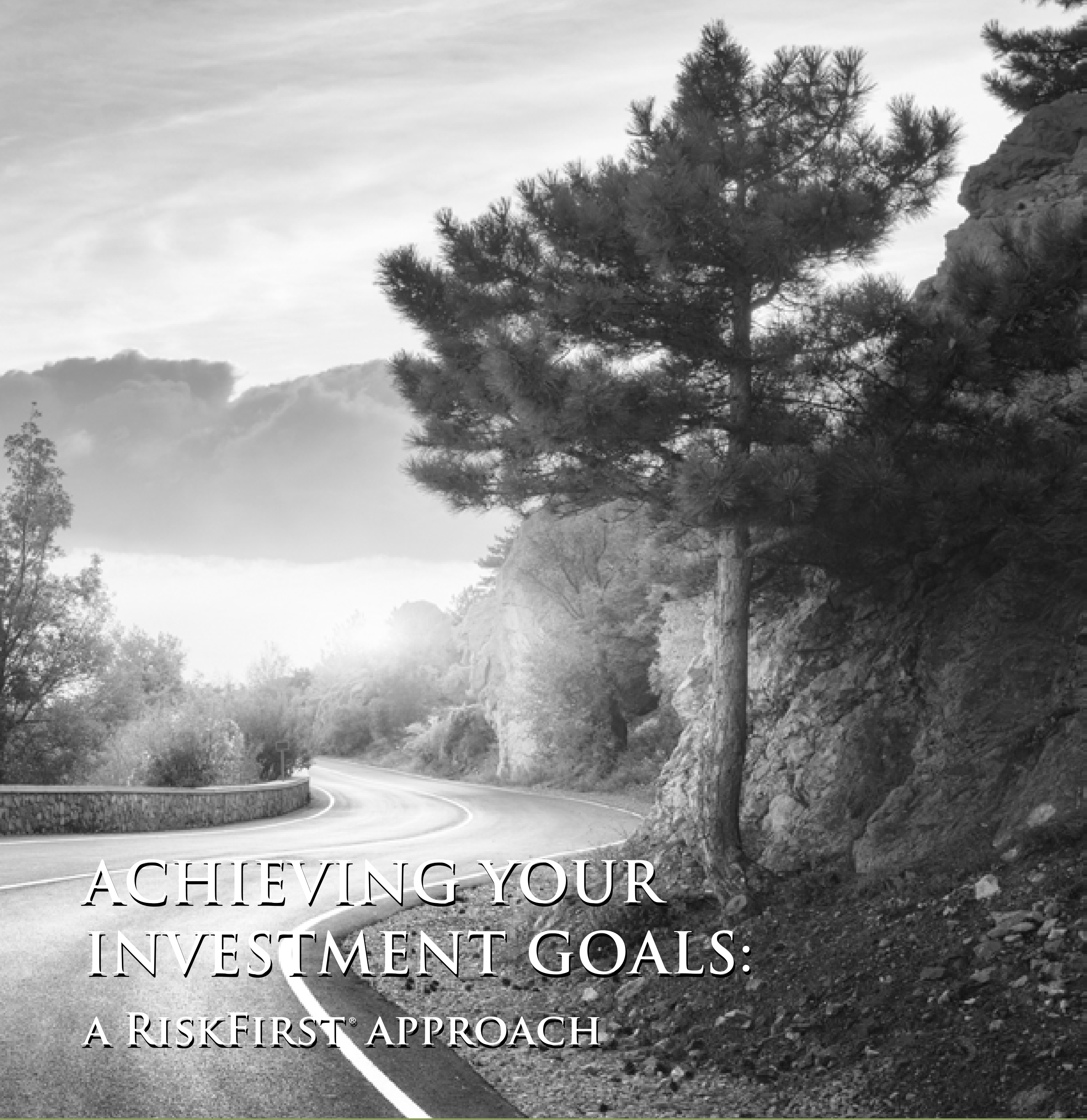

ACHIEVING YOUR INVESTMENT GOALS:

A RISKFIRST® APPROACH

CLIENT INVESTMENT OBJECTIVE

Your Brand

PLACE YOUR TEXT HERE

CLIENT INVESTMENT OBJECTIVE

1. Participant Information

Full Name:

Type(s) of Account:

Social Security/Tax ID:

Date of Birth:

Email:

Mailing Address:

Daytime Telephone:

Home Telephone:

Fax:

2. Information Regarding Client's Investment Experience

YourBrand Wealth Advisors "YourBrand" may rely on the following information until it is changed in writing by the Client:

Client has experience investing in individual securities, mutual funds and exchange-traded funds: ☐ Yes ☐ No

If yes, please reflect how many years of experience

Client's financial net worth (paper assets) is in excess of

Client's total net worth (inclusive of home, autos, property investments and business ownerships) is in excess of

Client's approximate annual income from all sources

Time Horizon of Primary Investment Objective: ☐ 10 years or greater ☐ 5-10 years ☐ under 5 years

Do you have any specific guidelines or restrictions for your account(s)? ☐ None ☐ Yes

If yes, please provide details:

Do you have any current income requirements? ☐ None ☐ Yes

If yes, list the following requirements:

Periodic Withdrawals: Frequency: (e.g., monthly, quarterly, etc.)

Lump sum Cash Requirement: As of: (date)

3. Investment Objectives and Risk Tolerance

The graph below shows the potential range of gains or losses in percentages of five hypothetical portfolios at the end of a 1-year period. The number to the right of each bar shows the best potential percentage gain for that portfolio, while the number to the left of each bar shows the worst potential percentage loss. Given that this is the only information that you have on these five hypothetical portfolios, which one would you choose to invest in?

- ☐ - 8% +8%
- ☐ - 12% +12%
- ☐ - 17% +17%
- ☐ - 25% +25%
- ☐ - 35% +35%

Inflation (rising prices for goods and services) can have a significant effect on your investments by decreasing their potential purchasing power over time. How do you feel about inflation and its impact on your investments?

- ☐ You are satisfied with your investments keeping pace with inflation over a market cycle. Limiting the potential for loss is a main goal, and as a result you are willing to sacrifice the potential for higher returns.
- ☐ You would like your investments to outpace inflation over a market cycle. You are willing to assume the potential for loss in order to achieve that goal.
- ☐ You would like your investments to significantly outperform inflation over a market cycle. You are willing to assume a greater potential for loss in order to achieve that goal.

Suppose that your investments were to experience a prolonged down period over three years, what would you do?

- ☐ Sell out of your portfolio. You are afraid that the market or strategies you are invested in are in a downturn and you cannot afford the decrease in value.
- ☐ Sell half of your portfolio. You think that the market or strategies may rebound, but you are not willing to leave all of your investment exposed to further loss.
- ☐ Leave as-is. You understand that your investment may be subject to short-term price swings and are comfortable 'weathering the storm'.
- ☐ Add additional monies to your portfolio to take advantage of their low price. You are comfortable with market fluctuations and assume that your portfolio will regain their previous value or increase in value.

3. Investment Objectives and Risk Tolerance (continued)

How do you feel about fluctuations in the value of your portfolio?

- ☐ You want to minimize the possibility of loss in the value of the portfolio. You understand that you are sacrificing higher long-term returns by holding investments that reduce the potential for short-term loss and price fluctuations.
- ☐ You can tolerate more moderate losses in order to achieve potentially favorable returns.
- ☐ You can tolerate the risk of larger losses in order to increase the potential of achieving high returns.

From the list below, if you were to select your top two priorities when selecting an investment program what would they be?

- ☐ Diversification
- ☐ Tax Management
- ☐ Minimize Volatility
- ☐ Maximize Returns (Performance)

Is there any additional information you wish to provide us so that we can best address your investment needs?

4. Investment Strategy and Portfolio Selection

Please select one of the below YourBrand portfolios.*

☐ **Engineered Risk Budgeted Portfolio Drawdown Target 5-8%:**

Income with Capital Preservation: Designed as a longer-term accumulation account, "Income with Capital Preservation" is generally considered the most conservative investment objective. Its emphasis is on generating current income and a minimal risk of capital loss. Lowering the risk generally means lowering the potential income and overall return.

This portfolio seeks total return, consistent with preservation of capital and prudent investment management. It employs YourBrand's research to help temper the risk of income investing. The portfolio seeks to hold primarily fixed-income derived strategies with the ability to invest up to 20-30% in equity derived strategies. This portfolio utilizes different investment styles, pairing tactical with strategic. By allocating to different investment styles, the portfolio seeks to offset potential underperformance of tactical strategies during rising markets, and add potential loss minimization to strategic strategies during market downtrends. Tactical strategies used generally have the goal of being invested defensively in money market, money market funds, or short-term government security funds during what YourBrand believes to be periods of above average risk or when YourBrand believes, in its sole discretion, that it is in the best interest of its clients.

If multiple accounts, list account(s) to be subscribed to this portfolio: ______

☐ **Engineered Risk Budgeted Portfolio Drawdown Target 8-12%:**

Income with Moderate Growth: The primary goal of this type of investment portfolio is generating current income with a secondary focus on moderate capital growth.

This portfolio seeks total return, designed for clients willing to accept moderate movements in asset values. It employs YourBrand's research to help temper the risk of both income and equity investing to help temper the risk of both income and equity investing. The portfolio seeks to hold primarily fixed-income derived strategies with the ability to invest up to 30-40% in equity derived strategies. This portfolio utilizes different investment styles, pairing tactical with strategic. By allocating to different investment styles, the portfolio seeks to offset potential under-performance from tactical strategies during rising markets, and add potential loss minimization to strategic strategies during market downtrends. Tactical strategies used generally have the goal to be invested defensively in money market, money market funds, or short-term government security funds during what YourBrand believes to be periods of above average risk or when YourBrand believes, in its sole discretion, that it is in the best interest of its clients.

If multiple accounts, list account(s) to be subscribed to this portfolio: ______

☐ **Engineered Risk Budgeted Portfolio Drawdown Target 12-17%:**

Growth with Income: This investment portfolio category focuses on modest capital growth in addition to generating current income.

This portfolio seeks to generate income as well as capital appreciation over the long term by combining the higher capital appreciation of equities with the lower volatility of fixed income. It employs YourBrand's research to help temper the risk of both income and equity investing to help temper the risk of both income and equity investing. The portfolio seeks to hold both fixed-income and equity derived strategies with the ability to invest up to 40-50% in equity derived strategies. This portfolio utilizes different investment styles, pairing tactical with strategic. By allocating to different investment styles, the portfolio seeks to offset potential under-performance of tactical strategies during rising markets, and add potential loss minimization to strategic strategies during market downtrends. Tactical strategies used generally have the goal to be invested defensively in money market, money market funds, or short-term government security funds during what YourBrand believes to be periods of above average risk or when YourBrand believes, in its sole discretion, that it is in the best interest of its clients.

If multiple accounts, list account(s) to be subscribed to this portfolio: ______

4. Investment Strategy and Portfolio Selection (continued)

Please select one of the below YourBrand portfolios.*

☐ **Engineered Risk Budgeted Portfolio Drawdown Target 17-25%:**

Growth: Achieving high long-term growth and capital appreciation are the drivers for this type of investment portfolio. There's little emphasis on generating current income.

This portfolio seeks to generate income as well as capital appreciation over the long term by combining the higher capital appreciation potential of equities with the lower volatility potential of fixed income. This portfolio seeks to hold both fixed-income and equity derived strategies with the ability to invest up to 70-80% in equity derived strategies. This portfolio utilizes different investment styles, pairing tactical with strategic. By allocating to different investment styles, the portfolio seeks to offset potential under-performance of tactical strategies during rising markets, and add potential loss minimization to strategic strategies during market downtrends. Tactical strategies utilized generally have the goal of defensive positioning in money market, money market funds, or short-term government security funds during periods believed to show above average risk or when YourBrand believes, in its sole discretion, that it is in the best interest of its clients.

If multiple accounts, list account(s) to be subscribed to this portfolio:

☐ **Engineered Risk Budgeted Portfolio Drawdown Target 25-35%:**

Aggressive Growth: As its name suggests, this investment portfolio category places emphasis on aggressive growth and maximum capital appreciation. There's no focus on current income generation. It has a very high level of risk and is for investors with a longer time horizon.

This portfolio seeks capital appreciation over the long term by primarily investing in equity derived tactical and strategic strategies. The portfolio has the ability to invest up to 100% in equity derived strategies. Fixed-income strategies are used in this portfolio mainly for defensive and diversification purposes. This portfolio utilizes different investment styles, pairing tactical with strategic. By allocating to different investment styles, the portfolio seeks to offset potential under-performance of tactical strategies during rising markets, and add potential loss minimization to strategic strategies during market downtrends. Tactical strategies utilized generally have the goal of defensive positioning in money market, money market funds, or short-term government security funds during periods believed to show above average risk or when YourBrand believes, in its sole discretion, that it is in the best interest of its clients.

If multiple accounts, list account(s) to be subscribed to this portfolio:

4. Investment Strategy and Portfolio Selection (continued)

For all portfolios listed, primary instruments used are mutual funds, exchange traded funds, and individual equities. *For accounts under certain threshold minimums (depending on custodian minimum, and/or fund minimums, and/or security share price), exact securities and strategies included in the portfolio described above will differ due to insufficient liquidity and trading; given the inability to purchase securities recommended by the portfolios or these accounts, holdings and returns will differ.

Client recognizes that, even with YourBrand risk-managed disciplines, there is no guarantee that any of the above objectives can be met; and that YourBrand goals relate to the risk and long-term total return of a client's overall portfolio - on average - over time - and not to profitability. Periods of over performance and under performance are part of every investment strategy. Past performance is not indicative of future results. This form and the investment management agreement will govern YourBrand's management of your account(s).

EXECUTION:

Please sign below acknowledging that the information contained herein is true and correct. Client acknowledges delivery of 1) YourBrand Form ADV Part 2A Brochure and Part 3 Client Relationship Summary, and 3) YourBrand Privacy Notice.

Client:

Signature:

Date:

Joint Signature (if applicable):

Disclosures

Different types of investments involve different degrees of risk and there can be no assurance that any specific investment will be profitable and no guarantee that any of the described objectives can be achieved or be similar to those shown herein. Individual returns may vary substantially due to differences in the timing of contributions and withdrawals, account start dates, actual fees paid, and specific investment instruments utilized. Actual fees may vary based on, among other factors, account size and custodial relationship. YourBrand ("YourBrand Wealth Advisors") is an SEC registered investment adviser. Such registration does not imply a certain level of skill or training and no inference to the contrary should be made.

Risk of Loss

YourBrand's investment recommendations are subject to various markets, currency, economic, political and business risks, and such investment decisions may not always be profitable. Clients should be aware that there may be a loss or depreciation to the value of the client's account, which the client should be prepared to bear. YourBrand does not represent, guarantee or imply that the services or methods of analysis employed can or will predict future results, successfully identify market tops or bottoms, or insulate clients from losses due to market corrections or declines. In addition, there is no assurance that a mutual fund, an ETF, or any security will achieve its investment objective. For a list of more detailed risks please see YourBrand ADV Brochure Part 2.

Definitions

DOWNSIDE DEVIATION: Similar to standard deviation, except that downside deviation isolates only the negative returns that fall below a defined minimum acceptable return.
DRAWDOWN: Defined as a measure of peak to trough percentage loss in a given period. A maximum drawdown is the largest drawdown in a period.
EQUITIES: A stock or any other security representing an ownership interest.
ETF: An exchange-traded fund (ETF) is an investment fund traded on stock exchanges, much like stocks. An ETF holds assets such as stocks, commodities, or bonds, and trades close to its net asset value over the course of the trading day. Most ETFs track an index, such as a stock index or bond index.
FIXED INCOME: An investment that provides a return in the form of fixed periodic payments and the eventual return of principal at maturity.
MONEY MARKET FUNDS: Mutual funds that invest in short-term debt securities such as US Treasury bills and commercial paper.
MUTUAL FUND: An investment vehicle that is made up of a pool of funds collected from many investors for the purpose of investing in securities such as stocks, bonds, money market instruments and similar assets.
SHORT-TERM GOVERNMENT SECURITY FUNDS: Mutual funds or ETF's that typically invest in high-quality (investment-grade) U.S. government bonds with limited maturities.
STRATEGIC: A strategic asset allocation approach is created and maintained as a more passive allocation regardless of market conditions. The portfolio is usually rebalanced to the original allocation and is designed to capture broad capital market returns.
TACTICAL: A tactical asset allocation approach is geared towards minimizing risk while taking advantage of opportunities, moving in and out of certain investments based on a risk/return evaluation.
TOTAL RETURN: Defined as income/dividends plus capital appreciation.
VOLATILITY: Used to describe uncertainty or risk in terms of statistical measure of dispersion (variation in prices).

Your Brand
PLACE YOUR TEXT HERE

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