

About the Questionnaire:

This is your Investment Profile Questionnaire. After you complete and return this questionnaire with a copy of your most recent account statements, your Colorado Financial Representative will provide you with a portfolio recommendation based on your personal investment policy. If you need assistance or have any questions, please call your Colorado Financial Representative who will be happy to help you.

I. Profile Questionnaire

1. What type of account do you plan on opening? (Please check one)

- Taxable IRA Roth IRA IRA Rollover
- SEP IRA 401(k)/403(b) Plan Defined Benefit Corporate
- Money Purchase/Profit Sharing Other:

2. What is the potential investing time frame for the assets in your Advisory account?

- Under 3 years
- 3-5 Years
- 5-10 Years
- Over 10 years

3. Which of the following would best describe your investment objective for your account? (Please choose one)

- Income
- Primarily Income, Secondarily Growth
- Primarily Growth, Secondarily Income
- Growth
- Balanced (an allocation of equities and fixed income)
- Global

4. If income is your primary objective, what is the desired income needed from your account?

_____ Desired Annual Income before taxes Date Needed _____

5. Colorado Financial believes that proper diversification can be accomplished with carefully selected securities. Colorado Financial may or may not use bonds when financial conditions dictate. Would you be comfortable owning a portfolio without fixed income?

- YES
- NO
- Comments _____

6. Which statement(s) would best summarize your investment methodology in the past?

Day Trading Market Timing Buy/Hold Other

7. How many years of experience do you have in investing?

None Less than five years 5-10 years Over 10 years

8. Please rank the following objectives 1 through 4 as to their importance in the success of your portfolio with "1" being your most important and "4" being the least important goal.

_____ Capital Appreciation

_____ Income

_____ Asset Preservation

_____ Staying ahead of Inflation

9. The level of risk you are comfortable with is an important part of the development of your personal investment policy. Usually to achieve a higher return, you must also increase your personal risk. Given your psychological tolerance towards unrealized losses and your financial ability to afford them, which portfolio would you choose? How much fluctuation (up or down) in annual returns are you willing to accept? Keep in mind that less fluctuation generally means lower potential for returns. *These numbers are not guarantees of actual portfolio fluctuations.*

Low Risk 0% - 5%

Conservative Growth 5% - 10%

Growth 10% - 15%

Aggressive Growth 15% - 40%

10. How many months of living expenses do you typically keep in cash reserves?

Under 3 months 3 – 6 months 6 – 12 months Over 12 months

11. What percent of the assets in your portfolio would you anticipate needing over the next 3 years?

0% - 10% 11% - 35% Other _____

12. What is your gross income? Please be sure to include salary, commissions, bonuses, pensions, interests, dividends, and all other income? \$ _____

13. What is your best estimated net worth? Do NOT include the market value of your personal residence, but do include any real estate held for investment purposes.

My debts exceed my assets

Under \$100,000

\$100,000 to \$500,000

\$500,000 to \$1,000,000

Over \$1,000,000 Please state amount _____

II. Personal Information

Advisory Client Name

Advisory Client Address City State Zip

Daytime Telephone Number Occupation Marital Status Dependents Retired Retirement Date

I hereby acknowledge receipt of the Firms Disclosure Brochure. Thank you for completing this questionnaire. Our recommendations will be based on the assumption that the answers to this questionnaire are complete, accurate and reflect your current situation. If any of the information contained in your questionnaire changes, please contact your advisor immediately.

Client A/Trustee Signature Date Client B/Trustee Signature Date

III. Additional Notes or Information of Importance

Lined area for additional notes or information.