



FINANCIAL
DISCOVERY
DOCUMENT

Investor Profile Questionnaire

Introduction

In order to develop a comprehensive wealth plan for you and your family, we need to establish an accurate picture of your current financial situation. This document was designed to provide us with the information we need to begin putting together a plan to address your long-term financial needs and goals. Please take the time to completely and accurately answer the questions on the following pages.

So that we can get the most out of your next meeting, it is essential that you bring the following documents (as applicable) along with this completed document:

- Most recent statements from your Current Investments (Brokerage Statements, Mutual Fund Statements, Annuity Statements, Bank Statements)
- Most recent statements from your Employer's Qualified Retirement Plan (401(k), 403(b), Profit Sharing, Money Purchase Pension, Defined Benefit, etc.)
- Most recent statements from your Individual Retirement Accounts (IRAs, Roth IRAs, Inherited IRAs)
- Most recent statements from your 529 Plan (Qualified State Tuition Program)
- All Insurance Policies (Life, Disability, Long Term Care, Health, Homeowners etc.)
- Tax Returns for the last 2 years
- A current copy of your wills, trusts, power of attorneys etc.

Investor Profile Questionnaire

Personal Information

Today's Date: _____

Your Name

Spouse/Partner Name

Date of Birth Age

Date of Birth Age

Social Security Number

Social Security Number

Gender: Male Female

Gender: Male Female

U.S. Citizen: Yes No

U.S. Citizen: Yes No

Primary Telephone Number

Primary Telephone Number

Secondary Telephone Number

Secondary Telephone Number

E-Mail Address

E-Mail Address

Home Address

Home Address

Home Address

Home Address

City

City

State Zip Code

State Zip Code

Dependent Information (attach separate sheet if necessary)

<i>Name</i>	<i>Gender</i>	<i>Date of Birth/Age</i>	<i>Relationship</i>
_____	<input type="checkbox"/> Male <input type="checkbox"/> Female	_____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other _____
_____	<input type="checkbox"/> Male <input type="checkbox"/> Female	_____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other _____
_____	<input type="checkbox"/> Male <input type="checkbox"/> Female	_____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other _____
_____	<input type="checkbox"/> Male <input type="checkbox"/> Female	_____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other _____

Investor Profile Questionnaire

Employment Information

Your Title/Occupation

Spouse/Partner Title/Occupation

Company Name

Company Name

Company Address

Company Address

Annual Income

- Self-Employed
- Section 16 insider
- Subject to Rule 144
- Retired

Annual Income

- Self-Employed
- Section 16 insider
- Subject to Rule 144
- Retired

Professional Relationships (Accountants, Attorneys and Other Advisors)

Name

Type of Advisor/Firm

Contact Info

Name

Type of Advisor/Firm

Contact Info

Name

Type of Advisor/Firm

Contact Info

Investor Profile Questionnaire

Portfolio Objective (Check only one box)

- CAPITAL PRESERVATION** — My primary objective for the portfolio is capital preservation. Emphasis is placed on the prevention of capital while achieving a return that meets or exceeds inflation.
- INCOME** — My primary objective for the portfolio is to generate income. I understand that preservation of capital may not always be consistent with this objective, and the portfolio will be subject to fluctuation. I specifically am not seeking long-term capital appreciation in the value of my portfolio.
- GROWTH** — My primary investment objective for the portfolio is long term capital appreciation. I understand that the value of the investments within my portfolio, as well as the portfolio as a whole, will be subject to fluctuation.
- AGGRESSIVE GROWTH** — My primary investment objective is to seek the highest gains in my portfolio. I understand that the value of the investments within my portfolio, as well as the portfolio as a whole, will be subject to significant fluctuation.

Investment Experience? Yes No

Stocks: _____ years. Bonds: _____ years. Mutual Funds: _____ years. Options: _____ years.
Annuities: _____ years. Other: (*Specify*) _____, _____ years.

Time Horizon (Check only one box)

An important consideration is your investment time horizon — the length of time you will remain fully invested. Because of the increased possibility of losses, there should be a minimal allocation to stocks in portfolios with relatively short investment time horizons.

How long do you plan to hold this investment portfolio?

- Less than 5 years
- 5 to 9 years
- 10 to 19 years
- 20 years or more

Liquidity/Cash Needs

Beyond your income needs above, will you need to make significant withdrawals from your portfolio within the next five years to fund major expenses (i.e. college funding, vacation home)?

If yes, please indicate the estimated amount of withdrawals as a percentage of your portfolio:

- Less than 15%
- 15 – 35%
- 35 – 50%
- 50 – 60%
- 60 – 75%
- 75 – 100%

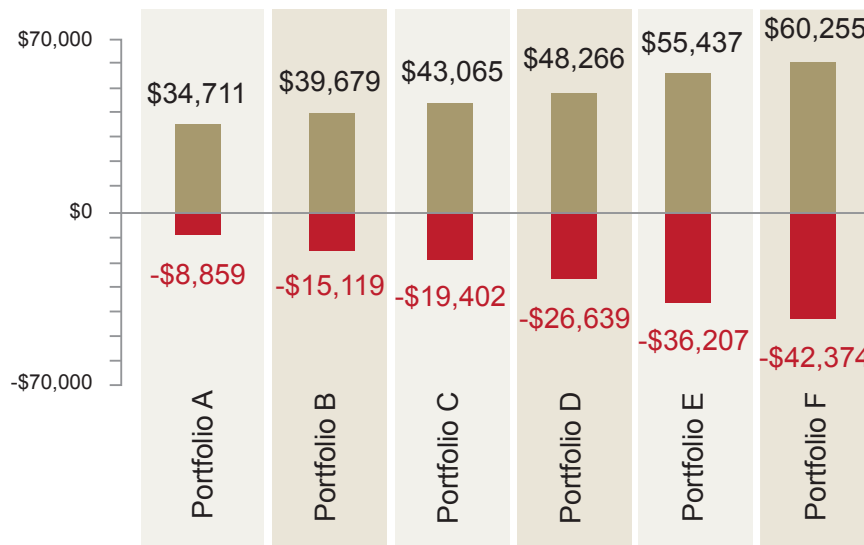
Investor Profile Questionnaire

Portfolio Returns vs. Potential Losses

What level of returns do you expect from your portfolio and what losses can you withstand?

The example below is for illustrative purposes only and not representative of any specific investment. The table below shows six hypothetical portfolios and their greatest 1-year loss and highest 1-year gain for a hypothetical investment of \$100,000.

Which portfolio would you feel most comfortable with?



The above example is for illustrative purposes only and is not intended to represent a specific investment or portfolio of investments. The highest 1-year gain and greatest 1-year loss are based on rolling 12 month returns from January 1972 to December 2010 for portfolios represented by Five-Year U.S. Treasury Notes and the S&P 500 Index. Returns assume the reinvestment of dividends and capital gains, but do not include the deduction of management fees or taxes, which will reduce an investor's returns. Indices are unmanaged and do not reflect the payment of advisory fees and other expenses associated with an investment in a mutual fund or separate account. Investors cannot directly invest in an index. Portfolios were constructed using the following assumptions:

	Five-Year U.S. Treasury Notes	S&P 500 Index		Five-Year U.S. Treasury Notes	S&P 500 Index
Portfolio A	75%	25%	Portfolio D	35%	65%
Portfolio B	60%	40%	Portfolio E	15%	85%
Portfolio C	50%	50%	Portfolio F	2%	98%

Data Source: CRSP 2011

Financial Information (Use Worksheets on following pages if needed)

\$ _____ Annual Income	\$ _____ Annual Expenses	\$ _____ Annual Income	\$ _____ Annual Expenses
\$ _____ Net Worth	\$ _____ Liquid Assets	\$ _____ Net Worth	\$ _____ Liquid Assets
_____ % Federal Tax Bracket	_____ % State/County Tax Bracket	_____ % Federal Tax Bracket	_____ % State/County Tax Bracket

Income and Expense Worksheet

Income

Income	Earned by	Monthly		Annually
Salary and Wages			x12	
Salary and Wages			x12	
Self-Employment			x12	
Self-Employment			x12	
Interest			x12	
Dividends			x12	
Social Security			x12	
Social Security			x12	
Pension Income			x12	
Pension Income			x12	
Other			x12	
Other			x12	
Other			x12	
Other			x12	
Total Income (total columns above)			x12	

Expenses

Expenses	Description	Monthly		Annually
Mortgage			x12	
Rent			x12	
Property Taxes			x12	
Health Care			x12	
Utilities			x12	
Food			x12	
Education			x12	
Insurance			x12	
Entertainment			x12	
Automobile			x12	
Savings/Investments			x12	
Pension/IRA/401k Contributions			x12	
Other			x12	
Other			x12	
Total Expenses (total columns above)			x12	

Net Worth Worksheet

Amounts In Banks, Savings & Loans, & Credit Unions (NON-IRA)

(i.e., Checking, Savings, Money Market)

Name of Institution	Type of Account	Maturity Date	Interest Rate	Approximate Balance

IRA Accounts & Other Retirement Accounts

(Please bring in your latest reports/statements)

Account & Location <i>(i.e., Bank, Broker, Employer, etc.)</i>	Title <i>(H, W, Jt)</i>	Maturity <i>(401K, IRA, etc.)</i>	Approximate Market Balance

Stocks & Bonds

(Where you hold certificates yourself)

Name of Stock/Bond	Title <i>(H, W, Jt)</i>	Maturity of Shares	Approximate Market Balance

Mutual Funds and/or Brokerage Accounts

(Please bring in your latest reports/statements)

Name of Brokerage Firm/Mutual Funds	Title <i>(H, W, Jt)</i>	Approximate Cost	Approximate Market Balance

Net Worth Worksheet

Promissory Notes & Trust Deeds

(Where someone owes or is paying you on a note)

Name of Debtor	Interest Rate	Approximate Balance of Note

Residence & Other Real Estate Owned

(Use another sheet if more space is needed)

Property Address	Original Cost	Approximate Value	Debt	Net Cash Flow before Depreciation <i>(if rental)</i>

Limited or General Partnerships

(Use another sheet if more space is needed)

Name of Partnership	Type of Partnership	Approximate Market Value or Amount Invested

Life Insurance

(Please bring in policy and latest statements)

Company	Name of Insured	Interest Rate	Approximate Value	Date Purchased

Net Worth Worksheet

Annuities

(Please bring in contracts and latest statements)

Company	Annuitant / Owner	Interest Rate	Approximate Value	Date Purchased

Other Assets

(Closely held stocks, coin collections, burial plots, etc.)

Description	Value

Do you have any other relevant information that should be considered as part of our analysis?

If you chose not to answer particular questions above, please specify the reason(s) why they are not relevant to this investment analysis.