MARINER

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 $ ______________________ 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 maintain your overall investment strategy without needing to significantly change your risk tolerance or withdraw a substantial portion of your portfolio? Substantial withdrawals would be amounts above and beyond planned recurring distributions (e.g., RMDs).

☐ < 1 year (I may need to liquidate a significant portion of my investments, or otherwise wish to limit my exposure to equities)

☐ 1 to 5 years (I anticipate needing access to a moderate portion of my portfolio beyond planned distributions, or need to limit my exposure to equities)

☐ 5 to 10 years (I expect to stay invested with only routine withdrawals, such as RMDs, and can maintain a long-term investment strategy)

☐ 10+ years (I can maintain my investment strategy with minimal or no unexpected withdrawals or change in risk tolerance)

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
☐ **Portfolio 1**	7%	15%	-5%
☐ **Portfolio 2**	8%	23%	-10%
☐ **Portfolio 3**	10%	30%	-18%
☐ **Portfolio 4**	12%	40%	-25%
☐ **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) **With respect to this portfolio, my primary risk profile is best described as:**

- ☐ 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%+

Account Exceptions and Special Instructions

Please indicate any exceptions, restrictions or special instructions that apply to any client accounts (including any cash withdrawals to occur within 90 days of account(s) being funded). These will automatically be included in Mariner's Account Expectations and Special Instructions form.

If none, please indicate "None"

Notes/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 is the marketing name for the financial services businesses of Mariner Wealth Advisors, LLC and its subsidiaries. Investment advisory services are provided through the brands Mariner Wealth, Mariner Independent, Mariner Institutional, Mariner Ultra, and Mariner Workplace, each of which is a business name of the registered investment advisory entities of Mariner. For additional information about each of the registered investment advisory entities of Mariner, including fees and services, please contact Mariner or refer to each entity's Form ADV Part 2A, which is available on the Investment Adviser Public Disclosure website (www.adviserinfo.sec.gov). Registration of an investment adviser does not imply a certain level of skill or training.

Client Signature: ______________________________ **Date:** ____________________

Joint Client Signature: ______________________________ **Date:** ____________________