



Client Questionnaire

This questionnaire helps us understand your current financial situation, financial goals, values, and tolerance for risk. We will use this information to deliver financial advice that is customized for you.

Please Note: All information will be held in the utmost confidentiality. It will not be shared except as may be authorized by you, or as required by law.

I. PERSONAL INFORMATION

Home Address: _____

Mailing Address: _____

Home Phone: _____ Fax: _____

Marital Status: Single Married / Partnered

CLIENT 1

Name: _____

Date of Birth: _____

Citizenship(s): _____

Social Security # _____

Employed Self-Employed Retired

Homemaker Not Currently Employed

Occupation: _____

Employer: _____

Annual Income: \$ _____

Actual or Expected Retirement Age: _____

Business Address: _____

Business Phone: _____

Cell Phone: _____

E-Mail: _____

Your preferred mode(s) of communication?

Phone E-Mail Mail In Person

CLIENT 2

Name: _____

Date of Birth: _____

Citizenship(s): _____

Social Security # _____

Employed Self-Employed Retired

Homemaker Not Currently Employed

Occupation: _____

Employer: _____

Annual Income: \$ _____

Actual or Expected Retirement Age: _____

Business Address: _____

Business Phone: _____

Cell Phone: _____

E-Mail: _____

Your preferred mode(s) of communication?

Phone E-Mail Mail In Person

Names, Birthdates, and Social Security Numbers (if available) for Children and/or IRA Beneficiaries:

- 1) _____
- 2) _____
- 3) _____
- 4) _____

II. FINANCIAL INFORMATION

Annual Household Income (All Sources): \$_____ Annual Household Expenses: \$_____

Estimated Value of All Savings & Investment Accounts: \$_____

Approx. Market Value of your Home (if owned): \$_____ Mortgage Balance: \$_____

Mortgage Rate: _____% Monthly Payment: \$_____ Approx. Payoff Date: _____

Brief Description & Value of Other Real Estate & Mortgages: _____

Do you have an individual or joint net worth of over \$1 million, not including the value of your primary residence; OR do you have income exceeding \$200,000 in each of the two most recent years or joint income exceeding \$300,000 for those years, and a reasonable expectation of exceeding the same income level this year? Yes No

III. INVESTMENT INFORMATION

Name of Current Brokerage(s) / Investment Advisor(s): _____

For each of your investment accounts, please list the type (Individual, Joint, IRA, etc.), approximate value, and intended use (Retirement, College, Estate, etc.):

NOTE: Please attach copies of recent (within 90 days) statements for brokerage or bank accounts that you wish for us to manage or be aware of.

What is the current investment approach for your portfolio?

(If needed, check more than one and specify which accounts.)

- Lowest Risk (All bonds)
- Low Risk (Mostly bonds)
- Medium Risk (Balanced between bonds & stocks)
- High Risk (Mostly stocks)
- Highest Risk (All stocks)

What changes would you like to see in the current investment approach?

What qualities do you seek in an investment advisory relationship?

When, and how much, do you expect to withdraw from your investment accounts in the future?
Specify which accounts if needed.

Indicate below any investment restrictions or other important information (aside from social and environmental concerns) that you wish us to take into account in managing your account. Unless you indicate to the contrary, we will assume that there are no restrictions on our services, other than to manage your account in accordance with your designated investment objectives.

Please indicate (with an **X**) your estimation of where you would place your overall investment objectives and tolerance for risk (See key below).

1	2	3	4	5
Less Risk				More Risk
Lower Return				Higher Return

- 1) **Capital Preservation:** The primary goal of a “Capital Preservation” portfolio is to preserve principal and avoid risk, with a secondary emphasis on generating income. The investor is willing to take small risks to achieve steady income. Modest annual principal fluctuation is expected and acceptable. This portfolio consists of up to 100% cash and bonds.
- 2) **Income & Growth:** An “Income and Growth” portfolio emphasizes safety and income, with a secondary goal of capital growth. The investor is willing to accept short term losses in return for a degree of long term growth. This portfolio is primarily invested in bonds, with a smaller portion in stocks.
- 3) **Balanced:** A “Balanced” portfolio combines the goals of safety and/or income with capital appreciation. Its volatility is lower than that of the stock market. The investor is willing to accept losses for more than one year while seeking long term growth. This portfolio is comprised of a relatively balanced amount of stocks and bonds.
- 4) **Growth:** The primary goal of a “Growth” portfolio is to increase in value over many years, with a secondary focus on generating income. It is invested primarily in stocks, with a smaller portion invested in bonds. The volatility of this portfolio is historically lower than that of the overall stock market. The investor is prepared to incur losses during bear markets, which can last for several consecutive years.
- 5) **Aggressive Growth:** An “Aggressive Growth” portfolio seeks to increase in value over many years through capital appreciation. The investor is prepared to sustain significant losses during bear markets, which can last for several consecutive years. This portfolio experiences periods of extreme volatility, resulting in wide up and down swings in total value. It is invested in up to 100% stocks.

IV. INVESTMENT ACCOUNT PREFERENCES

If you would like to make periodic contributions to your investment account(s):

How much? \$ _____ How often? _____

Deduct automatically from your bank account? Yes No

If you would like to have periodic withdrawals sent to your bank account:

How much? \$ _____ How often? _____

We highly encourage our clients to receive their investment statements and reports electronically to save resources. May we enroll you in electronic delivery? Yes No

Would you like your advisor to vote proxies on your behalf? Yes No

Do you want a checkbook for your brokerage account? Yes No

If yes, do you want your address printed on the checks? Yes No

Do you want Visa debit cards for your brokerage account? Yes No

If yes, indicate up to two people that will have the debit cards issued in their names:

1) _____ 2) _____

V. NATURAL INVESTING INFORMATION

Why are you interested in Natural Investing? What questions do you have about this field?

Are you interested in investing more in higher risk sectors such as renewable energy, clean technology, and other emerging green sectors of the economy? Yes No

Are you interested in participating in shareholder advocacy campaigns with our support? Yes No

Natural Investments generally recommends investments that have passed multiple environmental, social, and governance screens. When possible and appropriate, Natural Investments recommends investments that have been selected for their leadership in positive solutions such as renewable energy, energy efficiency, human rights, corporate accountability, and environmental cleanup.

If, in addition to our standard investment screening process, you have any areas of special care or concern in which you wish to seek or avoid investments, please specify them below:
