

# BACHE CAPITAL MANAGEMENT

## CONFIDENTIAL CLIENT QUESTIONNAIRE

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For regulatory reasons, and – more importantly – to help us provide you the portfolio best suited to you and your needs, please provide the following information. Approximations are fine, but please try to answer all questions.

Name: \_\_\_\_\_

Social Security #: \_\_\_\_\_ DOB \_\_\_\_\_

### I. Background Data

Dependents living at home:

| Name | Relationship | M/F | Birth Date |
|------|--------------|-----|------------|
|      |              |     |            |
|      |              |     |            |
|      |              |     |            |
|      |              |     |            |

Professional Counselors:

| Title  | Name | Address | Telephone |
|--------|------|---------|-----------|
| Lawyer |      |         |           |
|        |      |         |           |
| CPA    |      |         |           |
|        |      |         |           |
| Other  |      |         |           |
|        |      |         |           |

What is your approximate current income? \$ \_\_\_\_\_

What is your approximate tax bracket? \_\_\_\_\_ %

When do you expect to retire? 20 \_\_\_\_\_

Have you made provision for retirement income, other than Social Security? Yes/No



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If so, does the provision consist of (more than one may apply):

- ☐ An employer-funded plan, which will pay you a specific amount each month?
- ☐ An employer-funded plan to which a specific amount is added each month?
- ☐ A self-directed plan (including IRA, SEP, 401(k), QRP?)

Do you have an estate plan?

Yes/No

Are there any special circumstances in your family situation that you expect will have a substantial or recurring effect on your financial situation?

Yes/No

If so, what are they?

- ☐ College for \_\_\_\_\_ kids from 20\_\_\_\_ to 20\_\_\_\_
- ☐ Assistance for a member of the family
- ☐ Medical expenses
- ☐ Inheritance
- ☐ Other: \_\_\_\_\_

## II. Investment Profile

This account represents:

- ☐ 100% of your investment holdings
- ☐ About 75% of your investment holdings
- ☐ About 50% of your investment holdings
- ☐ Less than 50% of your investment holdings

Your other holdings consist of:

- |  |                   |          |
|--|-------------------|----------|
| <input type="checkbox"/> Bank accounts, including CD's | Approximate value | \$ _____ |
| <input type="checkbox"/> Brokerage accounts            | Approximate value | \$ _____ |



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\_\_\_\_\_ Real estate other than your residence    Approximate net value    \$ \_\_\_\_\_  
\_\_\_\_\_ Your residence    Approximate net value    \$ \_\_\_\_\_

Time horizon of your investments:

\_\_\_\_\_ 10 years or more  
\_\_\_\_\_ 5 years or more  
\_\_\_\_\_ One full market cycle (historically, 3-5 years)

NOTE: If your time horizon is less than 3 years, or less than a full market cycle, Bache Capital Management's program probably will not represent an appropriate investment strategy for you.

Will distributions from the account to be managed by Bache Capital Management represent:

\_\_\_\_\_ An important and necessary part of your overall income?  
\_\_\_\_\_ An important part of your overall income, but should be tax-free?  
\_\_\_\_\_ A useful but not a critical part of your income?  
\_\_\_\_\_ An unwanted element – because of taxes and because growth is more important?

How much cash reserve do you want held in your account?    5% - 10% - more \_\_\_\_\_ %.

The goal of these account(s) is (check all that apply):

\_\_\_\_\_ Retirement  
\_\_\_\_\_ Education  
\_\_\_\_\_ Estate

Would you characterize your investment style over a market cycle as:

\_\_\_\_\_ Aggressive, a management style which takes on risk in exchange for high returns in a rising market, but more likely poor performance in a declining market (100% equity).



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- \_\_\_\_\_ Growth-Oriented, a management style which looks for growth with moderate risk (80% equity).
- \_\_\_\_\_ Balanced, a management style which will show more moderate returns in a rising market, but in declining market will provide a good “defense” (50%-60% equity).
- \_\_\_\_\_ Conservative, a style which aims only to exceed the inflation rate over a market cycle, knowing that the strategy will limit the likelihood of capital growth (less than 50% equity).

What kinds of investments do you prefer?

- \_\_\_\_\_ Growth stocks, small capitalization companies
- \_\_\_\_\_ Large capitalization companies
- \_\_\_\_\_ Bonds and cash equivalents
- \_\_\_\_\_ A combination of stocks, bonds and cash equivalents, the mix to be decided by the manager

In the face of market ups and downs, would you say that you:

- \_\_\_\_\_ Can bear more than four quarters of negative returns through a difficult stage of the market cycle?
- \_\_\_\_\_ Can bear two or three quarters of negative returns through a difficult stage of the market cycle?
- \_\_\_\_\_ Can bear infrequent, very moderate negative returns through a difficult stage of the market cycle?

Please confirm your investment objectives:

- \_\_\_\_\_ Aggressive growth – Primary goal is high capital return; current income not required; commensurate amount of risk.



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- \_\_\_\_\_ Growth – Goal is to maximize total return (i.e., growth plus dividend income over a market cycle), and to lower risk, which usually means a more moderate return.
- \_\_\_\_\_ Growth plus income – Primary goal is return on principal, with very conservative approach to growth; income may come from preferred stock, convertible securities and bonds.
- \_\_\_\_\_ Fixed income – Goal is current income and capital preservation (fixed income instruments or bonds only).

Are there any companies or industries whose securities you don't wish to own? Yes/No  
(If "Yes", please list them below in the Comments section.)

Comment: Is there anything about your situation or philosophy that you think we should know?

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I hereby certify that the information I've provided here is accurate, to the best of my knowledge and recollection. I understand that Bache Capital Management will rely on this data in formulating an investment strategy for me. I will inform Bache Capital Management of any corrections or changes to this data.

Date: \_\_\_\_\_, 20 \_\_\_\_

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Signature

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Signature of Joint Signer



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