



CONFIDENTIAL INVESTOR PROFILE

This questionnaire is designed to help us develop an investment strategy which meets your specific financial goals.

All information supplied here will be held in strict confidence.

U.S. Securities and Exchange Commission guidelines require that we have a thorough understanding of your financial situation and investment experience. Therefore, please provide an answer for all the information requested.

Date: _____

Salutation: Dr. Mr. Mrs. Ms.

Name: _____

Address: _____

City, State, Zip _____

Occupation: _____

Employer: _____

Home Phone: _____

Cell Phone: _____

E-mail: _____

Spouse's Name: _____

Occupation: _____

Employer: _____

Approximate initial amount to be managed:

\$ _____

1. Age: _____ Spouse's Age: _____

2. Family Status: Single Married Divorced Widowed

Number of children: _____

3. How many dependents rely on you for financial support? _____

4. Employment Status:

YOU: Full-time employed Part-time employed
 Not employed Retired

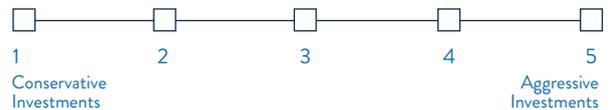
SPOUSE: Full-time employed Part-time employed
 Not employed Retired

5. If still working, number of years to retirement:

YOU: _____ SPOUSE: _____

6. Over the past five years, what has been your general investment philosophy? With 1 being mostly conservative investments, which may limit growth of principal in order to reduce the risk of loss and 5 being mostly aggressive investments; higher-than-average rise of loss in the pursuit of higher-than-average profits.

Select one level.



7. To what degree does your investment portfolio provide current income to cover living and other expenses?

Extremely High High Moderately high
 Low Not at all

8. Your estimate of what your income will be this year:

Your income \$: _____ Spouse's income \$: _____

9. Over the next five years, do you expect your annual income to:

Increase substantially Increase somewhat Remain about the same
 Decrease somewhat Decrease substantially

10. Over the next five years, do you expect your annual spending to:

Increase substantially Increase somewhat Remain about the same
 Decrease somewhat Decrease substantially

Please continue on other side.



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11. What portion of your annual income are you able to save for investment purposes?

- None 1%-3% 4%-7%
- 8%-10% over 10%

12. What is your approximate net worth (assets minus any debt owed)? Exclude the value of your primary residence, and its mortgage, if any.

- Debt exceeds assets \$1,500,000-2,000,000
- \$0-100,000 \$2,000,000-3,000,000
- \$100,000-250,000 \$3000,000-5,000,000
- \$250,000-500,000 \$5,000,000-8,000,000
- \$500,000-1,000,000 \$8,000,000-10,000,000
- \$1,000,000-1,500,000 over \$10,000,000

13. Other than the money we will be managing, the approximate amount you currently have in:

- Stock Mutual Funds/ETFs: \$ _____
- Bond Mutual Funds/ETFs: \$ _____
- Variable Annuities: \$ _____
- Fixed Annuities: \$ _____
- Individual Stocks: \$ _____
- Individual Bonds: \$ _____
- International Funds: \$ _____
- Investment Real Estate: \$ _____
- Money Market Funds or Bank CDs: \$ _____
- Other Investments: \$ _____

14. To help us evaluate your experience in investing and your comfort level with investments of various types, please complete the chart below. How much experience and knowledge do you have in each type of investment listed below?

Write the appropriate number for each type of investment:

1 - Little or none

2 - Some

3 - A great deal

_____ Money Market Funds

_____ Stocks

_____ Stock Mutual Funds/ETFs

_____ Bonds

_____ Bond Mutual Funds/ETFs

_____ Options or Futures

15. Please describe any important facts which would change this picture of your financial situation.

Thank you.

Please Type/Sign Name: _____

Joint Account Holder: _____