WADDELL & REED PROFILE WORKSHEET

Use all sections of this form to provide information required to establish your relationship with Waddell & Reed. You will need to complete additional paperwork to open your accounts with us.

Client 1

Legal Name: _____

SSN/TIN: ☐☐☐☐☐☐☐☐☐

Date of Birth: ☐☐ / ☐☐ / ☐☐☐☐

Marital Status ☐ Married ☐ Single ☐ Widowed ☐ Domestic Partner

# of Dependents ☐ 0 ☐ 1 ☐ 2 ☐ 3 ☐ 4+

PHYSICAL ADDRESS:

Street (P.O. Box not accepted)

City State Zip Code

MAILING ADDRESS (if different from Physical Address):

Street/P.O. Box

City State Zip Code

Home Phone #: ☐☐☐ – ☐☐☐ – ☐☐☐☐

Cell Phone #: (Optional) ☐☐☐ – ☐☐☐ – ☐☐☐☐

A. EMPLOYMENT INFORMATION

Employment Status: ☐ Employed ☐ Homemaker ☐ Retired ☐ Self-Employed ☐ Student ☐ Unemployed

Occupation

Employer's Name

Employer's Address

City State Zip Code

B. FINANCIAL INFORMATION

1. Annual Income: (Household)

Employment Income: $ _____

Other Income: $ _____

2. Federal Tax Bracket: *Select **ONE***

☐ 0-15% ☐ 16-25% ☐ 26-28% ☐ 29-33% ☐ 34% or higher

Client 2

Legal Name: _____

SSN/TIN: ☐☐☐☐☐☐☐☐☐

Date of Birth: ☐☐ / ☐☐ / ☐☐☐☐

Marital Status ☐ Married ☐ Single ☐ Widowed ☐ Domestic Partner

# of Dependents ☐ 0 ☐ 1 ☐ 2 ☐ 3 ☐ 4+

PHYSICAL ADDRESS: ☐ Same as primary account holder

Street (P.O. Box not accepted)

City State Zip Code

MAILING ADDRESS (if different from Physical Address):

Street/P.O. Box

City State Zip Code

Home Phone #: ☐☐☐ – ☐☐☐ – ☐☐☐☐

Cell Phone #: (Optional) ☐☐☐ – ☐☐☐ – ☐☐☐☐

A. EMPLOYMENT INFORMATION

Employment Status: ☐ Employed ☐ Homemaker ☐ Retired ☐ Self-Employed ☐ Student ☐ Unemployed

Occupation

Employer's Name

Employer's Address

City State Zip Code

B. FINANCIAL INFORMATION

☐ Financial information same as primary account holder

1. Annual Income: (Household)

Employment Income: $ _____

Other Income: $ _____

2. Federal Tax Bracket: *Select **ONE***

☐ 0-15% ☐ 16-25% ☐ 26-28% ☐ 29-33% ☐ 34% or higher

Client 1

Client 2

B. FINANCIAL INFORMATION *(continued)*

3. Net Worth: (Household) *Select **ONE***

☐ $0 - $10,000	☐ $100,001 - $250,000
☐ $10,001 - $25,000	☐ $250,001 - $500,000
☐ $25,001 - $50,000	☐ $500,001 - $1,000,000
☐ $50,001 - $100,000	☐ $1,000,001 +

4. Liquid Net Worth: (Household) *Select **ONE***

☐ $0 - $10,000	☐ $100,001 - $250,000
☐ $10,001 - $25,000	☐ $250,001 - $500,000
☐ $25,001- $50,000	☐ $500,001 - $1,000,000
☐ $50,001 - $100,000	☐ $1,000,001 +

C. Investment Knowledge

Investment Type	Investment Experience		
	Limited	Moderate	Extensive
Annuities - Fixed	☐	☐	☐
Annuities - Variable	☐	☐	☐
Equities	☐	☐	☐
Fixed Income	☐	☐	☐
Mutual Funds	☐	☐	☐
Options	☐	☐	☐
Real Estate (excluding primary residence)	☐	☐	☐
Savings/CDs/Cash Equivalents	☐	☐	☐
Unit Investment Trusts	☐	☐	☐

D. CURRENT INVESTMENT HOLDINGS (Household)

Annuities - Fixed $ _____

Annuities - Variable $ _____

Equities $ _____

Fixed Income $ _____

Mutual Fund $ _____

Real Estate (excluding primary residence) $ _____

Unit Investment Trusts $ _____

E. BENEFICIARY INFORMATION

Choose one ☐ Primary ☐ Contingent

Name: _____

Social Security or Tax ID: _____

Date of Birth: _____

Relationship: _____ _____%

Choose one ☐ Primary ☐ Contingent

Name: _____

Social Security or Tax ID: _____

Date of Birth: _____

Relationship: _____ _____%

Choose one ☐ Primary ☐ Contingent

Name: _____

Social Security or Tax ID: _____

Date of Birth: _____

Relationship: _____ _____%

Choose one ☐ Primary ☐ Contingent

Name: _____

Social Security or Tax ID: _____

Date of Birth: _____

Relationship: _____ _____%

For Advisor Use Only:

Method Data Captured: _____ Date Data Captured: _____ Advisor #/RD: _____