

I. Identification of Account Holder(s) – The “Client” authorizing the Investment Advisory Contract Owner

Name: _____ SSN: _____ DOB: _____
First Middle Last

Address: _____ Phone: _____
Street City State Zip

Home E-mail: _____ Work E-mail: _____

ID Type: *Driver’s License* *Passport* *Gov’t Issued ID* Issuing State/Country:

ID #: _____ Issue Date: _____ Exp. Date

Spouse’s Name: _____ DOB: _____
First Middle Last

Spouse’s Employer: _____

JOINT OWNER

Name: _____ SSN: _____ DOB: _____
First Middle Last

Address: _____ Phone: _____
Street City State Zip

Home E-mail: _____ Work E-mail: _____

ID Type: *Driver’s License* *Passport* *Gov’t Issued ID* Issuing State/Country:

Spouse’s Name: _____ DOB: _____
First Middle Last

Spouse’s Employer: _____

II. Account Information

Identification of Account – The “Account” included under the Investment Advisory Contract

Account Number: _____ Registration: _____

Initial Contribution: _____ Source of Funds: _____

Identification of Custodian – The custodian’s agreement is not attached as part of this statement

Custodian or Other Authorized Third Party:

Mailing Address:

Telephone:

III. Fee Schedule

The following are the fees charged by AMFG Wealth Management, LLC for services provided.

AMFGWM will not be compensated on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of the Account.

All fees are paid in arrears. AMFGWM uses the value of the account as of the last business day of the billing period, after taking into account deposits and withdrawals, for purposes of determining the market value of the assets upon which the advisory fee is based.

Portfolio Management Fees

AMFG Wealth Management - Firm Fee	Annual Fee	Frequency Billed

_____ AMFGWM is authorized to withdraw management fees directly from the Account

Portfolio Management Fees

AMFG Wealth Management - Rep Fee	Annual Fee	Frequency Billed

_____ AMFGWM is authorized to withdraw management fees directly from the Account

Selection of Other Advisers Fees

AMFGWM will be compensated via a fee share from the adviser identified below.

Third Party Adviser	Annual Fee	Frequency Billed

_____ AMFGWM is authorized to withdraw management fees directly from the

_____ Account Client agrees to the aggregate advisory fee of _____ %

IV. Suitability & Risk Tolerance

Income & Net Worth Statement	<i>Owner</i>	<i>Joint Owner</i>	<i>Joint Accts</i>	<i>TOTAL</i>
Current annual income:				
Net worth (excluding primary residence):				
Liquid net worth:				
Qualified assets:				
Nonqualified assets:				
Annuities in surrender:				
Total of all annuities:				
Life insurance cash value:				
Income needs from investments:				
Mortgage – Primary Residence				
Other Debt				

What is your time horizon for this investment?

1-3 years 3-5 years 5-7 years 7-9 years 10 + years

Acceptable percentage of principal loss in a short-term period (less than 1 year)?

Up to 5% Up to 10% Up to 15% Up to 20% Up to 25%

What is your desired annual rate of return?

0 – 2.5% 2.5 – 5% 5 – 7.5% 7.5 – 10% 10% +

Which of the following statements best describes your investment objectives?

My highest priority is to preserve my investments, and I am willing to accept minimal return in order to do so.

I seek to generate income from my investments and am interested in investments that have historically demonstrated a low degree of risk of loss of principal value.

I seek to grow the principal value of my investments over time and, in pursuit of these gains, am willing to invest in securities that have historically demonstrated a moderate degree of risk of loss of principal value.

I seek to somewhat accelerate the growth of the principal value of my investments over time and, in pursuit of the gains, am willing to invest in securities that have historically demonstrated a moderate to above average degree of risk of loss of principal value.

I seek a significant appreciation of the principal value of my investments and, in pursuit of these gains, am willing to accept a greater degree of risk by investing in securities that have historically demonstrated a high degree of risk of loss of principal value.

How would you respond in the event of a decline in the value of your investments?

I would sell my investments immediately if they were to suffer substantial declines in value.

Although declines in investment value make me uncomfortable, I would wait one to two quarters before adjusting my portfolio.

I can endure significant declines in the value of my investments and would wait at least one year before adjusting my portfolio.

Even if my investments were to suffer a significant decline over several years, I would continue to follow my long-term investment strategy and not adjust my portfolio.

I would increase the amount invested in my portfolio in anticipation of an increase in value.

Which of the following statements would make you the most uncomfortable?

- ✓ Making an investment and watching it decline in value.
- Selling an investment and watching it increase in value.

If stock market values declined 15% or more within 2 years, what action would you take with respect to your investments?

- Sell all equity holdings
- Moderately decrease equity holdings
- No changes
- Moderately increase equity holdings
- Significantly increase equity holdings

In general, how do you feel about the decline in stock market values of 15% or more?

- High level of anxiety
- Moderate level of anxiety
- Acceptance that short-term losses are part of investing and assurance that the risk I took was reasonable given the potential long-term gains of my investments
- Indifference
- Excited to be able to invest in assets that had declined in value

How would you describe your level of knowledge with regard to finance and investing?

Minimal: I have very little interest in understanding finance and investing, or I have not had the opportunity to learn

Low: I have basic knowledge of finance, such as understanding what stocks, bonds, and mutual funds are.

Medium: I have knowledge beyond basic products, and I understand diversification and other financial and investment terminology and strategy.

High: In addition to understanding most financial products and terminology, I understand factors that affect the price of stocks and bonds.

Advanced: I have an in-depth knowledge of most financial products, including stocks, bonds, and options, and I understand overall market risk and company-specific risk.

How many years, if any, have you owned each of the following types of investments?

Mutual Funds:		Annuities:	
Stocks:		ETFs:	
Bonds:		REITs:	
Options:		Limited Partnerships:	
Margins:		Futures:	

Investment Profile

Assign values for each option in the order they are listed for each question (i.e. 1st option = 1 point, 2nd option = 2 points, etc.). Score time horizon separately. Note each score below, then use the table to determine the investment profile.

Time Horizon Score: _____

Risk Tolerance Score: _____

		Risk Tolerance Score																													
		8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37
Time Horizon Score	1																														
	2																														
	3																														
	4																														
	5																														

Conservative
 Moderately Conservative
 Moderate
 Moderately Aggressive
 Aggressive

Conservative allocation	Moderately conservative	Moderate allocation	Moderately aggressive	Aggressive allocation
Average annual return: 7.6% Best year: 22.8% Worst year: -4.6%	Average annual return: 8.8% Best year: 27.0% Worst year: -12.5%	Average annual return: 9.5% Best year: 30.9% Worst year: -20.9%	Average annual return: 10.0% Best year: 34.4% Worst year: -29.5%	Average annual return: 10.3% Best year: 39.9% Worst year: -36.0%
For investors who seek current income and stability and are less concerned about growth.	For investors who seek current income and stability, with modest potential for increase in the value of their investments.	For long-term investors who don't need current income and want some growth potential. Likely to entail some fluctuations in value, but presents less volatility than the overall equity market.	For long-term investors who want good growth potential and don't need current income. Entails a fair amount of volatility, but not as much as a portfolio invested exclusively in equities.	For long-term investors who want high growth potential and don't need current income. May entail substantial year-to-year volatility in value in exchange for potentially high long-term returns.

■ Large-Cap Equity
 ■ Small-Cap Equity
 ■ International Equity
 ■ Fixed Income
 ■ Cash Investments

Source: Schwab Center for Financial Research with data provided by Morningstar, Inc. The return figures for 1970–2017 are the compounded annual average and the minimum and maximum annual total returns of hypothetical asset allocation plans. The asset allocation plans are weighted averages of the performance of the indices used to represent each asset class in the plans, include reinvestment of dividends and interest, and are rebalanced annually. The indices representing each asset class in the historical asset allocation plans are S&P 500® Index (large-cap stocks); CRSP 6–8 Index for the period 1970–1978 and Russell 2000® Index for the period 1979–2017 (small-cap stocks); MSCI EAFE® Net of Taxes (international stocks); Ibbotson Intermediate-Term Government Bond Index for the period 1970–1975 and Bloomberg Barclays U.S. Aggregate Bond Index for the period 1976–2017 (fixed income); and Ibbotson U.S. 30-day Treasury Bill Index for the period 1970–1977 and Citigroup 3-month U.S. Treasury Bills for the period 1978–2017 (cash investments). Indices are unmanaged, do not incur fees or expenses, and cannot be invested in directly. Past performance is no guarantee of future results.

Investment Profile: _____ Other:

Investment Objectives, Strategy, Restrictions, & Transaction Rationale:

IV. Signatures

Owner: _____ Date: _____

Printed Name: _____

Joint Owner: _____ Date: _____

Printed Name: _____

Investment Advisor: _____ Date: _____

Printed Name: _____ Split %: _____

Investment Advisor: _____ Date: _____

Printed Name: _____ Split %: _____

Chief Compliance Officer: _____ Date: _____

Printed Name: Al Feronti