

INVESTMENT & FINANCIAL PLANNING QUESTIONNAIRE

Thank you for your interest in our services. The information solicited in the following pages would enable us to provide you with comprehensive thoughts on your current investment program and how it may fit within your overall circumstances and aspirations.

Although Dow Capital Management, LLC does not provide legal or tax advice, by taking a broad perspective, we often are able to raise issues that might warrant more thorough attention by an estate planning attorney or qualified tax professional.

In order to provide feedback on your current investment program, we will need a list of your current holdings. Generally, copies of account statements are helpful. For taxable accounts, acquisition dates and cost data are helpful. On page 4, you will find more details on what is needed.

We look forward to being of service.

YOURSELF

Title: *Mr. / Mrs. / Miss / Ms. / Dr. / M. D. / Esq. / None* Other: _____

Name: _____

Age: _____ Country of citizenship: *U. S.* and/or _____

Mailing Address

Legal Address

_____	_____
_____	_____
_____	_____
_____	_____

Please circle one: *Employed Retired Partially Retired*

Current (or previous) occupation: _____

If not retired, expected retirement date: _____

Telephone: Home: _____ Work: _____ Cell: _____

E-mail address: _____ @ _____

Estimated income tax bracket (Federal & State Combined): _____%

Currently: *Single Married*

Number of: Children: _____ Grandchildren: _____

Do you have any dependents? *None Minor children Other:* _____

SPOUSE OR EQUIVALENT

Title: *Mr. / Mrs. / Miss / Ms. / Dr. / M. D. / Esq. / None* Other: _____

Name: _____

Age: _____ Country of citizenship: *U. S.* and/or _____

Mailing Address Same as above

Legal Address Same as above

_____	_____
_____	_____
_____	_____
_____	_____

Please circle one: *Employed Retired Partially Retired*

Current (or previous) occupation: _____

If not retired, expected retirement date: _____

Telephone: Home: _____ Work: _____ Cell: _____

E-mail address: _____ @ _____

Income tax bracket (Federal & State Combined): _____%

Number of: Children: _____ Grandchildren: _____

Do you have any dependents? None Minor children Other: _____

INVESTMENT ASSETS

Would you please provide us with a detailed listing of your current financial holdings—such as copies of account statements. (If you send us the originals of your account statements, we will photocopy the documents and return the originals to you.)

Importantly, for taxable accounts, if you have cost basis data readily available, that information would be especially helpful.

Employer-Based Retirement Accounts

If you have a retirement plan (such as a 401(k) or 403(b)) with your current or former employer, if you wish to provide:

- (1) A listing of the current investments and
- (2) A listing of the investment choices available to you through the plan,

We could give you some input as to how you may wish to handle these accounts.

INVESTMENT OBJECTIVES

Do you currently rely on your investment portfolio to help meet your living expenses? Yes / No

- If yes, what is the current annual dollar amount that you require from the portfolio: \$ _____

- If no, how many years before you might need to draw on your portfolio for living expenses? _____

Aside from regular annual living expenses, do you expect to draw on your investments to meet any significant expenses during the next several years (e.g., education expenses or a home purchase)? Yes / No

If yes, what is the total dollar amount that you expect to need? \$ _____

What are your goals as they relate to your investment portfolio?

SPECIAL CIRCUMSTANCES AND/OR CONSIDERATIONS

Please describe any special circumstances and/or considerations such as those relating to health; or specific financial or estate planning objectives which you feel may not be covered or adequately addressed elsewhere in this questionnaire:

REASONS FOR CONTACTING DOW CAPITAL MANAGEMENT

Do you have particular concerns that are not being adequately addressed by your current financial advisor that you hope we might give better attention?
