

CONFIDENTIAL QUESTIONNAIRE

Important Information About Procedures for Opening a New Account

To help the government fight the funding of terrorism and money laundering activities, Paradigm Financial Advisors, L.L.C. is implementing procedures to obtain, verify, and record information that identifies each person who opens an account. **What this means for you:** When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We will also ask to see your driver's license or other identifying documents.

PERSONAL	CLIENT	SPOUSE
Name		
Social Security Number		
Date of Birth		
Health Status		
Citizenship		
Home Street Address		
City, State ZIP		
Home Telephone		
Home Fax		
Cellular Phone		
Personal E-mail Address		
Copy of Driver's License Provided		
Best Method to Contact You		

EMPLOYMENT	CLIENT	SPOUSE
Employer		
Year Employment Began		
Business/Occupation		
Business Street Address		
City, State ZIP		
Business Telephone		
Business Fax		
Business E-mail Address		
Assistant's Name		
Assistant's Telephone		

CHILDREN & OTHER DEPENDENTS

Name	Address	Date of Birth	Social Security Number	Dependent for Support?	Marital Status

ASSETS

Cash Equivalent

Checking & Savings Accounts	\$ _____
Money Market Accounts	\$ _____
Certificates of Deposit	\$ _____
Life Insurance Cash Value	\$ _____

Stocks/Bonds/Mutual Funds

Attach separate statement or list accounts
(Individual/Joint/Trust)

\$ _____
\$ _____

Retirement Plans

IRA Account	\$ _____
Pension Plan	\$ _____
401K or Thrift Plan	\$ _____
Tax Sheltered Annuity	\$ _____
Deferred Compensation	\$ _____
ESOP or Stock Option Plan	\$ _____

Real Estate

Home	\$ _____
Other Real Estate	\$ _____

Business Interest

\$ _____

Other Assets

Auto	\$ _____
Gold or Precious Metals	\$ _____
Jewelry/Fur/Antiques	\$ _____
Coin/Stamp/Other Collections	\$ _____

Total Assets \$ _____

To make our first meeting more effective, please bring the following documents to your initial meeting:

- Most recent brokerage/investment statements
- Most recent tax return(s)
- Most recent 401k/IRA/retirement plan statement(s)
- Social Security Benefits Statement (or obtain from www.ssa.gov)

LIABILITIES

Home Mortgage \$ _____

Home Equity Line of Credit \$ _____

Auto Loans/Leases \$ _____

Business Loan \$ _____

Credit Cards \$ _____

Other Personal Debit \$ _____

Total Liabilities \$ _____

Net Worth

(Assets minus Liabilities) _____

FINANCIAL PLANNING PRIORITIES

In order of importance, what are your three most critical issues?

1. _____
2. _____
3. _____

Do you have life insurance? _____

Do you have long-term care insurance? _____

Do you have disability insurance? _____

Do you have Wills/Trust/Power of Attorney? _____

How did you hear about Paradigm Financial Advisors?

RISK TOLERANCE QUESTIONNAIRE

Please answer the following questions regarding your investment attitudes:

1. Investment attitude

Conservative Moderate Aggressive Speculative

2. How much of a decline in the value of your portfolio in a calendar year are you willing to accept to achieve your long-term return goals? (*Circle one.*)

-5% -10% -15% -20% -25%

3. Your investment portfolio should be structured to meet your financial objectives over a period of:
 1 to 3 years 3 to 5 years 5 to 10 years 10 to 15 years 15 years or longer

4. Please indicate which one of the following statements best represents your long-term investment attitude:

I am willing to accept a decline in my portfolio equal to the declines in the market.

I am willing to accept a decline in my portfolio greater than the declines in the market.

I am willing to accept lower returns to reduce declines in my portfolio.

5. How comfortable are you investing in (*please mark appropriate box*):

	Very comfortable	Somewhat comfortable	Somewhat uncomfortable	Very uncomfortable	Unsure
a) Bonds					
b) Stocks					
c) International investments					
d) Mutual funds					

Are there any reasonable restrictions that you desire to impose on your investment management services?

No Restrictions Investment Restrictions

CASH FLOW

CURRENT ANNUAL SOURCES OF CASH

	CLIENT	SPOUSE
Salary		
Bonus		
Self-Employment (Business) Income		
Pension		
Social Security		
Other Sources (specify): _____		

What change in your employment income do you expect in the next five years (i.e. annual rate of increase; absolute amounts of increase (decrease); irregular changes, etc.)? Please comment:

Client: _____

Spouse: _____

Do you expect to receive substantial gift or inheritances? [] Yes [] No

If yes, describe terms and estimated timing and amount: _____

Do you have an expectation for the rate of inflation for the next five years? [] Yes [] No

If so, what percent? _____ %