



Sarasota Capital Strategies, Inc.
Registered Investment Advisor

Confidential Client Questionnaire

Account Holder			Date of Birth ____/____/____	Social Security or Tax I.D. No.
Account Co-Owner			Date of Birth ____/____/____	Social Security No.
Mailing Address			Number of Dependents (excluding spouse) <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4+ <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non U.S. Resident Alien	
City	State	Zip	Home Phone () --	
Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated			Business Phone () --	
Is Co-Owner the spouse of the account owner? <input type="checkbox"/> Yes <input type="checkbox"/> No			Cellular Phone () --	
			E-mail Address	

Check here if you are affiliated with or employed by a stock exchange or member firm of an exchange or the NASD and/or municipal securities broker-dealer <input type="checkbox"/>	Check here if you are a director, a person collectively owning 10% or more, or policy making executive officer of a publicly traded company? <input type="checkbox"/>		
Account Holder	Account Co-Owner		
Employer	Number of Years	Employer	Number of Years
Business Address		Business Address	
Current Title or Prior Occupation if Retired		Current Title or Prior Occupation if Retired	

You expect the source of your investments to be from:

- Personal Savings Current Earnings Inheritance Retirement Funds Real Estate Current Brokerage Acct.

Combined Annual Income	Total Net Worth (excluding primary residence)	Liquid Net Worth (can convert to cash)	Estimated Tax Rate	Portfolio Time Horizon	What kind of investor are you?
<input type="checkbox"/> Below - \$25,000	<input type="checkbox"/> Below - \$250,000	<input type="checkbox"/> Below - \$250,000	<input type="checkbox"/> 0 - 15%	<input type="checkbox"/> Short Term	<input type="checkbox"/> Conservative
<input type="checkbox"/> \$25,000 - \$50,000	<input type="checkbox"/> \$250,000 - \$500,000	<input type="checkbox"/> \$250,000 - \$500,000	<input type="checkbox"/> 16 - 27.5%	<input type="checkbox"/> Intermediate	<input type="checkbox"/> Moderate
<input type="checkbox"/> \$50,000 - \$100,000	<input type="checkbox"/> \$500,000 - \$1 million	<input type="checkbox"/> \$500,000 - \$1 million	<input type="checkbox"/> Over 27.5%	<input type="checkbox"/> Long Term	<input type="checkbox"/> Aggressive
<input type="checkbox"/> \$100,000 & Above	<input type="checkbox"/> \$1 million & Above	<input type="checkbox"/> \$1 million & Above	<input type="checkbox"/> Exempt	<input type="checkbox"/> Estate	<input type="checkbox"/> Combination

Mark Your Previous Investment Experience Below {Acct. Hldr has been investing since _____ (year)}				Investment Experience	Approximate No. Of Annual Transactions
<input type="checkbox"/> None	<input type="checkbox"/> Mutual Funds	<input type="checkbox"/> ETFs	<input type="checkbox"/> Variable Annuities	<input type="checkbox"/> Limited	<input type="checkbox"/> Seldom (0-3)
<input type="checkbox"/> Stocks	<input type="checkbox"/> Options	<input type="checkbox"/> CEFs	<input type="checkbox"/> Fixed Annuities	<input type="checkbox"/> Good	<input type="checkbox"/> Moderate (5-9)
<input type="checkbox"/> Bonds	<input type="checkbox"/> Penny Stocks	<input type="checkbox"/> 401K	<input type="checkbox"/> Limited Partnerships	<input type="checkbox"/> Extensive	<input type="checkbox"/> Active (10-19)
<input type="checkbox"/> CDs	<input type="checkbox"/> Prvt. Plcmt.	<input type="checkbox"/> Real Estate	<input type="checkbox"/> Gov't Securities	<input type="checkbox"/> Professional Trader	<input type="checkbox"/> Very Active (20+)

Your investment objective summarizes the primary purpose of your account with us. It serves to define how assets should be managed. While asking yourself **"What do I want most to accomplish?"**, select the objective that best fits the purpose of **your account with us**. Please rank your investment objective for your account(s) in order of importance from highest to lowest. **(Highest = 1 & Lowest = 8)**

____: Active Trading	____: Capital Appreciation	____: Tax Advantage Strategies
____: Generate High Current Income	____: Asset Growth with Moderate Current Income	____: Strong Asset Growth with Nominal Income
____: Speculation	____: Principal Protection	

Respond to each of the following statements, indicating whether you agree (A), or disagree (D).

Immediately after you invest in the stock market, the market begins a downswing. Your investment has lost 10% of its original value in one month.	Account Holder	Account Co-Owner
The best thing to do is sell now and cut your losses.	A D	A D
This is a good time to buy more -- if it looked good then it's better now.	A D	A D
I wouldn't be overly worried. I would wait for the market to head back up.	A D	A D

You have invested cautiously in a utility fund that is providing you a total return of about 9% a year over the past five years. Your neighbor is in an aggressive growth fund that doubled in value last year. How does that make you feel?	Account Holder	Account Co-Owner
Good, I am pleased with my return.	A D	A D
Disappointed that I am not getting a better rate of return; I am willing to sell my fund to buy a more aggressive growth fund.	A D	A D

How well do the following statements describe you as an investor?	Account Holder	Account Co-Owner
I feel the stock market is too volatile for long-term investing.	A D	A D
Over the long-term, I feel the stock market provides a better rate of return than bonds or bank CDs.	A D	A D
I am willing to accept below-average returns as long as my principal is safe.	A D	A D
I am more likely to buy an A-rated corporate bond that yields 9% than an AAA-rated bond that yields 7%.	A D	A D
I tend to follow the market and actively trade for quick profits even though that sometimes means taking a loss.	A D	A D
I have the emotional ability to withstand investment losses.	A D	A D

Please <u>initial next</u> to each statement you agree with.	Account Holder	Account Co-Owner
I have adequate liquid net worth to meet major near-term expenses.		
I do not need to be able to readily convert my investments to cash.		
I am willing to hold investment positions over a reasonably short period of time.		
My major source of income is currently adequate and predictable.		

Direct questions or comments you may have.

Our approach to personal financial planning is to obtain from our Clients significant financial and other information including your attitudes, goals, and objectives; to analyze the information obtained in order to develop alternatives for your consideration; to educate our clients about the implications of selecting a particular alternative; to implement the alternative; and to periodically update the plan adopted. It is our goal to become your trusted financial advisor and to coordinate the efforts of your other advisors in your best interests. We want you to be educated about your own financial affairs and to take an active role in managing them. This engagement is generally limited in scope to our firm's strategies only. Other types of personal financial planning and consultation services are available but may not necessarily be performed by us, unless they directly affect your financial plan, and you give us your express written permission prior to performing such additional services. Additionally, we are licensed to sell life, health, disability and annuity insurance products through affiliated insurance companies. Please remember to contact Sarasota Capital Strategies, Inc. immediately if there are any changes in your personal/financial situation or investment objectives or if you would like to convey, amend, or to adjust any reasonable restrictions to Sarasota Capital Strategies, Inc.'s investment advisory services. Information pertaining to our operations, services, and fees is set forth in our current disclosure statement. A copy of which is available upon request. This is neither an offer to buy or sell any securities No tax or legal advice is given nor intended. By industry regulation, we cannot accept orders to execute trades via e-mail. In addition, by corporate policy we cannot accept time-sensitive information via e-mail. If you would like to execute a trade or if you have time-sensitive information for Sarasota Capital Strategies, Inc., please call our office. We cannot guarantee receipt of, nor the timing of placement, for investment orders received via e-mail.

Signature

Date

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Date