

RLS FINANCIAL GROUP, INC.
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(W) 203-270-9180 (FAX) 203-270-9185
www.rlsfinancialgroup.com

CLIENT INFORMATION FORM

Name _____ Address _____
SS/Tax ID# _____ DOB _____ M/S _____ US Citizen? _____ ID Type/# _____
Home telephone _____ Work telephone _____ Cell # _____
Email address (Home) _____ Email address (Work) _____
Employer _____ Address _____ Position _____
Bank name _____ Branch address _____ Acct. # _____
Acct. registration _____ Acct. type _____

Spouse/JT Tenant/Minor/Trust/Custodian Information

Name _____ Address _____
SS/Tax ID# _____ DOB _____ M/S _____ US Citizen? _____ ID Type/# _____
Home telephone _____ Work telephone _____ Cell # _____
Email address (Home) _____ Email address (Work) _____
Employer _____ Address _____ Position _____

Financial Information & Objectives

Annual income _____ Net Worth _____ Net Worth excl. Real Estate _____ Liquid Net Worth _____
Tax Bracket Fed./State _____ Investment Objective(s) _____
Cash/Checking/Savings/MM Funds/T-bills \$ _____ Yrs. Exp. _____ Notes _____
CD's/Fixed Ann /Life Ins. Cash Values \$ _____ Yrs. Exp. _____ Notes _____
Bonds T-Bonds/Muni/Corp./Other \$ _____ Yrs. Exp. _____ Notes _____
Stocks/brokerage \$ _____ Yrs. Exp. _____ Notes _____
Variable annuities/Variable Life Ins. \$ _____ Yrs. Exp. _____ Notes _____
Mutual Funds (type) \$ _____ Yrs. Exp. _____ Notes _____
IRA, Roth IRA, Rollover IRA \$ _____ Yrs. Exp. _____ Notes _____
401(k), 403(b), Profit Sharing/DB Plan \$ _____ Yrs. Exp. _____ Notes _____
Inv. Trusts/LP's/Tax Shelters, (type) \$ _____ Yrs. Exp. _____ Notes _____
Real Estate (type) \$ _____ Yrs. Exp. _____ Notes _____
Commodities/Futures/Collectibles/Other \$ _____ Yrs. Exp. _____ Notes _____
TOTAL \$ _____ Yrs. Exp. _____ Notes _____

Power of Attorney

Does anyone hold a Power of Attorney on this account? _____ Name of P.O.A. _____ Type _____
Do you wish to a grant trading authorization to anyone other than yourself? _____
Authorized Person _____ Relationship to Accountholder _____

Affiliations & Acknowledgements

Are you affiliated with or work for a member of a stock exchange or FINRA? _____ Name of firm _____
Are you or an immediate family member, a policy making officer or 10% shareholder of a publicly traded company? _____
Name of company _____
Are you or anyone with an interest in your Account(s), a Politically Exposed Person, a Private Bank or a Foreign Bank? _____
Was this account solicited? _____

I acknowledge that this information is accurate and that I have received a copy.

Investor Signature JT Tenant Signature Date