

INVESTMENT ADVISOR QUESTIONNAIRE

Advisors' Duties to Clients

Will my account(s) be Brokerage _____ or Advisory _____ in nature (check one)?

Do you accept fiduciary responsibility for all aspects of the advisory relationship with me (i.e. will you agree to hold my interests above your own in every event)?

YES _____ NO _____

Are you or your firm a Registered Investment Advisor?

YES _____ NO _____ If YES, please provide a copy of your ADV Part II

Fees, Commissions & Investment Expenses Reporting

Please indicate your means of compensation:

_____ Fee-based ~ •• š • •

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_____ Fee-based (i.e. fees plus commissions)

_____ Commission-based

_____ Other (PLEASE EXPLAIN)

To the extent that you, your firm, or an affiliate of you or your firm receives commissions, fees, mark-up or other compensation resulting from my purchase or sale of mutual funds, bonds, equities, insurance or other investment products, are you willing to provide written statements delineating the total dollar amount of any such commissions, fees, mark-up or otherwise on an ongoing basis?

YES _____ NO _____ N/A _____ (if applicable)

Can you provide the annual operating expenses of each of the funds that you will recommend? In the event that you are not yet prepared to provide a detailed prospectus for portfolio implementation, can

