

Confidential Investor Profile

The development of an effective investment plan requires that our Investment Consultant be able to know certain things about your current financial situation, such as investment experience, risk tolerance and how your assets are currently invested. It is important that you answer these questions thoughtfully and completely. Failure to do so could result in an investment proposal that does not address all your needs.

Please be assured that this information will be kept strictly CONFIDENTIAL. Halbert Wealth Management will never sell or otherwise share your personal information with anyone.

Personal Information

Your Name: _____

Spouse's Name: _____

Daytime Phone: _____

Cell Phone: _____

Address: _____

Email: _____

Your Birth Date: _____

Your SSN: _____

Spouse's Birth Date: _____

Spouse's SSN: _____

Number of Dependents (excl. spouse): _____

Income & Net Worth

For suitability review purposes, please answer the following questions with your entire portfolio in mind.

Current/former occupation _____

Annual household income (all sources) _____

Cash reserves _____

Liquid investments value _____
(stocks, bonds, mutual funds, etc.)

Value of illiquid investments _____
(limited partnerships, real estate, etc.)

****Do not include the value of your primary residence.**

Do you currently require your investments to supplement your income?

☐ Yes ☐ No

Your Goals, Objectives & Risk Tolerance

What is your investment time horizon?

☐ 1-3 years ☐ 3-5 years
☐ 5-10 years ☐ More than 10 years

Using a scale of 1 to 10 and considering your entire portfolio, with what level of risk are you comfortable? (1=Cash to 10=Very Aggressive) _____

Your portfolio just declined by 15%. What action would you take?

☐ Move all of my money out of the market
☐ Liquidate half of my holdings, even at a loss, but leave the other half invested
☐ Wait six months or so to see if the market will recover before taking any action
☐ Stay the course
☐ I would consider this a buying opportunity

Which of the following best describes your investment objectives?

- ☐ My highest priority is to preserve my investments and I am willing to accept minimal return in order to do so.
- ☐ I seek to generate income from my investments and am interested in investments that have historically demonstrated a low degree of risk of loss of principal value.
- ☐ I seek to grow the principal value of my investments over time and, in pursuit of these gains, am willing to invest in securities that have historically demonstrated a moderate degree of risk of loss of principal value.
- ☐ I seek to somewhat accelerate the growth of the principal value of my investments over time and, in pursuit of these gains, am willing to invest in securities that have historically demonstrated a moderate to above average degree of risk of loss of principal value.
- ☐ I seek a significant appreciation of the principal value of my investments and, in pursuit of these gains, am willing to accept a greater degree of risk by investing in securities that have historically demonstrated a high degree of risk of loss of principal.

During the decline in stock market values that took place from 2007 through 2009, what action did you take with respect to your investments?

- ☐ Sold all equity holdings
- ☐ Moderately decreased equity holdings
- ☐ No changes
- ☐ Moderately increased equity holdings
- ☐ Significantly increased equity holdings
- ☐ Not applicable

How long are you willing to wait for your account to return to its original value after a down market?

Your Investing Experience

How would you describe your level of knowledge with regard to finance and investing?

- ☐ Minimal. I have very little interest in understanding finance and investing, or I have not had the opportunity to learn.
- ☐ Low. I have basic knowledge of finance, such as understanding what stocks, bonds and mutual funds are.
- ☐ Medium. I have knowledge beyond basic products and I understand diversification and other financial and investing terminology and strategies.
- ☐ High. In addition to understanding most financial products and terminology, I understand factors that affect the price of stocks and bonds.
- ☐ Advanced. I have an in-depth knowledge of most financial products, including stocks, bonds and options. I understand overall market risk as well as company-specific risk.

Which of the following types of investments have you owned?

- | | |
|--|----------------------------------|
| ☐ Mutual funds | ☐ Stocks |
| ☐ Bonds | ☐ Options |
| ☐ Variable annuities | ☐ ETFs |
| ☐ Limited Partnerships/
Private Placements | ☐ REITs |

Your Halbert Wealth Management Investments

What approximate percentage of your total portfolio will be managed by HWM? _____

What is your expected annual return for your portfolio with HWM? _____

What would be the worst short-term loss you could accept in your portfolio with HWM? _____

Other Important Information

Is there any other information about your investment objectives, financial condition, or other investments that would help us better evaluate your financial situation? If so, please explain here:

Investor Status (check all that apply)

Accredited Investor

An Accredited Investor is generally,

- a) Any natural person whose individual net worth, or joint net worth with that person's spouse, at the time of purchase exceeds \$1,000,000, excluding the value of their primary residence*, or
- b) Any natural person who had an income in excess of \$200,000 in each of the two most recent years or joint income with that person's spouse in excess of \$300,000 (both spouses should sign) in each of those years and has a reasonable expectation of reaching the same income level in the current year.

☐ Yes, I am an Accredited Investor

Qualified Client

A Qualified Client is generally a natural person whose individual net worth, or joint net worth with that person's spouse, at the time of purchase exceeds \$2,100,000, excluding the value of their primary residence*.

☐ Yes, I am a Qualified Client

Qualified Purchaser

A Qualified Purchaser is generally a natural person whose individual net worth, or joint net worth with that person's spouse, at the time of purchase exceeds \$5,000,000, excluding the value of their primary residence*.

☐ Yes, I am a Qualified Purchaser

*When calculating net worth, you should (i) exclude your primary residence as an asset, (ii) exclude debt secured by your primary residence, up to the fair market value of your residence, (iii) include the amount of any increase on the debt secured by your primary residence incurred within the last 60 days of making a purchase of the securities, unless related to the acquisition of your primary residence, and (iv) include debt in excess of the fair market value of your primary residence.

Your Affirmation

Your signature below affirms that the information you have provided is accurate as of the date listed, and fairly and completely represents your current financial condition. By signing, you also acknowledge that you understand recommendations made by Halbert Wealth Management will be based on this information, plus any subsequent information you may provide orally or in writing.

Signature

Date

Spouse's Signature

Date

DO NOT WRITE IN THIS SPACE – HWM REVIEW

Reviewed by (initials): _____ Date: _____

Notes: _____

