



MOORS & CABOT

WEALTH MANAGEMENT

*The Single Stock Risk Management Group
Moors & Cabot Incorporated
999 Vanderbilt Beach Road, Suite 602
Naples, Florida 34108
866.459.9998
fax: 239-790-0942*

*MJEgan@MoorsCabot.com
SHWolf@MoorsCabot.com
RCarr@MoorsCabot.com*

Hedging Questionnaire

Client Name: _____

Address: _____

Date of Birth: _____

Total Net Worth: _____ **Liquid Net Worth:** _____

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: _____