ASCENT
WEALTH MANAGEMENT LLC

Eric P. Wilby Jr.
Principal
Main office: 1275 Glenlivet Dr. | Suite 100 | Allentown, PA 18106
Mailing address: P.O. Box 400 | Fogelsville, PA 18051-0400

New Client Information

Account Registration (Name):	Date of Birth:
Social Security Number:	No. of Dependents:

Primary Information

Residence Address:
Email:

Home Phone:	Mobile Phone:	Work Phone:

ID Type:	ID Place of Issuance:

ID Number:	ID Issuance Date	ID Expiration Date

Occupation:	Industry:
Employer Name:	Business Number:
Employer Address:	

Office: 484-224-3053
Phone: 610-349-4831
Fax: 610-300-5505
Email: Eric@ascentwealth.net

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Investment Objective and Risk Tolerance

- ◯ A. **Income with Capital Preservation**. Designed as a longer term accumulation account, this is considered generally the most conservative investment objective. Emphasis is placed on generation of current income with minimal risk of capital loss. Lowering the risk generally means lowering the potential income and overall return.
- ◯ B. **Income with Moderate Growth**. Emphasis is placed on generation of current income with a secondary focus on moderate capital growth.
- ◯ C. **Growth with Income**. Emphasis is placed on modest capital growth with some focus on generation of income.
- ◯ D. **Growth**. Emphasis is placed on achieving high long-term growth and capital appreciation. There is litte focus on generation of current income
- ◯ E. **Aggressive Growth**. Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has a very high level of risk and is for investors with a longer time horizon.
- ◯ F. **Trading**. Emphasis is placed on speculative transaction activity. This objective represents acceptance of an extremely high level of risk.

Investment Information

Annual Income ☐ Net Worth ☐ Liquid Net Worth ☐ Approximate Account Value ☐

A. $1-$24,999	B. $25,000-$49,999	C. $50,000-$99,999	D. $100,000-$249,999
E. $250,000-$499,999	F. $500,000- $749,999	G. $750,000-$999,999	H. $1,000,000-$49,999,999

Source of Account Holder Wealth:	Federal Tax Bracket (%)

Investment Experience (total number of years) ☐

Indicate the number of years of experience for each type of Investment:

Annuities		Mutual Funds		Partnerships		Margin		Stocks	
Bonds		Options		Other					

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Investment Time Horizon and Liquidity Needs

What is your investment time horizon for this account?

○ 1-3 Years ○ 3-5 Years ○ 5-10 years ○ More than 10 years

Do you have liquidity needs from the funds in this account? ○ Yes ○ No

If yes, when do you need these funds? ○ 0-3 Years ○ More than 3 years

If yes, specify the approximate dollar amount for the time range indicated above $ ______________

Beneficiary Information (If Needed):

○ Primary ○ Contingent

Name:	Relationship:

Soc. Sec. Number:	Date of Birth:	Percentage:

○ Primary ○ Contingent

Name:	Relationship:

Soc. Sec. Number:	Date of Birth:	Percentage:

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