CLIENT DISCOVERY FORM

1031/Alternative Investments

P: 916.965.1879
INFO@BANGERTERFINANCIAL.COM

BANGERTER
FINANCIAL SERVICES, INC.
build | structure | support

1380 LEAD HILL BLVD. SUITE 180
ROSEVILLE, CA 95661

Client Checklist

Prior to opening an account with us or doing a 1031 exchange, we must first gather all applicable information in regards to your financial status, net worth, objective, investment experience, and in a 1031 exchange your tax liability in the property to be exchanged. Please complete the Client Discovery Form with your information. We have a secure portal you can upload all your personal information to, please contact your Bangerter Registered Representative to get instructions on how to do so. The other option is to send information back via0 email or send bring with you to your next scheduled appointment.

In addition to the information provided in this form, we will also need:

Trust Documents: If Account is in a Trust - you will need to provide copies of the Trust.

LLC Documents: If Account is in an LLC, you will need to provide copies of the LLC.

Driver's License(s): For each Account Holder will need to provide a copy of their drivers license or Proof of age/date of birth.

Assets/Investments: Itemized list of assets/Investments accounts that comprise net worth and tax liability on replacement property.

Monthly Income: Monthly income and source for all account holders.

CPA/Tax Person: Please provide on page 3, section 5 (if doing a 1031 Exchange)

Qualified Intermediary: Please provide on page 3, section 5 (if doing a 1031 Exchange)

1 Client Information

Full Legal Name

Marital Status: Single Married Widowed

Birth Date

Drivers License #

Social Security #

Street Address (cannot be PO BOX)

City

State/Region

Zip

Home Phone

Cell Phone

Office Phone

E-mail

Occupation/Position

Employer

Years Employed

Employer Address

Are you an Accredited Investor? (Please select Y or N)

YES

NO

*Accredited investors are typically defined as having a $1 million net worth excluding primary residence or $200,000 income individually /$300,000 jointly of the last two years; or have an active Series 7, Series 82, or Series 65. Individuals holding a Series 66 do not fall under this definition. If you are unsure if you are an accredited investor and/or an accredited entity, please verify with your CPA and Attorney.

2 Registration of Asset

Legal Name (If held in LLC, Trust, Etc.)

If Trust, please select what type **Revocable** **Irrevocable**

Date Established

Tax ID #

3 Co-Client Information (Please include additional individual associated to account)

Full Legal Name

Marital Status: Single Married Widowed

Birth Date

Drivers License #

Social Security #

Street Address (cannot be PO BOX)

City

State/Region

Zip

Home Phone

Cell Phone

Office Phone

E-mail

Occupation/Position

Employer

Years Employed

Employer Address

Are you an Accredited Investor? (Please select Y or N)

YES

NO

*Accredited investors are typically defined as having a $1 million net worth excluding primary residence or $200,000 income individually /$300,000 jointly of the last two years; or have an active Series 7, Series 82, or Series 65. Individuals holding a Series 66 do not fall under this definition. If you are unsure if you are an accredited investor and/or an accredited entity, please verify with your CPA and Attorney.

4 Investor Questionnaire

How many YEARS have you invested in each of the following?

Cash ____________ **Years**

Equities ____________ **Years**

Annuities ____________ **Years**

Real Estate ____________ **Years**

Real Estate Investment Trusts ____________ **Years**

Other ____________ **Years**

Delaware Statutory Trusts ____________ **Years**

What type of policies do you have:

Long-Term Care

Life Insurance

5 Consulting Professionals Contact Info.

CPA CONTACT INFORMATION

Contact Name

Company

Address

Phone

Fax

Email

ATTORNEY CONTACT INFORMATION

Contact Name

Company

Address

Phone

Fax

Email

QUALIFIED INTERMEDIARY CONTACT

Contact Name

Company

Address

Phone

Fax

Email

BANGERTER FINANCIAL SERVICES INFO

What Bangerter Financial Professional are you currently working with?

What qualities are you looking for in a financial firm?

How did you hear about Bangerter Financial?

6 Real Estate Investment Property (Please include all properties associated to current 1031 Exchange)

	PROPERTY 1	PROPERTY 2
Is this property part of the 1031 Exchange?	YES NO	YES NO
Property Name		
Estimated Value		
Rental Income/Year		
Date Purchased		
Purchase Price		
Debt		

	PROPERTY 3	PROPERTY 4
Is this property part of the 1031 Exchange?	YES NO	YES NO
Property Name		
Estimated Value		
Rental Income/Year		
Date Purchased		
Purchase Price		
Debt		

	PROPERTY 5	PROPERTY 6
Is this property part of the 1031 Exchange?	YES NO	YES NO
Property Name		
Estimated Value		
Rental Income/Year		
Date Purchased		
Purchase Price		
Debt		

7 Net Worth Questionaire

	Investor	Co-Client		Investor	Co-Client
Non Retirement Assets	**Approx. Value**	**Approx. Value**	**Retirement Assets**	**Approx. Value**	**Approx. Value**
Cash/Money Markets/ CDs/Bank	$	$	**Cash/Money Markets/ CDs/Bank**	$	$
Brokerage (non-managed)	$	$	**Retirement Plans** (401k, 403b, 457)	$	$
Managed Accounts	$	$	**Brokerage** (non-managed)	$	$
Mutual Funds (Direct)	$	$	**Managed Accounts**	$	$
Annuities (Fixed-Indexed, Variable)	$	$	**Mutual Funds** (Direct)	$	$
Cash Value of Life Insurance	$	$	**Annuities** (Fixed, Fixed-Indexed, Variable)	$	$
Other (Business Assets, collectibles)	$	$	**Other Misc.**	$	$
Alternatives (Oil & Gas, REITS, DSTs)	$	$	**Alternatives** (REITS, LLC, LP)	$	$

Real Estate	Approx. Value	Approx. Value
Primary Residence	$	$
Current 1031 Investment Real Estate	$	$
Other Investment Real Estate	$	$

Income Strategy	Approx. Value	Approx. Value
Salary/Commission	$	$
Investment Income	$	$
Pension	$	$
Social Security	$	$
Net Rental Income	$	$
Estimated Annual Expenses	$	$

Retirement Assets	Approx. Value	Approx. Value
Mortgage (Primary Residence)	$	$
Mortgage(s) (Investment RE)	$	$
Home Equity Loan	$	$
Student Loan	$	$
Auto Loan	$	$
Credit Card Balances	$	$
Other Liabilities	$	$
Other	$	$
Other	$	$

8 Attestation of Financial Information

I attest that the data above and attached appears accurate and complete and is based on information I have provided to my registered representative at Bangerter Financial Services, Inc.

Client Signature: ______________________________ Date: ______________

Co-Client Signature: ______________________________ Date: ______________