PERCENTAGE OF HOUSEHOLD INCOME SPENT ON CREDIT CARDS, CAR PAYMENTS, AND MORTGAGE OR RENT:</b>	<input type="checkbox"/> more than 45%	<input type="checkbox"/> between 20 and 44%	<input type="checkbox"/> less than 19%
<b>SCORE:</b>	1	5	8
<b>IN CASE OF EMERGENCY, I HAVE SAVINGS OUTSIDE OF MY INVESTMENT ACCOUNT TO PAY:</b>	<input type="checkbox"/> less than 3 mos. living expenses	<input type="checkbox"/> 3 to 11 mos. of living expenses	<input type="checkbox"/> 12 mos. or more living expenses
<b>SCORE:</b>	1	5	8
<b>PROSPECT THAT MY EARNINGS MAY DECREASE DUE TO JOB CHANGES, DISABILITY OR OTHER REASONS:</b>	<input type="checkbox"/> is likely	<input type="checkbox"/> is not very likely	<input type="checkbox"/> is not likely at all
<b>SCORE:</b>	1	5	8

Cash Flow Section Total \_\_\_\_\_

**INVESTMENT RISK ATTITUDES**

	<b>FACTOR:</b>	<b>SCORE:</b>
How do I feel about fluctuations of my investment assets?	<input type="checkbox"/> I would rather invest for stability and have little fluctuation in my investments.	1
	<input type="checkbox"/> I want growth, but expect my investments to exhibit less fluctuation than the overall stock market.	3
	<input type="checkbox"/> I would expect my overall investment account to fluctuate as much as the market.	5
	<input type="checkbox"/> I want to increase potential returns and will tolerate significant fluctuations.	7
If I start with a \$100,000 investment, and I experience a decline in the next six months due to stock market fluctuation, I would:	<input type="checkbox"/> Change strategy if my investment declined to \$90,000 in 6 months (10% decline).	1
	<input type="checkbox"/> Make changes if my account fell to \$85,000 (15% decline).	3
	<input type="checkbox"/> Maintain the current strategy regardless of fluctuation.	5
	<input type="checkbox"/> Invest more if markets and my account declined by more than 10%.	7
I am willing to have a negative return in my account 1 out of every 3 years.	<input type="checkbox"/> I'm not comfortable with declines for a twelve-month calendar year	1
	<input type="checkbox"/> This would be OK, but I would not want it to happen two years in a row.	4
	<input type="checkbox"/> This would be OK, since periodic annual declines are part of a long-term investing strategy.	7
In the past, I have:	<input type="checkbox"/> Sold all my investments when my investment account declined 10%	1
	<input type="checkbox"/> Sold all my investments when my account declined 20%	3
	<input type="checkbox"/> Sold some investments after a 20% decline, but did not sell all my investments	5
	<input type="checkbox"/> Never sold due to changing account values	7
I historically have:	<input type="checkbox"/> Had my long-term investments in bank CD's or money market accounts	1
	<input type="checkbox"/> Held lots of interest-paying investments like bonds	3
	<input type="checkbox"/> Nearly always held my long-term investments in a mix of stocks and bonds	5
	<input type="checkbox"/> Usually had most of my investments in stocks	7
Inflation has historically been 3%. I would prefer to have my investment account:	<input type="checkbox"/> Provide a 3% return that just keeps up with inflation	1
	<input type="checkbox"/> Exceed inflation by 2% annually and I can tolerate 8% investment fluctuation each year	3
	<input type="checkbox"/> Exceed inflation by 4% annually and I can tolerate 14% investment fluctuation each year	5
	<input type="checkbox"/> Exceed inflation by 7% annually and I can tolerate 20% investment fluctuation each year	7

Risk Attitudes Section Total \_\_\_\_\_



**Section Five**

**INVESTMENT KNOWLEDGE AND EXPERIENCE PRIMARY OWNER**

INVESTMENT:	KNOWLEDGE: (SEC Requirement)	YEARS OF EXPERIENCE:
Equities (Stocks)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Options	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Fixed Income (Interest-Paying Securities)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Mutual Funds	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Unit Investment Trusts	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Exchange Traded Funds	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Real Estate (Investment Securities)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Insurance	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Variable Annuities	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Fixed Annuities (Interest-Paying Annuities)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Precious Metals (Gold, Silver)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Commodities and Futures	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Other:	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	

**Section Six**

**INVESTMENT KNOWLEDGE AND EXPERIENCE SECONDARY OWNER (IF APPLICABLE)**

INVESTMENT:	KNOWLEDGE: (SEC Requirement)	YEARS OF EXPERIENCE:
Equities (Stocks)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Options	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Fixed Income (Interest-Paying Securities)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Mutual Funds	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Unit Investment Trusts	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Exchange Traded Funds	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Real Estate (Investment Securities)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Insurance	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Variable Annuities	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Fixed Annuities (Interest-Paying Annuities)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Precious Metals (Gold, Silver)	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Commodities and Futures	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	
Other:	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	



THIS SECTION COMPLETED BY TUDOR FINANCIAL

Income/ Net Worth Total	Time Horizon Total	Cash Flow Total	Risk Attitudes Total	Total Score:

Questionnaire Score	Check Box	Risk Profile	Circle Strategy			
			<\$50,000 Mutual Fund Strategies	>\$50,000 ETF Strategies	>\$250,000 Asset Allocation	Over \$500,000 (Custom Portfolio)
Score Ranges	√					
0-25		Income	M1	ETF30	Spectrum	-
26-45		Conservative	M1	ETF60	Spectrum	-
46-70		Moderate	M2	ETF70	Spectrum	Legacy Growth
71-85		Growth	M2	ETF85	Spectrum	Legacy Growth
86-100		Aggressive	M3	CIRRUS	Spectrum	Cirrus ETF

I certify that the responses given here accurately reflect my current financial circumstances, goals and attitudes as of the date indicated below. I acknowledge that if any of my responses are incomplete or inaccurate, or if I omitted any responses, that these might materially impair the ability of the undersigned to properly represent my interests and provide helpful advice and implement effective financial strategies. I assume full responsibility for any errors or omissions that result from inaccurate or incomplete information I may have provided. I will inform Tudor Financial, Inc. in writing of any changes in my circumstances that might require a change in my investment strategies. I understand that I can revise my risk orientation by completing and signing a new questionnaire. Tudor Financial, Inc. cannot be responsible for positions held outside their model portfolios.

Section Seven

X

\_\_\_\_\_  
Client Signature Date

X

\_\_\_\_\_  
Client Signature Date

\_\_\_\_\_  
Principal Tudor Financial, Inc. Date

\_\_\_\_\_  
Investment Advisor Date