INDEPENDENT [FINANCIAL] PARTNERS

INVESTMENT ADVISORY AGREEMENT
PART C: CLIENT INFORMATION FORM

CLIENT INFORMATION FORM

(Complete for Charles Schwab, Fidelity, TD Ameritrade, TPAM, & ROBO Accounts)

1. CLIENT IDENTIFICATION: (For joint accounts complete for all joint clients, for trust accounts complete for all trustee(s), for corporations complete for all authorized officers, for partnerships complete for all partners. If you need to add more than three attach another page 1.):

A. Client 1 Registration Information:

Client Name | Tax ID

USA Patriot Act Information (Required by Federal Law):

I am a: ◯ U.S. Citizen ◯ Non- U.S. Citizen – Country:

Document Type:

◯ Passport ◯ Driver's License ◯ State Issued ID ◯ Alien Registration Card (Required for all resident aliens)

Document # | Expiration Date: (mm/dd/yyyy)

Date Issued (mm/dd/yyyy) | State/Country Issued

B. Client 2 Registration Information:

Client Name | Tax ID

USA Patriot Act Information (Required by Federal Law):

I am a: ◯ U.S. Citizen ◯ Non- U.S. Citizen – Country:

Document Type:

◯ Passport ◯ Driver's License ◯ State Issued ID ◯ Alien Registration Card (Required for all resident aliens)

Document # | Expiration Date: (mm/dd/yyyy)

Date Issued (mm/dd/yyyy) | State/Country Issued

C. Client 3 Registration Information:

Client Name | Tax ID

USA Patriot Act Information (Required by Federal Law):

I am a: ◯ U.S. Citizen ◯ Non- U.S. Citizen – Country:

Document Type:

◯ Passport ◯ Driver's License ◯ State Issued ID ◯ Alien Registration Card (Required for all resident aliens)

Document # | Expiration Date: (mm/dd/yyyy)

Date Issued (mm/dd/yyyy) | State/Country Issued

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2. CLIENT FINANCIAL INFORMATION:

A. Estimated Living and Special Expenses.

Estimated Annual Expenses (recurring): $ ☐

Annual recurring expenses include mortgage payments, rent, utilities, car loans, credit card payments, alimony or child support payments and other recurring expenses.

Special Expenses (future, non-recurring): $ ☐

Type of Expense: ☐

Special expenses include a home purchase, remodeling a home, a car purchase, vacation, education, medical and other non-recurring expenses.

Time Frame for Special Expense: ○ 1-3 years ○ 4-7 years ○ 8-10 years ○ 11 or more years

B. Annual Income, Net Assets, & Tax Bracket:

Estimated Annual Income:		Liquid Net Assets:	
Wages/Salary:	$	Estimated Total Assets:	$
Investment Income:	$	Less the value of home, autos, and furnishings:	$
Social Security Income:	$	Less other illiquid assets:	$
Retirement/Pension Income:	$	= Liquid Net Assets**:	$
Other Income: (Specify in box)	$		
= Total Annual Income:	$	**Estimated Federal Tax Bracket:**	%

*** **Liquid Net Assets** is your **Total Assets** less assets that are illiquid and which cannot be readily converted into cash. Illiquid assets include real estate, personal property, business equity, and non-traded investments.*

C. Estimated Number of Years of Investment Experience With The Following:

Investment:	Years:	Investment:	Years:	Investment:	Years:
☐ No Previous Investment Experience		☐ Variable Annuities	☐	☐ Options	☐
☐ Mutual Funds/Exchange Traded Funds	☐	☐ VL/VUL	☐	☐ Real Estate	☐
☐ Stocks (individual)	☐	☐ REITs	☐	☐ Commodities/Futures	☐
☐ Bonds (individual)	☐	☐ LP's/DPP's	☐	☐ Precious Metals	☐
				☐ Other (Specify below):	☐

D. Estimated Value of Investments and Holdings: (<u>**MUST**</u> equal estimated total assets from section 2b):

Investment:	Value:	Investment:	Value:	Investment:	Value:
Cash/Cash Equivalent/CDs:	$	Variable Annuities:	$	Commodities/Futures:	$
Mutual Funds / ETFs:	$	Options:	$	Precious Metals:	$
Stocks (individual):	$	Real Estate: (Excludes Home)	$	Other (Specify below):	$
Bonds (individual):	$	REITs:	$		
Fixed Annuities:	$	LP's/DPP's:	$	**= Total Est. Value:**	**$**

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IMPORTANT: Please note that by signing this Client Information Form, Client acknowledges that he/she/it has received, read, and understands all of the information set forth in the Independent Financial Partners ("IFP") Investment Advisory Agreement (the "Agreement") and hereby accepts its terms and conditions. Any and all additional Client and/or Account information contained on the LPL New Account Form, Outside Custodian and/or TPAM New Account Agreement (as applicable) executed by the Client shall also be deemed part of, and incorporated by reference, in the Agreement. By signing this Client Information Form, Client further acknowledges that he/she/it has received, read, and understands IFP's Privacy Policy and Form ADV Part 2A, and the IAR's Form ADV Part 2B.

CLIENT SIGNATURES:

Client 1 Signature | Date

Client 1 Name Printed

Client 2 Signature | Date

Client 2 Name Printed

Client 3 Signature | Date

Client 3 Name Printed

IAR SIGNATURE:

IAR Signature | Date

IAR Name Printed | Rep ID | Split %

IAR Signature | Date

IAR Name Printed | Rep ID | Split %

IFP SIGNATURE: (Home Office acceptance)

Signature | Date

Name Printed