

I WOULD LIKE A FREE CONSULTATION WITH AN ADVISOR

Client

Name _____

Address _____

City _____ State _____ Zip Code _____

Phone _____ Email _____

Employer _____ Title _____

Annual Gross Income \$ _____ Martial Status _____

Client 2

Name _____

Address _____

City _____ State _____ Zip Code _____

Phone _____ Email _____

Employer _____ Title _____

Annual Gross Income \$ _____ Martial Status _____

Dependent Children

Name _____ DOB _____ Sex _____ Relation to
Client _____

Name _____ DOB _____ Sex _____ Relation to
Client _____

Name _____ DOB _____ Sex _____ Relation to
Client _____

Name _____ DOB _____ Sex _____ Relation to
Client _____

Name _____ DOB _____ Sex _____ Relation to
Client _____

Name _____ DOB _____ Sex _____ Relation to
Client _____

Name _____ DOB _____ Sex _____ Relation to
Client _____

MY INTERESTS

- ☐ Retirement
- ☐ Financial Management
- ☐ Investment Options
- ☐ Financial Independence
- ☐ Tax Advantage
- ☐ College Funds
- ☐ Business Development
- ☐ Emergency Funds
- ☐ Term Life Insurance
- ☐ Universal Life Insurance
- ☐ Whole Life Insurance
- ☐ Survivorship Life Insurance
- ☐ Supplemental Short Term Disability Insurance
- ☐ Supplemental Long Term Care Insurance (LTCI)
- ☐ Supplemental Critical Illness Insurance
- ☐ Supplemental Dental Insurance
- ☐ Supplemental Vision Insurance
- ☐ Supplemental Cancer Insurance
- ☐ Supplemental Accidental Insurance
- ☐ Supplemental Hospital insurance
- ☐ Sick Leave Insurance

BROKER DISCLOSURE STATEMENT

This Broker Disclosure Statement ("Statement") is made between the undersigned customer ("Customer") and [Broker's Name] ("Broker"). By signing below, the Customer acknowledges and agrees to the terms outlined in this Statement.

1. Consent to Share Information

The Customer expressly authorizes and consents to the Broker sharing the Customer's personal and financial information with the Broker's business partners, affiliates, and constituents as necessary for the purpose of facilitating services, referrals, and related business activities. The Broker will take reasonable measures to ensure that any shared information is handled in accordance with applicable privacy laws and regulations.

2. No Investment Advisory Services

The Broker is not a licensed investment advisor and does not provide investment advice, financial planning, or recommendations regarding securities, stocks, bonds, or any other financial instruments. The information provided by the Broker is strictly for informational purposes and should not be construed as investment advice.

3. Referral to Licensed Advisors

The Broker may refer the Customer to licensed investment advisors or financial professionals for assistance with investment decisions. The Customer acknowledges that any engagement with such licensed professionals is at their own discretion and risk. The Broker bears no responsibility for any advice, recommendations, or actions taken by the referred professionals.

4. Limitation of Liability

The Customer agrees that the Broker shall not be held liable for any financial decisions made by the Customer, nor for any losses, damages, or consequences arising from referrals or information provided. The Customer is encouraged to seek independent professional advice before making any investment decisions.

By signing below, the Customer acknowledges that they have read, understood, and agreed to the terms of this Broker Disclosure Statement.

Customer Name: _____ Customer Signature: _____

Date: _____

Broker Name: _____ Broker Signature: _____

Date: _____