TD Ameritrade / thinkorswim Advisory
Customer Financial Profile
For joint accounts, provide combined information

Account Title ____

Account # ___________________________

Annual Income *From all sources*
( ) Under $25,000
( ) $25,001 - $50,000
( ) $50,001 - $100,000
( ) Over $100,000
( ) $ ________________

Estimated Net Worth *Excluding primary residence*
( ) Under $50,000
( ) $50,001 - $100,000
( ) $100,001 - $500,000
( ) Over $500,000
( ) $_________________

Investable/Liquid Assets *Including cash and securities*
( ) Under $50,000
( ) $50,001 - $100,000
( ) $100,001 - $500,000
( ) Over $500,000
( ) $ ________________

Account Funding Source
( ) Asset appreciation
( ) Business revenue
( ) Inheritance
( ) Legal/insurance settlement
( ) Sale of assets
( ) Savings from earnings
( ) Other:______________________

Federal Tax Bracket
( ) 15% or below
( ) 16%-28%
( ) Over 28%

General Investment Knowledge
( ) Limited
( ) Good
( ) Extensive

Investment Product Knowledge
Please enter the account holder's level of knowledge in each of the following:

	None	Limited	Good	Extensive
Stocks	( )	( )	( )	( )
Bonds	( )	( )	( )	( )
Mutual Funds	( )	( )	( )	( )
Options	( )	( )	( )	( )
Variable Contracts	( )	( )	( )	( )
Limited Partnerships	( )	( )	( )	( )

Risk Tolerance
( ) Conservative
( ) Moderate
( ) Aggressive
( ) Combination ______________________

Investment Time Horizon
( ) Short (0-5 years)
( ) Intermediate (6-10 years)
( ) Long (over 10 years)
( ) Combination ______________________

Investment Objectives Rank investment objectives in order of importance (1 being the highest).
( ) Preservation of capital
( ) Income
( ) Capital appreciation
( ) Other ______________________

Information collected by:
( ) Client Interview
( ) Client completed – please sign below

Customer Name(s) ____

Customer Signature ________________________________

Joint Customer Signature ____________________________

Advisor Name ________________________________

Advisor Signature ________________________________

Date ______________________