

CONCENTRATED EQUITY SOLUTIONS WORKSHEET

STEP 1: GENERAL INFORMATION

Name: _____

Raymond James Account Number: _____

Financial advisor's name: _____

STEP 2: EQUITY INFORMATION

Stock Symbol/Ticker: _____

Size of position: _____ Shares Options \$ Value

What is the cost basis? _____

Are the shares at Raymond James? Yes No

If not at Raymond James, where? _____

In what type of account are the shares held?

Individual Joint Qualified account Trust Other, please list: _____

Do you work at the company? Yes No

Are these shares pledged as collateral for a margin or bank loan? Yes No

How was stock obtained? _____

How long have you held these shares? < 1 year > 1 year > 2 years

Investable Assets: <\$1,000,000 \$1,000,000 – \$5,000,000 \$5,000,000 – \$10,000,000 >\$10,000,000

STEP 3: INVESTMENT GOALS

Willingness to Sell: High Medium Low

Retention of Dividend Income: High Medium Low

Diversification: High Medium Low

Capital Preservation: High Medium Low

Outlook on Stock: Bullish Bearish Neutral

Desire to Hedge: High Low None

Tax Sensitive: Yes No

Charitably Inclined: Yes No

Need for Cash: Yes No

Additional Info: _____
