



Client Investment Profile

To determine risk tolerance

Client Name _____ Date of Birth _____

Joint Client Name (if applicable) _____ Date of Birth _____

Total Assets to be Managed \$ _____ % of Total Net Worth _____%

Approximate Annual Household Income \$ _____ Expected Date of Retirement _____

Federal Tax Rate _____% State Tax Rate _____%

Income Desired from Portfolio \$ _____ Monthly Quarterly Annually

Anticipated Start Date for Income _____

1) Are there significant contributions and/or distributions planned over the next three years?

Yes No

Type and Amount: Contribution \$ _____ Distribution \$ _____

2) How long do you expect to be able to commit to a specific investment strategy without requiring significant capital withdrawals, or materially altering your investment objectives?

< 1 Year 1 to 5 Years 5 to 10 Years 10+ Years

3) Please indicate the types of investments you currently own or have owned in the past:

- Money Market Funds/Cash Equivalents/CDs
- Individual Bonds/Bond Funds
- Individual Stocks/Stock Funds
- International Securities/International Funds
- Options/Futures

4) The following term describes my knowledge of investments:

- None
- Limited
- Good
- Extensive

5) Which of the following best describes your reaction if the value of your portfolio suddenly declined 15%?

- I would be very concerned because I cannot accept fluctuations in the value of my portfolio.
- I invest for long term growth, but would be concerned about even a temporary decline.
- If the amount of income I received was unaffected, it would not bother me.
- I invest for long term growth and accept temporary fluctuations due to market influences.

6) Consider the annual returns of the five hypothetical portfolios below. Which best corresponds with your investment profile? Please note that these numbers are hypothetical, and do not represent the performance of an actual portfolio.

	Annual Return	Best Case Scenario	Worst Case Scenario
<input type="checkbox"/> Portfolio 1	7%	15%	-5%
<input type="checkbox"/> Portfolio 2	8%	23%	-10%
<input type="checkbox"/> Portfolio 3	10%	30%	-18%
<input type="checkbox"/> Portfolio 4	12%	40%	-25%
<input type="checkbox"/> Portfolio 5	14%	50%	-30%

7) Would you be concerned if your portfolio earned a negative return for three consecutive quarters?

- Yes No

8) Which of the following statements do you agree with most?

- I am most focused on insulating this portfolio against declines in value even though I may forfeit potential return.
- I am equally concerned about minimizing losses and maximizing gains within my portfolio.
- I would prefer that this portfolio increase steadily while minimizing sharp fluctuations in value.
- I am most focused on maximizing potential return and understand that sharp market downturns may occur which will decrease the value of my portfolio.

9) My primary risk profile with respect to this portfolio is best described as the following:

- Ultra Conservative – Stable level of current income with minimal growth and volatility expected.
- Conservative – Stable level of current income with capital appreciation as a secondary goal. Principal fluctuation acceptable over medium- to long-term range.
- Moderate – Current income and future capital appreciation is expected. Principal fluctuation acceptable over medium- to long-term range.
- Moderately Aggressive – Future capital appreciation with minimal current income. Principal risk and fluctuation acceptable over medium- to long-term range.
- Aggressive – Future capital appreciation is primary objective. Principal risk and fluctuation is acceptable over long-term range.
- Ultra Aggressive – Future capital appreciation is the only objective. Principal risk and fluctuation is acceptable over long-term range.

10) What is the annual return that you expect this portfolio to earn? Please note that these ranges do not represent an expressed or implied guarantee of performance.

- 0% to 4% 5% to 7% 8% to 9% 10% to 12% 13% to 15% 15%+

Investment Restrictions/Other Important Information*

If none, please indicate "None"

**Represents the client's aggregate objectives/goals/restrictions. The client's portfolio could be comprised of multiple accounts, all of which, when viewed in the aggregate, reflect the client's overall objective/goal/restrictions.*

Please Note: Unless you indicate to the contrary in the spaces provided above or on the Account Exceptions & Special Instructions form, we will assume that there are no restrictions on our services, other than to manage the account in accordance with your designated investment objective(s) which will be based upon the information provided above and your indicated risk parameters. The responses set forth on this information form are intended to elicit information from you to assist in identifying your investment need(s)/objective(s) and risk parameters. The response to any one question on the Client Investment Profile should not be construed, nor will serve, as a mandate that will govern the engagement unless specifically set forth above or on the Account Exceptions & Special Instructions form.

Please Remember: Past performance may not be indicative of future results. Mariner Wealth Advisors ("MWA") is an SEC registered investment adviser. Registration of an investment advisor does not imply a certain level of skill or training. MWA is in compliance with the current notice filing requirements imposed upon registered investment advisers by those states in which MWA maintains clients. MWA may only transact business in those states in which it is notice filed, or qualifies for an exemption or exclusion from notice filing requirements. Any subsequent, direct communication by MWA with a prospective client shall be conducted by a representative that is either registered or qualifies for an exemption or exclusion from registration in the state where the prospective client resides. For additional information about MWA, including fees and services, please contact MWA or refer to the Investment Adviser Public Disclosure website (www.adviserinfo.sec.gov). Please read the disclosure statement carefully before you invest or send money.

Client Signature: _____ **Date:** _____

Joint Client Signature: _____ **Date:** _____