

Dunn Warren Investment Advisors

Financial Profile

Name

Client Date of Birth Age

Spouse Name

Spouse Date of Birth Age

Social Security Number

Spouse Social Security Number

Address1

City

Address2

State Zip Code

Phone

email

Product (i.e. FolioFn, Security Benefit) this profile is associated with and account# - if applicable

If this is a new account - Where will the money be coming from

Approximately how much money will be transferred

Account Type - Please Circle One

- Individual Joint - Tenants by Entirety
Joint - Rights of Survivorship Joint - Community Property
Joint - Tenants in Common

Retirement Accounts - Please Circle One

- Traditional IRA Roth IRA (Year Roth IRA will have been open for 5 years)
IRA Rollover SEP-IRA (Simplified Employee Pension)

What is your estimated net worth (Total assets minus liabilities)

What is your annual income- Please circle one

- Below \$50,000 \$100,000-\$250,000
\$50,000-\$100,000 Over \$250,000

Please circle any of the products that apply and you have had investment experience with

- Stocks Certificate of deposit - CDs Money Market Accounts
Mutual Funds Managed Accounts Options or Futures
Bonds International funds

What is your investment objective - please circle one

- Grow portfolio value Provide income
Generate growth and income Preserve principal, initial investment

When in the future will you need the money that you are investing

How much money will you require

What is your current marginal federal tax rate? - please circle one

- 10% 15% 25%
28% 33% 35%

Employment Status: Please Circle One

Employed

Retired

Unemployed

Self-employed

Student

Other

Occupation

Company Name

Business Address1

City

Business Address2

State

Business Phone

Zip Code

Are you a member of the National Association of Securities Dealers (NASD)-please circle

YES

NO

Are you a director, officer or 10% shareholder of a publicly trades company? - please circle one

YES

NO

Are you affiliated with a firm that sells, markets or issues securities? - please circle one

YES

NO

Beneficiary Information - * This is for Qualified Account (like IRAs and ROTH) only**

Primary Beneficiary No. 1

Relationship of beneficiary

Primary Beneficiary No. 1 Date of Birth

Primary Beneficiary No.1 Social Security#

% Share of Portfolio to go to Beneficiary

Primary Beneficiary No. 2

Relationship of beneficiary

Primary Beneficiary No. 2 Date of Birth

Primary Beneficiary No.2 Social Security#

% Share of Portfolio to go to Beneficiary

Backup Beneficiary * This is for Qualified Account (like IRAs and ROTH) only**

Backup Beneficiary No. 1

Relationship of beneficiary

Backup Beneficiary No. 1 Date of Birth

Backup Beneficiary No.1 Social Security#

% Share of Portfolio to go to Beneficiary

Backup Beneficiary No. 2

Relationship of beneficiary

Backup Beneficiary No. 2 Date of Birth

Backup Beneficiary No.2 Social Security#

% Share of Portfolio to go to Beneficiary

*** Instructions - please initial the answer that applies to your preference

Name: _____

Date: _____

I. When will you withdraw a lump sum from your portfolio?

_____ (1) In 2 years or less.

_____ (2) In 3 to 5 years.

_____ (3) In 5 to 10 years.

_____ (4) In 10 years or more.

II. Once you begin making withdrawals, how long will the money need to last?

_____ (1) I am going to need it all at once, in one lump sum

_____ (2) For 1 to 5 years.

_____ (3) For 6 to 10 years.

_____ (4) Greater than 10 years.

III. Are you willing to accept a high degree of fluctuation or volatility in the value of your portfolio?

_____ (1) I am not willing to accept fluctuations in the value of any part of my portfolio.

_____ (2) I am willing to accept fluctuations in a portion of my portfolio
if the overall portfolio value does not decrease.

_____ (3) I am willing to accept volatility for my entire account to achieve
my expected return objectives.

_____ (4) I expect volatility in my portfolio that is greater than the market if my investment
is going to beat the market.

IV. How many years do you expect to leave your portfolio invested in the stock market?

_____ (1) For 1 to 3 years

_____ (2) For 3 to 5 years.

_____ (3) For 6 to 10 years.

_____ (4) Greater than 10 years.

*** Instructions - please initial the answer that applies to your preference

X. Which portfolio objective best describes how you would like to invest your portfolio?

- _____ (1) **CONSERVATIVE** – I have a low tolerance for risk and volatility, or due to my short investment time horizon I am unwilling to accept more than a small decline in the value of my portfolio.
- _____ (2) **MODERATE** – I am seeking stable returns with the possibility of some current income. While I am willing to sustain some volatility, I want my portfolio to fluctuate less than the overall market.
- _____ (3) **GROWTH** - I am looking for growth that will meet or beat the return of the market. I have a long-term time horizon, and I am willing to accept the volatility of the market that this strategy incurs.
- _____ (4) **AGGRESSIVE** - I have a high tolerance for risk and have a long time horizon to achieve my objectives. I know that investments are volatile and may lose money in the short term. Because of my long-term outlook, however, I am willing to accept volatility in the short term for increased long-term gains.

Will you be purchasing and/or already own a variable annuity ?

_____ YES _____ NO

Have you requested, or already have a current income or death benefit rider for your annuity contract?

_____ YES _____ NO

Are you aware that the riders may offset some of the volatility and allow you to select a portfolio allocation that is more aggressive than you indicated on your risk profile?

_____ YES _____ NO

Would you like to select a more aggressive portfolio allocation because of the income rider or death benefit rider you chose?

_____ YES _____ NO

Name: _____ Date: _____

Signature: _____

Name: _____ Date: _____

Signature: _____

**** **Are you taking equity out of your home to invest**

_____ YES _____ NO

**** **If Yes please complete the following page**

What percent (%) of the equity in your home are you taking to invest?

What will be your monthly mortgage payment (amount in \$)?

How much (\$) are your fixed monthly expenses (mortgage, food, auto, insurance & utilities)?

What is your monthly income?

If you or your spouse were to die, how would you pay for your monthly expenses?

Name: _____

Date: _____

Signature: _____

Name: _____

Date: _____

Signature: _____

Risk Disclosure: There can be risks and conflicts when investing equity from your home such as:
(1) the potential loss of one's home due to the inability to pay the mortgage; (2) the manager benefits from investing additional value of the equity pulled from the mortgage; (3) depending on the amount of the home liquefied and any change in home value the home owner may have negative equity value.