**Instructions for Suitability Form**

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**Account Ownership Information -**

This is your basic information. Name, address, date of birth, etc. Please note, we are happy to mail to a P.O. Box but are required by law to have your physical street address as well. If you have not been a citizen of the United States since birth, be sure to complete the citizenship at birth section. If you have dual citizenship, be sure to complete that section as well. Please note that providing an email address is not required, but doing so will allow us to send email communications versus regular mail.

For the ID section, we must know the ID number, issuer date, expiration date, and state/country it was issued by.

If you are retired, please put that under occupation. Otherwise, please add your occupation and employer’s name (and address if you have it) to the form.

If there is a joint owner on the account, please have them put all their information on the right side of the Account Form. If this is a trust account, the trust information goes on the left with the trustee’s information on the right.

**Additional Owners -**

If there are more than two owners on the account, this section should also be completed.

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**Additional Client Information** -

Are you or is an immediate family member employed by a Broker/Dealer other than Investment Planners, Inc.? If not, please answer no to the first question.

Are you or a family member a control person of any publicly traded stock? If not, please answer no.

How long have you been investing and how long have you known your financial advisor? How many dependents do you have? Also be sure to check all products you are familiar with.

Does anyone else have authorization to trade on your account? If so, we will need to know the third party’s information. If you have a POA, we will need the POA paperwork.

When do you plan on taking the vast majority of your account out of IPI? This should be indicated in the Investment Time Horizon section.

How much do you believe you will be taking from this account on an annual basis? This should be indicated in the Liquidity Needs section.

How long do you generally hold an investment for? This should be indicated in the Typical Investment Holding Period section.

How do you decide what to invest in? This should be indicated in the Investment Decision Making section.

**Other Relevant Information -**

Is there anything else you feel we would benefit from knowing? If so, feel free to add it to this section.

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**Financial Information -**

Please select your range on income, net worth, and liquid net worth. Think of net worth as all assets (not including your house) and liquid net worth as your assets that can be converted into cash quickly and easily. Also select your tax bracket from the listed ranges.

**Investment Objective and Risk Tolerance -**

These go hand-in-hand and are very important for us to know. How tolerant are you of losing a portion of your investment? Would you be ok with watching your account value fluctuate drastically if it could mean a larger return in the end, or would you rather see steady growth? Are you uncomfortable taking on any losses whatsoever? We need to know this information so we can ensure your current investments are still relevant.

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**Part I - Taxpayer Identification Number -**

Verify the name, address, and social security number listed are correct.

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**Certification -**

Please have the primary account owner/trustee sign and date this page.

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**Client Agreement** -

Please read this page; it contains a lot of valuable information.

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**Signatures -**

Please have all parties on the account sign and date this page. If someone is signing on your behalf, please include authorization.