

Mariner Forms

Client Investment Profile

Minimum Requirements

1. Pages 2 and 3 - Notes
 - a. Please list Legal Name(s), including middle initial if known, of client(s). Be sure if the client has a suffix (Sr., Jr., II, etc.) that you include that information.
 - b. If the client will be making contributions or taking distributions regularly, please be sure to let us know in question #1.
 - c. Complete the 10 questions on pages 2 and 3. Consistency of responses should be considered. For example, if a client cannot accept fluctuations in their portfolio value or otherwise wants to minimize volatility, it would not generally be appropriate to expect excess returns.

2. Page 4 - Notes
 - a. If clients have any investment restrictions or you have any other important information about these accounts, please include them on this page.
 - b. If the client(s) is available to sign the form before you send it, please have the form signed. If the form is not signed when we receive it, we will include it in the paperwork to be completed. Funded accounts cannot be invested without this signed form. We do not need to have a signed form to prepare an investment proposal.

3. Send completed Client Investment Profile with Account Profile and CURRENT Statements for accounts to be transferred to proposals@marinerwealthadvisors.com

Frequently Asked Questions

Q: Question 1

A: Contributions into an account and distributions from an account can have a material impact on how an account is allocated and invested. If there are distributions planned within the first three months this could also result in early redemption fees from mutual funds.

Q: Question 2

A: This should reflect significant withdrawals or change in strategy only. Typically, reaching retirement age does not require a significant allocation change as retirement assets could need to last for several decades after retirement.

Q: Question 5 and 7

A: The response to these questions are not specific to Mariner Wealth Advisors' performance, and assumes a similar market decline.

Q: Question 9

A: An Ultra Conservative risk profile would generally reflect an equity allocation of <20%, Conservative <45%, Moderate <60%, Moderately Aggressive <70%, Aggressive under 90%, and Ultra Aggressive up to 100%. Final asset allocation will be determined in conjunction with responses to other questions.

Q: Question 10

A: Expected annual return should be consistent with risk appetite elsewhere in the risk tolerance questionnaire.