

Unique Lives. Unique Solutions.



Custom Tailored Portfolio Management

Investor Profile

Choosing the right investment strategy is not as complicated as it seems. This investor profile will help us to better understand the type of investor you are and assist us in developing an investment strategy best suited for your unique situation.

Confidential Investor Profile

Contact Information

PRIMARY ACCOUNT OWNER/TRUSTEE:

Name: _____ Tax ID: _____
Date of Birth: _____ State of Legal Residence: _____
Mailing Address: _____
City: _____ State: _____ Zip: _____
Physical Address (if different from mailing address): _____
City: _____ State: _____ Zip: _____
Home Phone: _____ Business Phone: _____ Fax: _____
Cell Phone _____ E-mail: _____
I prefer to be contacted at: Home Business Cell Best time to call: _____
Retired (Y/N) _____ If no, Occupation _____ Business Name: _____
Business Address _____

ADDITIONAL ACCOUNT OWNER/TRUSTEE:

Name: _____ Tax ID: _____
Date of Birth: _____ Business Phone: _____ Fax: _____
Cell Phone: _____ E-mail: _____
I prefer to be contacted at: Home Business Cell Best time to call: _____
Retired (Y/N) _____ If no, Occupation _____ Business Name: _____
Business Address _____

Send Correspondence to: Home Business Bill: Custodian Client

Referred by: _____

Investment Partners

Stellar is authorized to exchange relevant financial information about my portfolio with the following people (check all that apply)

<input type="checkbox"/> Tax Advisor: _____	<input type="checkbox"/> Estate Advisor: _____
Firm: _____	Firm: _____
Address: _____	Address: _____
City: _____ State: _____ Zip: _____	City: _____ State: _____ Zip: _____
Phone: _____	Phone: _____
Fax: _____	Fax: _____
E-mail Address: _____	E-mail Address: _____

Successor Info

(who we're authorized to take instruction from if you die or are incapacitated)

Beneficiaries/Children (Name/DOB):

Investment Objectives

- What is the time horizon for this investment portfolio?

 10 years or more 5 to 10 years under 5 years
- What is your level of investment experience?

 None Some Experience Experienced
- Check the most accurate response from **each** statement below.
 - I prefer constant returns **or** high rewards
 - I prefer current income **or** capital appreciation
 - I can accept low volatility commensurate with lower rates of return **or** high volatility commensurate with higher rates of return
- Which **three** (3) of the following investments would you feel **more** comfortable owning?

 Certificates of Deposit & Government Bonds Smaller Growth Stocks

 Corporate Bonds Real Estate

 Large Blue Chip Stocks Commodities
- What are your expectations for this portfolio? (*please choose one*)

 Absolute figures **Relative figures** **Risk Adjusted**

 Total Return _____% Inflation + _____% (Custom tailored)

 Pre-Tax Income _____% Money Market + _____%
- Please rank the following objectives with 1 being the most and 7 being the least important to you. (Please use each number only once)

 _____ Liquidity

 _____ Current Income (*dividends and interest*)

 _____ Tax Deferral

 _____ Maximum Capital Growth (*total return*)

 _____ Future Income (*appreciation now, income later*)

 _____ Safety of Principal (*low volatility of returns*)

 _____ Inflation Protection (*preservation of purchasing power*)
- Circle the level of risk you are willing to accept in your Stellar Capital Management portfolio.

Conservative			Moderate		Growth		Aggressive Growth		
1	2	3	4	5	6	7	8	9	10
Emphasis on generating a stable level of current income and capital preservation. Future capital appreciation is a secondary objective. Modest annual principal fluctuation is expected and acceptable. Portfolio will consist of a determined allocation among equities, fixed income, and cash, with a primary emphasis on fixed income.			Emphasis on both current income and future capital appreciation. Principal risk and fluctuation is expected and acceptable over the intended investment time horizon (at least 3 years). Portfolio will consist of a determined allocation among equities, fixed income, and cash.		Emphasis is on future capital appreciation. Principal risk and fluctuation is expected and acceptable over the intended long-term investment time horizon (in excess of 5 years). Portfolio will consist of a determined allocation among equities, fixed income, and cash, with a primary emphasis on equities, which could include private investment funds.		Emphasis on maximizing long-term capital appreciation returns. Ongoing principal risk and fluctuation is expected and acceptable over the intended long-term investment time horizon (in excess of 5 years). Portfolio will consist almost entirely of equities, which could include private investment funds.		

Portfolio Specifics

8. What is the approximate amount to be invested with Stellar Capital Management, LLC?

\$ _____

9. What percentage of your investable assets will this portfolio represent?

75% to 100%

25% to 49%

50% to 74%

Less than 25%

10. What type of accounts (Individual, Trust, Retirement, Family Limited Partnership, etc)? _____

11. Please list any specific types of investments you would like to exclude from your portfolio or any constraints regarding asset allocation, sector or industry weightings, quality or maturity guidelines, or international exposure limitations. Also, list any constraints on your portfolio with regard to legal, social, or tax considerations. **If none, please specify none.**

12. What is your current financial situation?

	Investor 1	Investor 2	
Years to Retirement	_____	_____	Marginal tax rate % _____
Pension Income	_____	_____	Total Annual pre-tax income \$ _____
Estimated Social Security Income	_____	_____	Realized Capital Loss/Gain: Carry forward \$ _____
			YTD \$ _____

13. Planned cash flow activity:

Contributions \$ _____ Distributions \$ _____

Description & Timing of each _____

14. Do you expect to be fully invested at all times? Yes No Manager's discretion

15. Real Estate:

Residence Equity \$ _____ Financing Cost \$ _____ (mo/yr)

Investment Equity \$ _____ Net Income \$ _____ (mo/yr)

16. Other assets (please describe):

Employer Retirement Plans: _____

Insurance Products (life insurance or annuities): _____

Other assets worth noting (e.g., 529 plans, beneficiary of trust, planned inheritance): _____

Please Note: Unless you indicate to the contrary in the spaces provided above, we will assume that there are no restrictions on our services, other than to manage your account(s) in accordance with your designated investment objective.

ACKNOWLEDGMENT

The responses set forth on this Investment Profile are intended to elicit information from you to assist in identifying your investment need(s)/objective(s) and risk parameters. This profile will be the document that shall confirm your investment objective and any corresponding investment-related restrictions and Stellar Capital Management, LLC, will rely on this information in managing your account(s) until you advise us, in writing, to the contrary. Past performance may not be indicative of future results. Different types of investments involve varying degrees of risk. Therefore, it should not be assumed that future performance of any specific investment or investment strategy (including the investments and/or investment strategies recommended by Stellar Capital Management, LLC) will be profitable or equal the corresponding indicated performance level(s). Please remember that it remains your responsibility to contact us if there are any changes in your personal/financial situation or investment objectives for the purpose of reviewing/evaluating/revising our previous recommendations and/or services. Please also remember to advise us if you would like to impose, add, or modify any reasonable restrictions to our investment advisory services.

Stellar Capital Management, L.L.C.	Client Signature
Printed name/ Date	Printed Name/ Date
	Client Signature
	Printed Name/Date

Interim Adjustments	Date/Initials
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