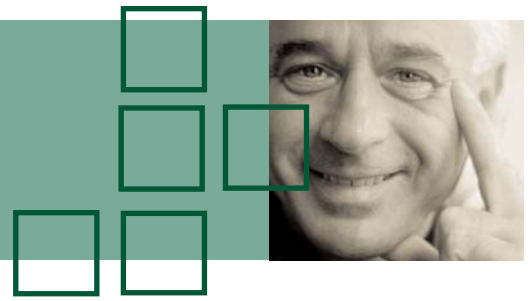


# FINANCIAL OBJECTIVES & RISK ASSESSMENT WORKSHEET



Please complete and return. Answers will be used to create a personalized risk evaluation and investment recommendation.

All information is confidential. Please see privacy notice on last page.

## ACCOUNT HOLDER INFORMATION

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_  
 Citizenship \_\_\_\_\_  
 Day Phone \_\_\_\_\_  
 Evening Phone \_\_\_\_\_  
 Email \_\_\_\_\_  
 Date of birth \_\_\_\_\_  
 Employed or Retired? \_\_\_\_\_  
 Marital Status \_\_\_\_\_ # of Dependents \_\_\_\_\_  
 Approx. Annual Income \$ \_\_\_\_\_  
 Approx. Net Worth (net of residence) \$ \_\_\_\_\_  
 Approx. how much do you have in each of the following:  
 401k \$ \_\_\_\_\_  
 IRAs \$ \_\_\_\_\_  
 Stocks & Bonds \$ \_\_\_\_\_  
 Mutual Funds \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_

## INVESTMENT EXPERIENCE

# of years investing \_\_\_\_\_  
 Types of investments (mark all those that apply)  
 Stocks  Bonds  Options  Mutual Funds  
 Variable Annuities  Limited Partnerships

## INVESTMENT KNOWLEDGE

Limited  Average  Extensive

## CO-OWNER INFORMATION

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_  
 Citizenship \_\_\_\_\_  
 Day Phone \_\_\_\_\_  
 Evening Phone \_\_\_\_\_  
 Email \_\_\_\_\_  
 Date of birth \_\_\_\_\_  
 Employed or Retired? \_\_\_\_\_  
 Marital Status \_\_\_\_\_ # of Dependents \_\_\_\_\_  
 Approx. Annual Income \$ \_\_\_\_\_  
 Approx. Net Worth (net of residence) \$ \_\_\_\_\_  
 Approx. how much do you have in each of the following:  
 401k \$ \_\_\_\_\_  
 IRAs \$ \_\_\_\_\_  
 Stocks & Bonds \$ \_\_\_\_\_  
 Mutual Funds \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_

## INVESTMENT EXPERIENCE

# of years investing \_\_\_\_\_  
 Types of investments (mark all those that apply)  
 Stocks  Bonds  Options  Mutual Funds  
 Variable Annuities  Limited Partnerships

## INVESTMENT KNOWLEDGE

Limited  Average  Extensive

—Please complete inside—



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**NASD and SEC rules require investment professionals to recommend investment options that are consistent with their individual clients' financial circumstances and overall financial objectives. The following questionnaire will provide insight about your risk tolerance levels and the degree of risk you are willing to assume to reach your objectives. Please answer all questions clearly and completely in order for us to determine if our services are consistent with your objectives. Thank you.**

## FINANCIAL INFORMATION

1. Which of the following best describes your investment objectives? (Choose only one)
  - Aggressive Growth—Maximum capital appreciation with higher-risk/volatility and no income.
  - Growth—Growth of capital with moderate risk/volatility and no income.
  - Growth and Income—A combination of capital appreciation and current income as primary objectives.
  
2. If your portfolio experienced a sudden decline, could you meet immediate cash flow needs from other assets?
  - No—My investment portfolio represents all of my assets.
  - Perhaps—I have other assets but they are not liquid and difficult to access.
  - Yes—I have other assets.
  
3. Given that long term average annual growth on US stocks are from 8%-10%, US bonds are 5%-6%, money markets are 2%-3%, what do you expect the total return on your investment portfolio to be? (Past performance may not be indicative of future results. Therefore, no current or prospective client should assume that future performance of any specific Strategis strategy will be profitable or reach its performance objective. Different types of investments involve varying degrees of risk, and there can be no assurance that any specific investment or strategy will be either suitable or profitable.)
  - 6%-7%
  - 8% to 9%
  - 10% to 11%
  - 12+%
  
4. What percentage of your portfolio do you plan to withdraw from this investment each year (including systematic withdrawals)?
  - 1% to 5%
  - 6% to 10%
  - 11% to 15%
  - 16% to 20%
  - 21+%
  - I am not making withdrawals
  
5. How is your current portfolio managed?  
Self directed \_\_\_\_\_% Professionally managed \_\_\_\_\_% Broker recommendations \_\_\_\_\_% Other \_\_\_\_\_%
  
6. What is the current allocation of your investment portfolio?  
Equities \_\_\_\_\_% Bonds \_\_\_\_\_% Cash \_\_\_\_\_% Other \_\_\_\_\_% Don't know \_\_\_\_\_%
  
7. Federal Tax Bracket  15%  28%  More Than 28%
  
8. What percentage of your total investment portfolio are you considering investing with Strategis?
  - approximately 10%–15% of my total investment portfolio
  - approximately 20%–40% of my total investment portfolio
  - approximately 50%–80% of my total investment portfolio
  - approximately 90%–100% of my total investment portfolio
  
9. What would be the allocation of the assets that are NOT under the management of Strategis?  
Equities \_\_\_\_\_% Bonds \_\_\_\_\_% Cash \_\_\_\_\_% Other \_\_\_\_\_%
  
10. What is the total value of your life insurance policies? \_\_\_\_\_
  
11. What type(s) of life insurance do you own? Please mark all that apply:  
Term \_\_\_\_\_ Whole Life \_\_\_\_\_ Variable Annuities \_\_\_\_\_ Variable Universal Life \_\_\_\_\_ Other \_\_\_\_\_

## RISK TOLERANCE:

12. In 2000, 2001 and 2002, the S&P 500 experienced double-digit losses each year. What, if any, changes did you make to your portfolio as a result of the bear market environment?
  - I changed nothing about my portfolio; I am investing for the long term.
  - I reallocated my portfolio to reduce risk but still maintain at least 50% of the portfolio invested in stocks or mutual funds.
  - I rebalanced my portfolio and maintain less than 50% invested in stocks or mutual funds.
  - I gave up on the markets; my money is in fixed instruments only (i.e. CDs, money market funds, bonds).

13. There are possibilities of gains and losses in any investment decision. What is your main concern when making an important investment decision?

- I am more motivated by high potential gains than by losses.
- I am primarily influenced by potential losses in the investment.

14. If your portfolio suddenly declined by 15% in one year, how would you react?

- I would cancel my account and find another way to invest my money.
- I would be somewhat concerned and reconsider the aggressiveness of my portfolio.
- I would not be concerned about the temporary fluctuation in my investment.

**TIME HORIZON:**

15. When do you anticipate needing the assets you are considering for our management?

- 1 to 2 years
- 3 to 5 years
- 6 to 10 years
- more than 10 years

16. When do you plan to retire?

- I am retired
- 1-5years
- 5-10years
- 15+years

If you have any questions regarding the above, please contact your advisor at (801) 373-1100.

I certify to the best of my knowledge that the above financial information is true. I understand that numbers presented on this worksheet are illustrative only and that past performance may not be indicative of future results. Therefore, no current or prospective client should assume that future performance of any specific Strategis strategy will be profitable or reach its performance objective. Different types of investments involve varying degrees of risk, and there can be no assurance that any specific investment or strategy will be either suitable or profitable for a specific investment portfolio.

**Client Signature** X \_\_\_\_\_ **Co-owner Signature** X \_\_\_\_\_

**Date** \_\_\_\_\_

**Advisor Approval** X \_\_\_\_\_

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