EST. 1890
MOORS & CABOT
INVESTMENTS

Hedging Questionnaire

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Moors & Cabot
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Client Name:____

Address:____

Date of Birth:____

Total Net Worth (excluding primary residence):________________

Total Net Worth Breakdown:

Concentrated Stock Position:________________

Taxable Assets (i.e., stocks, bonds, mutual funds):________________

Non-Taxable Assets:_______________ Total Liabilities:________________

Other:________________

Investment Objectives: Please check all that apply. ___Safety of Principal ___Income ___Growth ___Speculation ___Other:_______________

Previous Investment Experience: Please check all that apply and specify number of years. ( ) Options__________ ( ) Stocks__________ ( ) Bonds__________( ) Derivatives__________

Name of Stock:____

In what form is the stock held?
___Common stock ___Warrants or options ___Employee stock options ___Preferred stock or limited partnership units ___Other:__________

Number of shares held:_____________ **Location of shares held:**________________

Date(s) of acquisition:____

Shares held by : ____Individual ____Joint ____Trust ____Corporation ____Other:___________

Are shares restricted?___________
If so, how?____

Is the Client currently, or have they in the past, been affiliated with the Issuer?___________
If yes, in what capacity?____

Manner of obtaining stock:____
(i.e., inheritance, market transaction, directly from issuer, etc.)

Purpose for the types of transactions desired: Please check all that apply.
___Reduce exposure/Protect downside ___Monetize holdings ___Obtain leverage ___Enhance yield ___Speculative ___Other:__________