



**HAZARD & SIEGEL COMPANIES  
CLIENT HOUSEHOLD NET WORTH DISCLOSURE**

CLIENT NAME(S) \_\_\_\_\_

HAZARD & SIEGEL PROFESSIONAL \_\_\_\_\_ DATE \_\_\_\_\_

**BROKER DEALER ASSETS HELD AT HAZARD & SIEGEL INC**

REGISTRATION	COMPANY	INVESTMENT TYPE	SHARE CLASS	YR OPEN	CURRENT VALUE

**RIA ASSETS HELD AT HAZARD & SIEGEL ADVISORY SERVICES LLC (HSAS)**

REGISTRATION	PLATFORM	YR OPEN	CURRENT VALUE

**RIA ASSETS HELD AT ANOTHER RIA WITH HSAS AS SOLICITOR**

REGISTRATION	PLATFORM	YR OPEN	CURRENT VALUE

**FIXED PRODUCTS WITH H&S PROFESSIONAL LISTED AS AGENT AS OBA**

REGISTRATION	COMPANY	PRODUCT TYPE	YR OPEN	CURRENT VALUE

**EMPLOYER SPONSORED RETIREMENT PLANS**

PLAN TYPE	TRUSTEE	PLATFORM	YR OPEN	CURRENT VALUE

**PERSONAL INVESTMENT ACCOUNTS HELD OUTSIDE OF HAZARD & SIEGEL**

REGISTRATION	COMPANY	PRODUCT TYPE	YR OPEN	CURRENT VALUE

**OTHER WEALTH**

TYPE	GROSS VALUE	LIABILITY	NET VALUE
SAVINGS/CDS	XXX	XXX	
PERSONAL RESIDENCE			
OTHER REAL ESTATE			
BUSINESS INTEREST			
COMMODITIES/COLLECT			
OTHER			

**LIFE INSURANCE**

INSURED	COMPANY	TYPE	FACE AMOUNT	CASH VALUE	PURPOSE

**DISABILITY INCOME INSURANCE**

INSURED	COMPANY	MONTHLY BENEFIT	BENEFIT PERIOD	WAITING PERIOD

**LONG TERM CARE INSURANCE**

INSURED	COMPANY	PER DAY BENEFIT	BENEFIT PERIOD	WAITING PERIOD

ARE YOU THE BENEFICIARY OF A TRUST? \_\_\_ YES \_\_\_ NO

IF YES, PLEASE DESCRIBE BRIEFLY, INCLUDING AMOUNTS, CURRENT INVESTMENTS IF KNOWN

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**LIABILITIES**

<b>TYPE</b>	<b>COLLATERAL Y/N</b>	<b>BALANCE</b>	<b>MTHLY PYMT</b>	<b>TERM REMAIN</b>
<b>HOME MORTGAGE</b>	<b>Y</b>			
<b>CAR LOANS/LEASE</b>	<b>Y</b>			
<b>CREDIT CARDS</b>				
<b>LINES OF CREDIT</b>				
<b>OTHER</b>				
<b>OTHER</b>				
<b>OTHER</b>				

**PLEASE ATTACH A COPY OF ALL AVAILABLE STATEMENTS**

This information is being gathered for your protection to assist our firm providing investment recommendations that are in your best interest, per United States Security and Exchange Commission Regulation Best Interest as well as state regulatory bodies, if relevant.

The information contained in this statement is based on sources and data believed reliable, including client anecdotal values, but is not guaranteed. This information is being gathered for compliance review purposes only. The information is not to be used as a substitute for any reports produced by the investment company, insurance company, program manager, custodian, bank, credit union, or other financial institution.

**This net worth statement is complete and accurate to the best of my ability.**

Signed on \_\_\_\_\_ at \_\_\_\_\_

\_\_\_\_\_  
CLIENT

\_\_\_\_\_  
HAZARD & SIEGEL REPRESENTATIVE

\_\_\_\_\_  
JOINT CLIENT

**HAZARD & SIEGEL COMPLIANCE REVIEW**

\_\_\_\_\_  
NAME OF REVIEWER

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE