



Direct Investment Suitability Form

(For investments not held at Vision Financial Markets)

New Account Information

Mutual Fund Real Estate Investment Trust Separately Managed Account

Other: _____

Specific Product Name _____

Dollar Amount of Investment _____

Name of Company _____

Objective/ Strategy _____

If separately managed account, what types of investments are they using (i.e. stocks, mutual funds, ETF, etc.)?

Personal Information for Primary Account Holder

Name _____

Social Security Number _____

Residence Address (Street Address - No P.O. Boxes Allowed) _____

() _____
Phone Number

_____ Date of Birth (MM/DD/YYYY)

City _____ State _____ Zip Code _____

_____ @ _____
E-mail Address

Required Under Vision's Anti-Money Laundering Policy

Check one: U.S. Citizen Resident Alien Non-Resident Alien

Your Country of Citizenship _____

Drivers License #, Passport # or Alien Identification Card # (if applicable) _____

Source of investable funds: Employment Inheritance Savings Other (Please Specify): _____

Please include a photocopy (enlarged if possible) of your current passport, drivers license or other government issued document bearing a photograph and including a signature when returning this application. Non-U.S. citizens must provide a copy of their passport.

I am I am not a current or former senior official of a foreign government or political party, or senior executive of a foreign government-owned commercial enterprise, or a family member or close associate of such person.

Personal Information for Additional Account Holder

Name _____

Social Security Number _____

Residence Address (Street Address - No P.O. Boxes Allowed) _____

() _____
Phone Number

_____ Date of Birth (MM/DD/YYYY)

City _____ State _____ Zip Code _____

_____ @ _____
E-mail Address



Required Under Vision's Anti-Money Laundering Policy (Additional Account Holder)

Check one: U.S. Citizen Resident Alien Non-Resident Alien

Your Country of Citizenship

Drivers License #, Passport # or Alien Identification Card # (if applicable)

Source of investable funds: Employment Inheritance Savings Other (Please Specify): _____

Please include a photocopy (enlarged if possible) of your current passport, drivers license or other government issued document bearing a photograph and including a signature when returning this application. Non-U.S. citizens must provide a copy of their passport.

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Financial Information

(For joint accounts please provide combined information and for custodial accounts please provide the financial information and investment experience of the custodian)

Annual Income from All Sources in U.S. Dollars:

Liquid Net Worth in U.S. Dollars: Exclude the value of your real estate and other illiquid assets:

Total Net Worth of All Assets in U.S. Dollars: Total assets minus total liabilities:

Are you an "Accredited Investor?" Yes No

An Accredited Investor is a person whose individual net worth, or joint net worth with a spouse, is over \$1 million or who had an individual income in excess of \$200,000 in each of the two most recent years, or joint income with a spouse in excess of \$300,000 in each of those years and reasonably expects to reach the same income level in the current year.

Are you a "Qualified Client?" Yes No

A Qualified Client is a person who has at least \$1,100,000 under management with an SEC registered investment advisor or individual net worth in excess of \$2,200,000.

Investment Experience

How many years experience do you have investing in the following areas?

	None	Less than 1 year	1-5 yrs.	6-10 yrs.	10+ yrs.
Stocks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	None	Less than 1 year	1-5 yrs.	6-10 yrs.	10+ yrs.
Short Sales	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commodities/ Futures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Investment Profile

Investment Objectives*:

- ___ Preservation of Capital
- ___ Income
- ___ Capital Appreciation
- ___ Speculation

Time Horizon (Check one):

- ___ Short-Term (less than 5 years)
- ___ Intermediate (5 - 10 years)
- ___ Long-Term (greater than 10 years)

Risk Tolerance (Check one):

- ___ Conservative
- ___ Moderate
- ___ Aggressive
- ___ Speculative

*Rank the investment objectives for this account in order of importance to you from 1 to 4, with 1 being the most important. Please review Vision's Description of Investment Objectives below.

Name of companies where you have had securities accounts in the last 5 years:

Description of Investment Objectives

Preservation of Capital: An investment objective of Preservation of Capital indicates you seek to maintain the principal value of your investments and are interested in investments that have historically demonstrated a very low degree of risk of loss of principal value.

Income: An investment objective of Income indicates you seek to generate income from investments and are interested in investments that have historically demonstrated a low degree of risk of loss of principal value.

Capital Appreciation: An investment objective of Capital Appreciation indicates you seek to grow the principal value of your investments over time and are willing to invest in securities that have historically demonstrated a moderate to above average degree of risk of loss of principal value to pursue this objective.

Speculation: An investment objective of Speculation indicates you seek a significant increase in the principal value of your investments and are willing to accept a corresponding greater degree of risk by investing in securities that have historically demonstrated a high degree of risk of loss of principal value to pursue this objective. You may seek to take advantage of short-term trading opportunities, which may involve establishing and liquidating positions quickly.

PLEASE SIGN BELOW

Print Your Name (Account Holder, Trustee, Custodian or Executor)

X

Your Signature

Date

Print Name of Additional Account Holder

X

Additional Account Holder Signature

Date

Please provide name and signature of any additional individual associated with this account (such as a joint owner, authorized individual, administrator, trustee, partner or participant).

For Broker/Dealer Use Only

Vision account Yes No If yes, please list account number _____

Registered Representative / Investment Advisor Representative
Name and Number (If Applicable)

X

Signature

Date

Office Manager / Principal Name

X

Signature

Date