

Data Gathering Form

Personal Information

Client Name (Last, First, MI)

Address

Daytime Phone

Evening Phone

Email Address

Social Security Number

Birth Date

Occupation

Name of Employer

Current Federal Tax Bracket

Current State Tax Bracket

Current Local Tax Bracket

Alternative Minimum Tax? (Y/N)

Anticipated Retirement Age

Number of Dependents

Family Information

Spouse's Name (Last, First, MI)

Home Address

Daytime Phone

Evening Phone

Email Address

Social Security Number

Birth Date

Occupation

Name of Employer

Children

Child 1: Name

Date of Birth

Child 2: Name

Date of Birth

Child 3: Name

Date of Birth

Child 4: Name

Date of Birth

Child 5: Name

Date of Birth

Income and Investment Information

Approximate Annual Household Income (All Sources)

Investable Net Worth

Gross Annual Salary Until Year

Subsequent Years

Salary Growth Rate

Additional Non-investment Income
(e.g. rental income, pensions, etc.)

Annual Social Security Benefits

Starting at Age

Projected Total income through Retirement
(includes pension, Social Security and other sources)

Years of Investment Experience

Goal Identification Worksheet

Want to Now: Key Questions

1. What types of leisure activities are you currently involved in?
2. What are you worried about?
3. How involved are you in your community right now?
4. Have you considered a second career?
5. Are you interested in traveling or in other hobbies?
6. With respect to your goals, what would you "like to" be doing right now?
7. If you could, what would you do differently?

Want to Later: Key Questions

1. What would you want to do if you had the resources in the future?
2. What are you hoping to leave for your family?
3. What hobbies would you want to be involved in and in which capacity?
4. What philanthropic endeavors would you want to be involved in and in which capacity? (donations of time, money, resources, etc.)
5. Do you possess any particular skills that could benefit your community interests?
6. What are your thoughts about establishing your legacy or your family's legacy?
7. If you had no heirs, where would you want your wealth to go?
8. Have you considered a second career?
9. Are you interested in traveling or in other hobbies?
10. With respect to your goals, what do you know that you "want to" do in the future?

Have to Now: Key Questions

1. Tell me about your current lifestyle.
2. Do either you or your spouse currently have any health issues? Does anyone in your family have any health or special issues right now?
3. With respect to your goals, what do you know that you have to do (i.e., I must pay for children's education)
4. Which things in life do you think are most important right now?
5. For whom do you feel responsible for?
6. Are you expecting any major life changes in the next 3-5 years?
7. With respect to your goals, what do you know that you "need to" be doing right now?

Have to Later: Key Questions

1. What do you know that you need to achieve in the future?
2. What would you like your life to look like in 5 years? 10 years?
3. How do you see your lifestyle changing beyond 10 years?
4. Tell me about your family.
5. How about support for parents?
6. What is your greatest hope for the family?
7. What is your greatest concern for them?
8. Tell me about your job.
9. With respect to your goals, what do you know that you "need to" do in the future?

WANT TO

Want to Now

GOALS:

GOALS:

Want to Later

GOALS:

PRIORITY

EXAMPLE:

EXAMPLE:

Charitable gift

Second Home

Business Investments

Have to Now

GOALS:

GOALS:

Have to Later

EXAMPLE:

EXAMPLE:

Parental Support

College Funding

Current Lifestyle

Retirement

WANT TO

HAVE TO

NOW

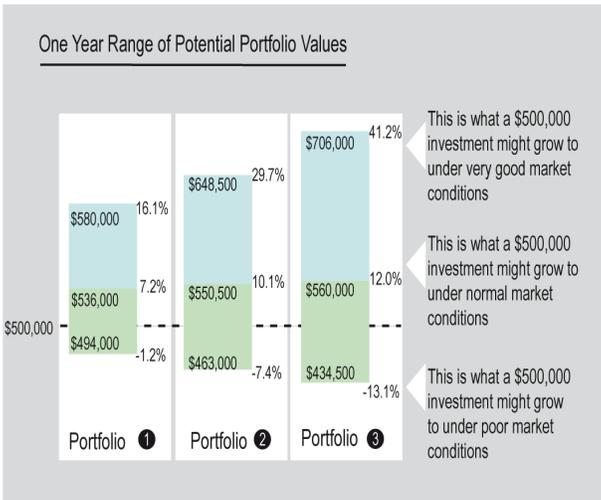
TIMEFRAME

LATER

Risk Tolerance Questionnaire

The following questions have been designed to help determine your overall risk tolerance. For each question, place a check mark next to the answer that is most appropriate. Your advisor will use the score in selecting the appropriate type of investment strategy for each goal.

	Score
1. When you think of the word “risk” in a financial context, which of the following words come to mind first?	
A. Thrill	(5)
B. Uncertainty	(3)
C. Opportunity	(4)
D. Danger	(1)
2. What is your greatest concern?	
A. Underperforming the market.	(5)
B. Not growing my assets significantly over time: I am willing to assume higher risk for higher return potential.	(5)
C. Losing more money than a certain amount within a given time frame.	(3)
D. Losing money in a market downturn along the way.	(3)
E. Running out of money in retirement.	(3)
F. Not having certainty around achieving my wealth goal in the remaining time.	(1)
3. Each year, the value of your portfolio fluctuates as markets change. If you invested \$500,000, which of the following portfolios below would you choose?	
A. Portfolio 3	(5)
B. Portfolio 2	(3)
C. Portfolio 1	(1)
4. What describes you best?	
A. I am a long-term investor focused on growing my assets.	(5)
B. I am focused on preserving current wealth and have little tolerance for losses.	(3)
C. I want to plan long-term but have a hard time shrugging off moderate to severe losses.	(4)
D. I need stable cash flows to meet my living expenses.	(3)
E. I am most concerned about targeting a final value of my assets: I don't mind if this approach sacrifices returns potential.	(1)
5. If I look at my account statement and there is moderate loss, my primary reaction is:	
A. How did my portfolio compare with the market benchmark or other relative measures of success?	(5)
B. I lost money and am unhappy, but am willing to stick with it until a recovery.	(3)
C. I don't mind dips in portfolio value as long as I am still on track to meet my goal(s).	(4)
D. I only worry about losses if they greatly increase the risk that I won't be able to meet my living expenses.	(1)
E. I don't care about short-term losses as long as I have a specific amount of money at a specific time in the future.	(1)
Overall Risk Score	



Disclaimers

Investment Management Disclaimer The advisor can alter the strategy where desired, and to add or omit features of the strategy or to cut the strategy to fit. For example, if the strategy selects 50 stocks, he may decide only to hold 48. Also, he does not feel compelled to update portfolios under any time constraints. For example, maybe a strategy updates monthly and he only updates quarterly. Also, if there is an unexpected development, he may suspend following the strategy as he sees fit.

Insurance Disclaimer No one ever has enough insurance. You always need more. In hindsight of a misfortune, you would always need additional amounts of insurance specifically for that misfortune. However, predicting the future is not anything we can do.

Market Disclaimer Markets fluctuate, wildly at times. You can and will loose money. Markets have up cycles and down cycles. If you haven't encountered a down cycle—you will. This is normal and natural for markets. Specific investments can and may fail at any time. We have no ability to predict the future, nor discern the outcome of complex events.

Due Diligence Disclaimer We are not in the business of testing products, companies, or people. Our staff is small and does not travel much. We cannot adequately investigate every or any item we recommend. We are not lawyers, tax experts, or specialists in new developments. We have been disappointed in the past, even with our own money.

Opinion Disclaimer We understand that Mr. Alotta's advice is just an opinion which may or may not turn out to be correct. Also his advice or opinion may or may not be complete or current for our situation. He does not claim to be a genius and he has his faults. We understand the stock market is risky. Losing money is a regular occurrence in the stock market. We understand we can lose some of our money at any time. We can accept losses and do so willingly and knowingly.

Stock Oriented Approach Disclaimer We understand that Open Door Investment Advisors, Inc. often advocates a buy and hold strategy of mostly stocks or stock funds. We understand the risks of having a portfolio of stocks instead of the mix of stocks and other assets and we are willing to accept the risks of stocks in our portfolio in exchange for the historically higher returns of stocks in the past, and we know that past history is no indicator of the future.

We have read the above disclaimers and have given them due consideration.

Signature	Date
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Signature	Date
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Client Acknowledgement

We wish to hire Open Door Investment Advisors, Inc., and Joseph Alotta, Principal, to manage our investments and to advise us in financial matters.

We understand that Open Door Investment Advisors, Inc., is in the business of providing investment advice and financial planning services and is registered in accordance with all Federal, State and industry requirements.

Investment management fees are billed monthly in advance at the rate of 85 basis points per year (0.85 % per year) or 0.000708333 per month. On \$10,000.00 this is \$7.08 per month. Discounts are sometimes given for referring friends.

Brokerage firms and mutual funds have their own expenses, which are not paid to us.

There may also be fees which occur when a client asks for work on additional financial matters. If a client refuses to pay, the advisor will not continue to work as he deems reasonable.

Disclosure

We are fully aware that the advisor:

- 1) receives no commissions,
- 2) does not hold custody of funds,
- 3) cannot transfer accounts without written consent,
- 4) will not disclose confidential information unless required by law,
- 5) invests our money for long-term goals, and
- 6) makes no promises regarding returns.

We have received a copy of Form ADV, part II, containing all information required by law. We have read the privacy policy statement. We know that both documents are downloadable from opendoorinvestments.com and we will check for updates.

We understand that we can cancel our work arrangement at any time for any reason by giving 30 days written notice. Death, disability, or incompetency will not automatically terminate or change fees for service. There is no penalty for cancellation.

Signature	Date
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Signature	Date
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