VANN EQUITY MANAGEMENT
SUITABILITY INFORMATION AND REQUIREMENTS

The State of Texas State Securities Board requires Vann Partners LLC dba **VANN EQUITY MANAGEMENT** to request the following information from each prospective client who is an individual. A prospective client may decline to provide this information if he or she so chooses, and Vann Partners LLC dba **VANN EQUITY MANAGEMENT** will determine client suitability based on information the prospective client does provide.

I. CLIENT INFORMATION

Client Name:

Joint Client Name:

Client's Occupation:

II. FINANCIAL INFORMATION

Investment Objectives

Primary	**Risk Tolerance – *Based on how you would react to a loss in your overall portfolio over a 12-month period***	**Desired Annual Rate of Return**
☐ Capital Preservation ☐ Income ☐ Balanced ☐ Growth ☐ Aggressive Growth	☐ Very Conservative – I would seek to make a change with a loss >5% ☐ Conservative - I would seek to make a change with a loss >10% ☐ Moderate – I would seek to make a change with a loss >20% ☐ Aggressive – I can withstand losses >20%	☐ 0 - 2.5% ☐ 2.5 – 5% ☐ 5 – 7.5% ☐ 7.5 – 10% ☐ 10% +

Liquidity Needs	**Investor Time Frame**	**Investor Experience**	
☐ < than 1 year ☐ 1-5 years ☐ 5-10 years ☐ 10 or more years	☐ < than 1 year ☐ 1-5 years ☐ 5-10 years ☐ 10 or more years	☐ Stocks ☐ Mutual Funds ☐ Bonds ☐ Options ☐ Alternative Assets	__ years __ years __ years __ years __ years

Financial Information

Annual Household Income	Liquid Net Worth *(exclusive of residence)*	Total Net Worth *(inclusive of residence)*
☐ <$100,000	☐ <$250,000	☐ <$250,000
☐ $100,000 to $250,000	☐ $250,000 to $750,000	☐ $250,000 to $750,000
☐ $250,000 to $1,000,000	☐ $750,000 to $1,500,000	☐ $750,000 to $1,500,000
☐ >$1,000,000	☐ $1,500,000 to $5,000,000	☐ $1,500,000 to $5,000,000
	☐ >$5,000,000	☐ >$5,000,000

I understand and acknowledge that the information stated above is accurate and Vann Equity Management will use this information to determine suitable investments for my portfolio.

CLIENT(S):

Client Signature: ________________________________ Date: ____________________________________
Client Name:

Client Signature: ________________________________ Date: ____________________________________
Client Name: