AGATE FINANCIAL SERVICES
NEW ACCOUNT REQUIRED INFORMATION FORM

Name 1:___________________________________SSN: ____________________DOB:_________________

Address:____

Mailing Address: ____

Daytime Phone: ________________ Evening Phone:____________________Cell Phone: ______________

Email:____________________________________ EStatements: Yes No Emails: Yes No

Employer: _________________________ Employer Address:____________________________________

Type of Business:_________________Occupation:____________Title:______________ Yrs of Empl. ____

Driver's License #: ___________________ State: ______ Date of Issue:_________ Exp. Date: __________

US Citizen: Yes No Affiliation with Investment Firm or Company
______Family Member is a Rep. _______ I am a Rep.
Marital Status: _____ Dependants: _____

Name 2:___________________________________SSN: ____________________DOB:_________________

Address:____

Daytime Phone: ________________ Evening Phone:________________Cell Phone:__________________

Email:____________________________________ EStatements: Yes No Emails: Yes No

Employer: ____

Employer Address: ____

Type of Business:_______________________ Occupation:______________________________

Title:________________________ Yrs of Empl. _____

Driver's License #: ___________________ State: _______ Date of Issue:__________ Exp. Date: _________

US Citizen: Yes No Affiliation with Investment Firm or Company
_______Family Member is a Rep. _______ I am a Rep.

Annual Income:		Est. Liquid Net Worth:	
Under $25,000	$200,000 - $399,999	Under $25,000	$200,000 - $499,999
$25,000 - $49,999	$400,000 - $999,999	$25,000 - $49,999	$500,000 - $999,999
$50,000 - $99,999	Over $1,000,000	$50,000 - $99,999	$1,000,000 - $2,499,999
$100,000 - $199,999		$100,000 - $199,999	$Over $2,500,000

Federal/State Max. Tax Margin:	Est. Net Worth:	
Less than 15%	Under $25,000	$200,000 - $499,999
15% - 27%	$25,000 - $49,999	$500,000 - $999,999
28% - 32%	$50,000 - $99,999	$1,000,000 - $2,499,999
33% and above	$100,000 - $199,999	$Over $2,500,000

Investments:

$ ____________Real Estate $ ____________Equities
$ ____________Mutual Funds $ ____________Alt. Investments
$ ____________Checking/Savings $ ____________Bonds
$ ____________Annuities $ ____________Other
$ ____________Insurance

Years of Experience

Annuities_______ Mutual Funds ______
Partnerships ______ Margin __________
Stocks _______ Bonds ________
Options ________ Other:___________

Liquidity Needs: Under 3 years 3-5 years 6-10 years 11-20 years over 20 years

Risk Tolerance: Low Medium High

Time Horizon: 0-5 years 6-10 years over 10

Investment Objectives (1-4): ____Tax Adv. _____Income _____Growth _____Speculation

Type of Account:

Individual	Trust	UGMA/UTMA	529 Plan
JTWROS	Estate	IRA Type ____________	
Tenants in Common	Non-Corp	QP Type _____________	
TOD	Corp.	Other ________________	

I plan to use this account for:

____ Generate income for current and future expenses
____ Partially fund my retirement
____ Wholly Fund my Retirement
____ Steadily accumulate wealth over the long term
____ Preserve wealth and pass it on to my heirs
____ Pay for education
____ Market Speculations
____ Other: __________________________

Portfolio Investment in this Account:

less than 1/3

1/3 to 2/3

more than 2/3

Initial Source of Funds: ____

Beneficiaries:

Name:____________________________Relationship:___________ SSN: _____________ DOB: ________

Address: ____ Percentage: __________

Name:____________________________Relationship:___________ SSN: _____________ DOB: ________

Address: ____ Percentage: __________

Name:____________________________Relationship:___________ SSN: _____________ DOB: ________

Address: ____ Percentage: __________