

Investment Advisor Questionnaire

Investment fraud has always been a concern for investors, but greater losses have come from aggressive sales presentations motivated by compensation or other conflicts. We have found that this disclosure page can be helpful as you go about your search for a financial advisory relationship or reviewing an existing relationship. We believe you should seek to have all affirmative responses.

Firm Name: _____ Date: _____

- 1) You are held to a fiduciary standard in all of my financial affairs.
True _____ False _____
- 2) Your firm does not custody client assets.
True _____ False _____
- 3) You are Fee-Only as defined by NAPFA. You will walk a straight path by avoiding any type of transaction based compensation.
True _____ False _____
- 4) You disclose all compensation and conflicts of interest that exist in my relationship with you through a Form ADV.
True _____ False _____
- 5) Your firm will only recommend securities that price daily on an exchange or in the over the counter market. Avoiding non-listed REITs, limited partnerships or private equity.
True _____ False _____
- 6) No one at your firm is a General Partner of any investments you recommend.
True _____ False _____
- 7) Your firm will recommend only investments that can be sold without any conditions such as deferred sales charges or redemption expenses.
True _____ False _____
- 8) Your firm does **not** have a 10% or greater ownership in a brokerage firm, bank, or insurance company, nor are you owned by a brokerage firm, bank, or insurance company.
True _____ False _____
- 9) Your firm does not receive soft dollars.
True _____ False _____
- 10) You will report your historical investment performance after fees, if you have several strategies you will report the weighted average performance of all assets you manage.
True _____ False _____

I affirm that each of these questions has been answered honestly and truthfully.

_____/_____/_____
Compliance Officer Title Date