

POLICY GUIDELINES QUESTIONNAIRE

ACCOUNT NAME: _____

ADDRESS: _____

CITY: _____ STATE _____ ZIP _____

HOME PHONE: _____ WORK PHONE: _____

TAX ID#: _____ DATE OF BIRTH: _____

EMAIL ADDRESS: _____

REFERRAL FROM: _____ FIRM: _____

WHO IS YOUR ACCOUNTANT? _____ FIRM: _____

WHO IS YOUR LAWYER? _____ FIRM: _____

WHO IS YOUR BROKER? _____ FIRM: _____

WHO IS YOUR CUSTODIAN? _____ FIRM: _____

TOTAL VALUE OF INVESTMENT PORTFOLIO? \$ _____

DO THE ASSETS TO BE PLACED WITH MFI CONSTITUTE THE ENTIRE PORTFOLIO?

YES _____

NO _____ IF NO, WHAT AMOUNT? \$ _____

IS THERE ANY PLANNED MAJOR WITHDRAWALS OR CONTRIBUTION TO THE ACCOUNT IN THE NEXT 3 YEARS? IF SO, WHAT IS THE TIMING AND AMOUNT?

IS THERE ANY EXISTING INVESTMENT POLICY STATEMENT? YES ___ NO ___

IF YES, PLEASE SUPPLY FOR REVIEW.

WHAT IS THE PRIMARY GOAL OF THE ACCOUNT?

RETIREMENT PLAN ASSETS _____ IRA ___ DB ___ 401K ___

SUPPLEMENT RETIREMENT INCOME _____

USED TO FUND COLLEGE TUITION _____

NO SPECIFIC PURPOSE _____

PORTFOLIO HORIZON AND OBJECTIVES

HOW WOULD YOU GENERALLY CATEGORIZE YOUR INVESTMENT OBJECTIVES?

- _____ (5) MAXIMUM CAPITAL APPRECIATION, EVEN THOUGH THE LEVEL OF RISK MIGHT BE HIGHER AND THE LEVEL OF CURRENT INCOME MIGHT BE LOWER.
- _____ (4) CAPITAL APPRECIATION WITH LOWER CURRENT YIELD BUT A VIEW TO CAPITAL PRESERVATION.
- _____ (3) A BALANCE BETWEEN CAPITAL APPRECIATION, PRESERVATION OF CAPITAL AND CURRENT INCOME.
- _____ (2) PRESERVATION OF CAPITAL AND RELATIVELY HIGH CURRENT INCOME.
- _____ (1) RELATIVELY HIGH CURRENT INCOME AND PRESERVATION OF CAPITAL.

PROVIDING THAT MFI MEETS YOUR EXPECTATIONS, WHAT IS THE LENGTH OF TIME THAT YOU WOULD ANTICIPATE KEEPING THESE ASSETS INVESTED IN THIS RELATIONSHIP?

- UNDER 2 YEAR _____ (1) 3-4 YEARS _____ (2) 5-7 YEARS _____ (3)
8-10 YEARS _____ (4) 10 + YEARS _____ (5)

FOR THE ASSETS YOU ARE PLACING WITH MFI, WHAT IS YOUR ANNUALIZED RETURN EXPECTATIONS FOR THE NEXT FIVE YEARS?

- 5% _____ (1) 7% _____ (2) 9% _____ (3) 11% _____ (4) 13% _____ (5)

FOR THE ASSETS YOU ARE PLACING WITH MFI, WHAT IS YOUR MINIMUM SINGLE YEAR RETURN EXPECTATION?

- 5% _____ (1) -7% _____ (2) -9% _____ (3) -11% _____ (4) -13% _____ (5)

FOR THE ASSETS YOU ARE PLACING WITH MFI, WHAT IS THE TAX STATUS?

- _____ TAXABLE (3) _____ TAX DEFERRED (5)

WHAT IS A REASONABLE TIME PERIOD TO MEASURE YOUR RETURN GOALS?

- 90 DAYS _____ (1) 1 YEAR _____ (2) 3 YEARS _____ (3)
5 YEARS _____ (4) 7 YEARS _____ (5)

PREPARED BY: _____

DATE: _____

PROFILE OBJECTIVES

- (1) 8 TO 14 _____ (2) 15 TO 22 _____ (3) 23 TO 30 _____