



**New Client Data Form for Investment Advisory Services**

Advantage Financial Planning, Inc. DBA David R. Kern Asset Management  
 16616 Lima Rd. Huntertown, IN 46748 Phone: 260-637-1019 Fax: 260-637-1373

**Custodian/Fund Company Name:** \_\_\_\_\_  
**Account Type/Product:** (Example: IRA, Roth, N/Q) \_\_\_\_\_  
**Account Number:** \_\_\_\_\_

**Confidential Client Information:**

Account Name/Title : \_\_\_\_\_ JT Owner Name: \_\_\_\_\_  
 Mailing Address: \_\_\_\_\_ Legal Street Address: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_  
 Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_  
 Social Security or Tax ID Number: \_\_\_\_\_ JT Owner SS#: \_\_\_\_\_  
 Date of Birth: \_\_\_\_\_ JT Owner Date Of Birth: \_\_\_\_\_  
 Drivers License Number and State Where Licensed : # \_\_\_\_\_ State: \_\_\_\_\_  
 Marital Status: Married \_\_\_\_\_ Single \_\_\_\_\_ Divorced \_\_\_\_\_ Widow(er) \_\_\_\_\_  
 Employed By: \_\_\_\_\_ JT Owner Employed By: \_\_\_\_\_  
 Employed By Above How Long? \_\_\_\_\_ Employed By Above How Long? \_\_\_\_\_  
 Occupation: \_\_\_\_\_ JT Owner Occupation: \_\_\_\_\_

**Suitability:**

Annual Income:	Net Worth: Exclude Primary Residence	Liquid Assets:	Tax Bracket:
___ Under \$25,000	___ Under \$50,000	___ Under \$50,000	___ 15%
___ \$25,000 to \$49,999	___ \$50,000 to \$99,999	___ \$50,000 to \$99,999	___ 28%
___ \$50,000 to \$99,999	___ \$100,000 to 499,999	___ \$100,000 to 499,999	___ 31%
___ Over \$100,000	___ Over \$500,000	___ Over \$500,000	___ Over 31%
___ Over \$200,000	___ Over \$1,000,000.00	___ Over \$1,000,000.00	

<b>Investment Objectives for this program:</b> ___ Tax Advantage    ___ Growth & Income ___ Safety of Principal    ___ Growth ___ Income    ___ Speculation	<b>Risk Level:</b> ___ High    ___ Low ___ Medium	<b>Investment Experience: (indicate years)</b> ___ Mutual Funds    ___ Partnerships ___ Stocks/Bonds    ___ Options ___ VA/VUL
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Are you or the joint owner an employee of this firm?    \_\_\_ No    \_\_\_ Yes  
 Are you or the joint owner related to an employee of this firm?    \_\_\_ No    \_\_\_ Yes  
 Are you or the joint owner a senior officer, director or large shareholder of a public Company?    \_\_\_ No    \_\_\_ Yes If Yes, what company? \_\_\_\_\_  
 Are you, the joint owner, or member of your family affiliated with or employed by a member of a stock exchange or the National Association of Securities Dealers?    \_\_\_ No    \_\_\_ Yes If Yes, what affiliation? \_\_\_\_\_

By signing below, I represent that the information on this form is accurate and that I will notify you in writing immediately if any change is required to the information. I have received, read, understand, and agree to abide by all the terms and conditions of the asset management agreement provided to me by David R. Kern Asset Management and Advantage Financial Planning, Inc. **I further understand that the asset management agreement contains a binding arbitration clause and other provisions that substantially affect my rights. I understand that by signing below I will be giving limited discretion of this account to David R. Kern Asset Management, and I am in receipt of privacy policy.**

**Client Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Joint Account Owner Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Investment Advisor Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_