

Investor Profile – Joint Account

At SunSage Capital, we prioritize understanding our clients' needs to ensure responsible and suitable investment choices. Your unique Investor Profile, encompassing investment objectives, financial situation, and risk preferences, guides us in tailoring our approach to your requirements. To streamline this process, you can complete the Investor Profile below on behalf of yourself and joint account holder. Alternatively, if you prefer a phone conversation, please reach out to us at (214) 809-9606 or by email kohl@sunsage.com.

1A. Contact Details & Employment (Individual A)

Full, Legal Name: _____
Email: _____
Mobile Phone: _____
Employment Status: _____
Occupation: _____

Social Security Number (SSN): ____-____-____
Date of Birth (DOB): ____/____/____

Mailing Address:

Legal Address:

1B. Contact Details & Employment (Individual B)

Full, Legal Name: _____
Email: _____
Mobile Phone: _____
Employment Status: _____
Occupation: _____

Social Security Number (SSN): ____-____-____
Date of Birth (DOB): ____/____/____

2. Combined Income

What is your Total Current Combined Annual Income?

Your Total Current Annual Income would include both earned income (Example: Salary) and passive income (Example: Trust Income) sources.

- A. Under \$75K
- B. Between \$75K and \$150K
- C. Between \$150K and \$300K
- D. Over \$300K

ANSWER (A,B,C, or D): _____

3. Combined Net Worth

What is your Total Current Combined Net Worth?

Your Total Current Net Worth would include both liquid (Example: Brokerage Accounts) and tangible assets (Example: House).

- A. Under \$120K
- B. Between \$120K and \$750K
- C. Between \$750K and \$1.5M
- D. Over \$1.5M

ANSWER (A,B,C, or D): _____

4. Combined Liquid Assets

What is your Total Current Combined Liquid Assets?

Your Total Current Liquid Assets are those items that cash equivalents or can be quickly and easily be converted into cash. Use the following formula: Liquid Assets = Cash + Securities - Short Term Debt.

- A. Under \$60K
- B. Between \$60K and \$375K
- C. Between \$375K and \$750K
- D. Over \$750K

ANSWER (A,B,C, or D): _____

5. Investment Horizon

How long do you both plan on investing your money?

- A. Very Short Term - We are looking to invest for the next 2 years.
- B. Short Term - We are looking to invest over the next 3 to 5 years.
- C. Medium Term - We are looking to invest over the next 6 to 9 years.
- D. Long Term - We are looking to invest over the next 10 plus years.

ANSWER (A,B,C, or D): _____

6. Risk Tolerance

How much risk are you both comfortable taking?

- A. High Risk - We are prepared to experience extreme fluctuations in our investment's value and risk substantial losses for the opportunity to earn exceptional returns (Seeking Returns in Excess of 12.0 Percent).
- B. Medium Risk - We are prepared to experience large fluctuations in our investment's value and risk significant losses for the opportunity to earn market returns (Seeking Returns from 5.0 to 12.0 Percent).
- C. Low Risk - We are prepared to experience small fluctuations in our investment's value and risk small losses for the opportunity to earn small returns (Seeking Returns from 1.5 to 5.0 Percent).
- D. Very Low Risk - We can not loose much of our investment's value and will therefore seek a very low return that might not keep up with inflation (Seeking Returns from 0.0 to 1.5 Percent).

ANSWER (A,B,C, or D): _____

7. Investment Objective

Do either of you have an immediate need for income or cash from your investments?

- A. No Income Stream Required - Currently, we do not require cash or income and seek to grow our investments.
- B. Normal Income Stream Required - We need income and seek to earn a small income stream (Under 3 Percent) on an annual basis from our investments.
- C. High Income Stream Required - We need income and seek to earn a large income stream (Between 3 and 6 Percent) on an annual basis from our investments.
- D. Partial Liquidation Anticipated - We anticipate needing cash in the near future and will likely need to liquidate up to 50 Percent of our investments over the next few years.

ANSWER (A,B,C, or D): _____

8. Special Issues, Instructions, or Requests

Please describe any special issues, instructions, or requests, that either of you feel would help us to better understand how you might want your assets invested moving forward.

RESPONSE (Optional):

9. Investment Risk

Do you understand the following statements about the risks associated with investing?

- I. Investing is risky and could result in the loss of my investment principal.
- II. Investing becomes increasingly risky as I shorten my investment horizon.
- III. Investing becomes increasingly risky as I seek higher returns.
- IV. Investing becomes increasingly risky as I utilize leverage.

A. Yes

B. No

ANSWER (A or B): _____

10. Client Acknowledgment

I have received and reviewed the 'Investor Advisory Agreement' and 'Form ADV Part IIA Brochure' attached to this Investor Profile questioner.

A. Yes

B. No

ANSWER (A or B): _____