



Dark Horse LLC

Initial Consultation Form

Date: _____

Client name _____
Tax ID Number _____

Co-client name _____
Tax ID Number _____

Address _____

Home Phone _____

Date of birth _____

Date of birth _____

Work phone _____

Work phone _____

E-mail address _____

E-mail address _____

Marital Status: ___ Married ___ Single ___ Divorced ___ Widowed

Children's names	Date of birth	Other dependents	Date of birth
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Employment	Company Position	# of Years
Client _____	_____	_____
Co-client _____	_____	_____

Financial Information

Assets –Current Value		Liabilities –Current Balance	
Cash, checking, savings _____		Mortgage –residence _____	
Taxable investments _____		Other mortgages _____	
Retirement investments _____		Home equity loan _____	
Personal residence _____		Auto loans _____	
Other real estate _____		Student loans _____	
Vehicles _____		Investments loans _____	
Business(es) _____		Personal loans _____	
Limited partnerships _____		Bank loans _____	
Stock options/warrants _____		Credit cards _____	
Personal property _____		Life insurance loans _____	
Cash value of life _____			
Insurance _____		Other _____	
Total Assets _____		Total Liabilities _____	



Dark Horse LLC

Initial Consultation Form (pg 2)

Client's income (projected for current calendar year) _____

Co-Client's income (projected for current calendar year) _____

Non-employment income _____

In order of importance, what are your 3 most critical financial concerns?

What qualities are you looking for in an investment advisor?

Restrictions on purchases (list above)

Periodic or recurring deposits (list amount and frequency above)

How did you learn about Dark Horse LLC?

Please list any additional comments or concerns you may have:



Risk Tolerance Questionnaire

1. When will you need to make withdrawals from your stock market portfolio?
 - a. Immediately
 - b. Less than 3 years
 - c. From 3-5 years
 - d. Between 6-10 years
 - e. More than 10 years (please specify approximate amount of time):_____

2. When making a long-term investment, I plan to hold the investment for:
 - a. 1-2 years
 - b. 3-4 years
 - c. 5-6 years
 - d. 7-8 years
 - e. 9-10+ years

3. Generally, I prefer investments with little or no fluctuation in value, and I'm willing to accept the lower return associated with these investments.
 - a. Strongly disagree
 - b. Disagree
 - c. Somewhat agree
 - d. Agree
 - e. Strongly agree

4. My current and future income sources (ex: salary, Social Security, pension) are:
 - a. Very unstable
 - b. Unstable
 - c. Somewhat stable
 - d. Stable
 - e. Very stable

5. I would classify my investment knowledge as being:
 - a. Limited
 - b. Good
 - c. Extensive

Explain: _____



Dark Horse LLC

Risk Tolerance Questionnaire

6. I would describe the investment approach with which I feel comfortable as being:
- a. Aggressive
 - b. Moderate
 - c. Conservative
 - d. Extremely low risk

Explain: _____

7. From September 2008 through November 2008, stocks lost over 31%. If I owned a stock investment that lost about 31% in 3 months, I would: (If you owned stocks during this period, select the answer that corresponds to your actual behavior.)
- a. Sell all of the remaining investment
 - b. Sell a portion of the remaining investment
 - c. Hold on to the investment and sell nothing
 - d. Buy more of the investment
8. What degree of risk are you currently willing to take with your financial decisions?
- a. Very small
 - b. Small
 - c. Medium
 - d. Large
 - e. Very large
9. When making an investment, return and risk usually go hand-in-hand. Investments which produce above average returns are usually of above average risk. With this in mind, how much of the funds you have available to invest would you be willing to place in investments where both returns and risk are expected to be above average?
- a. None
 - b. 20%
 - c. 40%
 - d. 60%
 - e. 80%
 - f. 100%



Risk Tolerance Questionnaire

10. How do you feel about short-term fluctuations in the value of your portfolio?
- a. I do not want the possibility of substantial fluctuations in the value of my portfolio. I prefer to minimize all fluctuations in the value of my portfolio.
 - b. I can tolerate small to moderate fluctuations in my portfolio (-5% to +5%) in order to attempt to outpace inflation over the long term.
 - c. I can tolerate moderate to high amounts of fluctuations in my portfolio (-10% to +10%) in order to attempt to achieve returns higher than inflation over the long term.
 - d. I can tolerate large fluctuations in my portfolio (-/+ >10%) in order to increase the potential of achieving returns much higher than inflation over the long term.
11. Which of the following best describes your investment objectives and temperament?
- a. Income: Preservation of capital with emphasis on generating current income. Most investment income will be withdrawn and spent. (I want my portfolio to produce income to live off)
 - b. Income & Growth: A combination of current income, preservation of capital and capital appreciation, with the emphasis on preserving capital and generating current income. Some income will be withdrawn. (I want my portfolio to produce income to live off but want principal growth so income will keep pace, or out pace, inflation over the long-term)
 - c. Growth & Income: A combination of capital appreciation and current income, with the emphasis on capital growth. Most income will be reinvested. (I want my portfolio to grow moderately to accumulate wealth for future goals)
 - d. Growth: Maximum long-term capital appreciation, accepting higher risk and volatility. Little or no income expected or withdrawn. (I want my portfolio to grow substantially to accumulate wealth for future goals)
12. What is your primary investment objective?
- a. Preserve capital
 - b. Generate maximum income with modest asset growth
 - c. Achieve moderate growth and income
 - d. Achieve strong asset growth with modest income
 - e. Achieve maximum asset growth

Client Acknowledgement (By signing below, you confirm that you have reviewed the above information and that it is accurate)

<p>▶ _____ Client Signature</p>	<p>_____ Print Name</p>	<p>_____ Date</p>
<p>▶ _____ Additional Client Signature (if applicable)</p>	<p>_____ Print Name</p>	<p>_____ Date</p>

Please mail to the address on this page or email to James@be-a-darkhorse.com prior to our first meeting.

**Dark Horse LLC
19523 Little Pine Lane
Katy, TX 77449
281-733-7340**