

Date

Last Name

Social Security Number

Portfolio Questionnaire

Client Information

Last Name

First Name

Middle Initial

Address

City

State

Zip Code

Phone

1. What is your current age?

- ☐5 Less than 45
- ☐4 45-55
- ☐3 56-65
- ☐2 66-75
- ☐1 More than 75

2. When do you expect to begin drawing income on this investment?

- ☐5 20 years or longer
- ☐4 10-20 years
- ☐3 5 to 10 years
- ☐2 Not immediately, but fewer than 5 years
- ☐1 Immediately

3. This investment represents:

- ☐4 25% or less of overall investments
- ☐3 25% - 50% of overall investments
- ☐2 50% - 70% of overall investments
- ☐1 75% or more of overall investments

4. What is your goal for this particular investment?

- ☐5 Long-term growth is critical, even at the cost of shorter-term consistency.
- ☐4 Seeking growth, willing to include some higher risk.
- ☐3 A diversified mix of investments, to obtain moderate growth.
- ☐2 Favor stability, although would like some higher growth opportunity.
- ☐1 Preservation of capital, investments with low volatility.

Portfolio Questionnaire

5. Which statement describes your attitude regarding stock market exposure?

- ☐4 High Exposure: I believe higher exposure is necessary for long-term growth.
- ☐3 Moderate Exposure: My goal is to obtain moderate growth, and I would like to diversify my investment asset types.
- ☐2 Low Exposure: While I would like to obtain some growth, my main objective is to generate income.
- ☐1 No Exposure: My sole purpose is to generate income, and I do not want to subject myself to stock market volatility.

6. What do you expect to do with the equity of this investment?

- ☐5 Create a nest egg to fund retirement or a child's education in 15 or more years.
- ☐3 Create a nest egg to fund retirement or a child's education in fewer than 15 years.
- ☐1 Supplement income on an ongoing basis.

7. Which statement best describes your attitude about the fluctuation of this investment within a quarter?

- ☐5 Not concerned, fluctuation within one quarter is unimportant particularly if I am well positioned for strong market cycles.
- ☐3 Somewhat concerned; although, I do not plan to access these funds immediately, I would not be comfortable with too much market fluctuation.
- ☐1 Concerned, consistency of results is more important than long-term performance.

8. Which statement best describes your attitude about the fluctuation of this investment within the next 3 years?

- ☐5 I can accept a loss.
- ☐3 I would like to at least break even.
- ☐1 I would like to earn at least a small return.

9. What would you expect from this investment overtime?

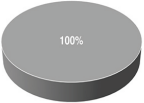
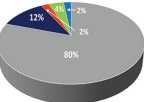
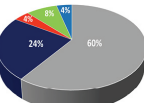
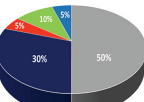
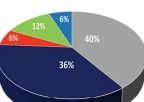
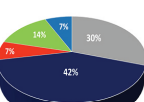
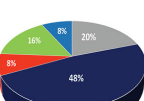

- ☐5 Maximum Growth
- ☐4 Keep general pace with the stock market
- ☐3 Lower risk exposure and modest returns
- ☐2 High stability and current income
- ☐1 Lowest risk exposure with a return

Total Your Points:

1. ____	4. ____	7. ____	Total Points:
2. ____	5. ____	8. ____	_____
3. ____	6. ____	9. ____	

Your Asset Allocation

Once you've answered the Portfolio Questionnaire, match it to one of the model portfolios listed below. The model portfolios use a broad approach to diversify holdings across many asset classes, which includes combinations of different types of stock investments, bonds and cash equivalents.

Point Range	DFA/Efficient Frontier Series (DFA/EFS) Portfolio Description	
9 - 12	 <p>The DFA/EFS 0/100 Portfolio provides investors with a conservative and consistent stream of income with minimal volatility. The investor remains diversified in the bond markets by investing in various asset classes, which are comprised of government and corporate bonds of various quality, geographical region and maturity.</p>	
13 - 16	 <p>The DFA/EFS 20/80 Portfolio provides investors with the opportunity to build wealth through a conservative risk managed approach. With 80% of the portfolio invested in fixed income assets, exposure to the stock market is limited, while the bond exposure provides a consistent stream of income for the investor. To keep pace with inflation, the portfolio invests 20% into the stock market, which raises the growth potential over that of a portfolio void of stock exposure.</p>	
17 - 20	 <p>The DFA/EFS 40/60 provides a balanced investment approach with a conservative emphasis. The portfolio has a healthy exposure to the stock market, with 40% of its assets diversified throughout equity asset classes, and is moderated by a strong bond presence. With 60% of the portfolio assets in the bond market, the investor can receive a consistent stream of income with protection from a downward stock market.</p>	
21 - 25	 <p>The DFA/EFS 50/50 Portfolio aims to provide a balance between capital preservation and capital appreciation. With equal exposure to equity and fixed income markets, the portfolio is designed for those who are most comfortable with a balanced approach and have a moderate tolerance for investment fluctuations.</p>	
26 - 29	 <p>The DFA/EFS 60/40 Portfolio provides a fairly balanced investment approach with an emphasis on long-term growth. The portfolio is more resistant to inflation with an increased potential for capital appreciation. Its 40% bond presence provides income to the investor and helps dampen volatility during a stock market downturn.</p>	
30 - 33	 <p>The DFA/EFS 70/30 Portfolio provides a sizable exposure to the stock market, with a more aggressive approach towards capital appreciation. The 30% fixed income exposure provides limited income generation with some downside protection.</p>	
34 - 37	 <p>The DFA/EFS 80/20 Portfolio provides substantial exposure to the global stock market, with an aggressive approach towards capital appreciation. A small bond presence is maintained, but income generation and downside protection is limited.</p>	
38 - 43	 <p>The DFA/EFS 100/0 portfolio is the most aggressive portfolio in the series offering full exposure to equity markets. The portfolio is diversified between domestic and international stocks, with no exposure to the bond markets.</p>	