NSI - Confidential Investor Profile

The following information is very important to assure both accurate account records and that we have confirmed your objectives relating to the purpose and management of your account(s). Based on your initial interview and your responses on this Profile, our advisors will recommend a specific asset allocation designed to balance your investment return needs and expectations with your time horizon and risk tolerance. Please contact your Nelson Advisor if you have any questions regarding this form or would like clarification as to the terms used. ***(Client Identification requirements are in accordance with the PATRIOT Act of 2001.)***

General Information

Name: ______________________

Address: ______________________

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SSN: ____________ **DOB:** ____________

Occupation: ______________________

Employer: ______________________

Spouse, If applicable: ______________________

Email: ______________________

By providing my email, I consent to electronic delivery of communications, documents and disclosures. I will contact my financial professional if I decide to opt out.

Primary Phone: ______________________

Additional Phone: ______________________

Please indicated if you are:

- ❑ Licensed as a Registered Rep or Investment Advisor?
- ❑ Associated person of a Broker Dealer?
- ❑ Director/Officer of a publicly traded company?
- ❑ Owner of 5% or more of a publicly traded company?

Account Suitability Information

Annual Household Income:

❑ Under $25,000 ❑ $25,000-$49,999 ❑ $50,000-$99,999 ❑ $100,000-$249,999 ❑ Over $250,000

Total Net Worth:

❑ Under $15,000 ❑ $15,000-$49,999 ❑ $50,000-$99,999 ❑ $100,000-$249,999

❑ $250,000-$499,999 ❑ $500,000-$999,999 ❑ $1,000,000-$1,999,999 ❑ Over $2,000,000

Marginal TaxRate:

❑ 10% ❑ 12% ❑ 22% ❑ 24% ❑ 32% ❑ 35% ❑ 37%

Investment Experience:

❑ None ❑ Limited ❑ Moderate ❑ Extensive

Product Experience:

❑ None ❑ Annuities ❑ Mutual Funds ❑ Stocks/Bonds ❑ Managed Accounts ❑ Financial Publications

Retirement Assets:

- Traditional IRA: $______________
- Roth IRA: $______________
- 401k: $______________
- TSA/TSCA: $______________

Non-Retirement Assets:

- Cash/Savings: $______________
- Investments: $______________
- Real Estate: $______________
- Life Coverage: $______________

Adequate Cash Reserves:

❑ Yes ❑ No

- Total Debt: $______________

General Investment Style:

❑ **Conservative** - Capital preservation and income total return are primary objectives along with low volatility and risk; Modest capital appreciation is a secondary objective.

❑ **Conservative PLUS** – Capital preservation and income total return are primary objectives, along with modest capital appreciation; seeks low to modest volatility and risk.

❑ **Conservative Growth** - Capital preservation, income total return, and modest capital appreciation are primary objectives; seeks low to moderate volatility and risk.

❑ **Moderate-Balanced (Growth & Income)** – Seeks a balance of capital appreciation and income total return as the primary objective. Moderate market volatility and risk is expected.

❑ **Moderate-Aggressive Growth** – Seeks capital appreciation and low to modest income total return potential as the primary objective. Moderate to above-average volatility and risk is expected.

❑ **Aggressive/Speculative** - Speculation and capital appreciation are the primary objectives. Income is not a consideration. High volatility and risk is expected.

To the best of my knowledge and belief, the supplied information above is accurate and a true reflection of my current financial situation and objectives held by Nelson Securities, Inc.

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Client Signature (Officer or Trustee for Corp./Trust) Date

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Joint Signature (if required) Date

(Please keep a copy for your records)

Principal Initials: __________