



# THE BROWNING GROUP II, LLC

## Financial Profile Questionnaire

This comprehensive, personal financial summary is designed to help you take inventory and assign realistic values to your personal assets and liabilities. It is the essential first step in organizing your financial future. At The Browning Group II, LLC, our goal is to help you make the right decisions for your financial future. The information you provide in this questionnaire will assist us in making sound recommendations with confidence.

### › BASIC INFORMATION:

Your Name	Birth date (mm/dd/yyyy)	Place of Birth (State)	Social Security #
Spouse's Name	Birth date (mm/dd/yyyy)	Place of Birth (State)	Social Security #
Address	City	State	Zip
Home Phone	Cell Phone	E-mail Address	Mother's Maiden Name
Fax	Spouse's Cell Phone	Spouse's E-mail Address	Spouse's Mother's Maiden Name
Dependent	Birth date (mm/dd/yyyy)	SS#	
Dependent	Birth date (mm/dd/yyyy)	SS#	
Dependent	Birth date (mm/dd/yyyy)	SS#	

### › OCCUPATION:

Your Job Title	Employer & Address(last, if retired)	# of Years	Retirement Date
Spouse's Job Title	Employer & Address(last, if retired)	# of Years	Retirement Date



› **REAL ESTATE:**

Real Estate	Value	Outstanding Mortgage Balance	Years Remaining	Interest %	Payment P/I Only	Additional Monthly Payment
Primary residence	_____	_____	_____	_____	_____	_____
Vacation home/Rental	_____	_____	_____	_____	_____	_____
Vacation home/Rental	_____	_____	_____	_____	_____	_____

› **OTHER DEBT: Student Loans, Credit Cards, Auto Loan, Line of Credit, etc.**

Name	Amount Owed	Interest Rate	Minimum Payment	Actual Monthly Payment
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

› **LIFE INSURANCE:**

**PRIMARY**

Y N

General Health: \_\_\_\_\_ Tobacco User:

Insurance Policy #1: \_\_\_\_\_ Death Benefit: \$ \_\_\_\_\_ Premium: \$ \_\_\_\_\_

Permanent or Term: \_\_\_\_\_ Cash Value: \$ \_\_\_\_\_ Premium Mode: \_\_\_ Annual \_\_\_ Monthly

Insurance Policy #2: \_\_\_\_\_ Death Benefit: \$ \_\_\_\_\_ Premium: \$ \_\_\_\_\_

Permanent or Term: \_\_\_\_\_ Cash Value: \$ \_\_\_\_\_ Premium Mode: \_\_\_ Annual \_\_\_ Monthly

**SPOUSE**

Y N

General Health: \_\_\_\_\_ Tobacco User:

Insurance Policy #1: \_\_\_\_\_ Death Benefit: \$ \_\_\_\_\_ Premium: \$ \_\_\_\_\_

Permanent or Term: \_\_\_\_\_ Cash Value: \$ \_\_\_\_\_ Premium Mode: \_\_\_ Annual \_\_\_ Monthly

Insurance Policy #2: \_\_\_\_\_ Death Benefit: \$ \_\_\_\_\_ Premium: \$ \_\_\_\_\_

Permanent or Term: \_\_\_\_\_ Cash Value: \$ \_\_\_\_\_ Premium Mode: \_\_\_ Annual \_\_\_ Monthly



› **MONTHLY FAMILY EXPENSES:**

Fixed \$ \_\_\_\_\_

Variable \$ \_\_\_\_\_

**TOTAL** \$ \_\_\_\_\_

› **GENERAL:**

Are you anticipating any major lifestyle changes?  
(i.e., marriage, divorce, retirement, moving, etc.)

Yes     No     Uncertain

If so, what changes are you expecting? \_\_\_\_\_

Are you comfortable with your current cash flow?

Yes     No     Uncertain

Do you anticipate any significant changes in your cash flow?

Yes     No     Uncertain

Do you anticipate any major expenditures in the near future?

Yes     No     Uncertain

If so, what expenditures are you expecting? \_\_\_\_\_

› **PROTECTION:**

Do you have any potential health problems?

Yes     No     Uncertain

Do you have adequate medical coverage?

Yes     No     Uncertain

Do you have adequate personal liability coverage?

Yes     No     Uncertain

Amount \$ \_\_\_\_\_

Do you have enough life insurance?

Yes     No     Uncertain

Do you have an emergency fund (money set aside in savings) ?

Yes     No     Uncertain

› ESTATE PLANNING:

- Do you have updated/adequate wills?  Yes  No  Uncertain
- Have you established any trusts?  Yes  No  Uncertain
- Will you be receiving a significant inheritance?  Yes  No  Uncertain
- Have you adequately considered estate taxes?  Yes  No  Uncertain
- Have you provided adequate estate liquidity for your heirs?  Yes  No  Uncertain
- Is proper titling a concern?  Yes  No  Uncertain
- Do you have long-term health care coverage?  Yes  No  Uncertain

› CONCERNS:

Please list any concerns you may have: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

› GOALS:

What are your major objectives for your investments?

- Current and future income
- Keeping ahead of inflation
- Preserving capital
- Increasing returns
- Building wealth for heirs

Investment Goals	Low Priority										High Priority									
Return should exceed inflation rate	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10
Principal should be safe	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10
Investments should be liquid (immediately accessible)	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10
Diversification is important	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10
I want to reduce my taxable income	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10
I want to build tax-free income	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10
I am interested in long-term growth	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10
I am interested in short-term profits	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10



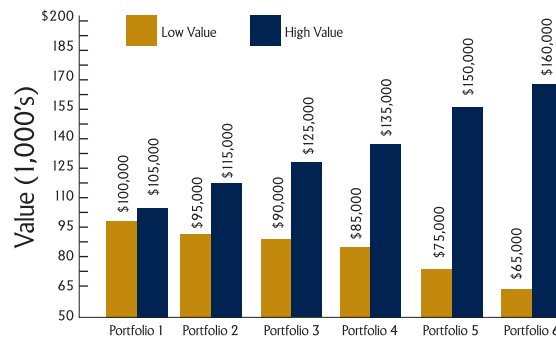
## › RISK PROFILE:

1. What is your age?

- A. 30 years or under                      B. 31 – 49                      C. 50 – 65                      D. 66+

2. Assume you are investing \$100,000 and have the following hypothetical portfolios from which to choose. The dollar values below represent the two possible values of these portfolios after one year – low and high. Assuming there is an equal chance of achieving either results (low or high), indicate which portfolio represents the maximum risk/return trade-off you would be willing to accept.

- A. Portfolio 1  
B. Portfolio 2  
C. Portfolio 3  
D. Portfolio 4  
E. Portfolio 5  
F. Portfolio 6



\* This example is hypothetical and for illustrative purposes only. It does not represent any particular investment.

3. Your investable assets are:

- A. Greater than your current income                      B. Less than your current income

4. Keeping in mind your investment goals for your account and your tolerance for short-term market fluctuations, where would you place yourself on the following risk tolerance scale?

- A. 1 (least risk tolerant)                      B. 2                      C. 3                      D. 4  
E. 5                      F. 6                      G. 7                      H. 8  
I. 9                      J. 10 (most risk tolerant)

5. Over the next several years, you expect your annual income to:

- A. Stay about the same                      B. Grow moderately                      C. Grow substantially  
D. Decrease moderately                      E. Decrease substantially

6. What do you expect to be your next major expenditure?

- A. Buying a house                      B. Paying for a college education  
C. Providing for retirement                      D. Capitalizing a new business

7. When do you expect to use the bulk of the money you are accumulating in your investments?

- A. Any time in the coming months. Liquidity is highly important.  
B. Probably in the future – 1 to 5 years from now.  
C. 6 – 10 years from now  
D. 11 – 20 years from now

8. Life insurance may be useful in protecting assets and/or in reducing any subsequent estate tax liabilities. Which of the following best describes your situation?
- A. I have adequate life insurance
  - B. I do not have life insurance, but I plan to acquire it in the near future
  - C. I do not have any life insurance and do not intend to acquire any
9. What is the investment time horizon most appropriate for this account? If you are highly concerned about volatility and looking for short-term results, answer "1 year". If you are less concerned with volatility and are looking to maximize long-term performance, answer "8+ years".
- A. 1 year
  - B. 1 – 3 years
  - C. 4 – 7 years
  - D. 8+ years
10. Which of these plans would you choose for your investment dollars?
- A. You would opt for maximum diversity, dividing your portfolio among all available investments, including those ranging from highest return-greatest risk to lowest return-lower risk.
  - B. You are concerned about having too much exposure to any single asset class. You would divide your portfolio between two investments with high rates of return and moderate risk.
  - C. You would put your investment dollars in the investment with the highest rate of return and most risk.
11. If you were to invest in one mutual fund investment option, which of the following would you choose?
- A. A fund that invests in companies holding the potential to make significant technological breakthroughs, and whose stocks are still at their low initial offering prices.
  - B. A fund that only invests in established, well-known companies that have potential for continued growth.
  - C. A broadly diversified fund devoted to well-established, "blue chip" companies that pay dividends.
12. Assume you are investing in a bond. Which of the following would you choose?
- A. A "high yield bond" that offers a higher yield than most other bonds, but also has a higher risk of default than investment grade bonds.
  - B. A "treasury bond" that offers a relatively low interest rate, but is backed by the United States Government.
  - C. The bond of a well-established company that offers a yield and level of risk somewhere between a treasury bond and a high yield bond.
  - D. A "tax-free bond" – because minimizing taxes is your primary investment objective.
13. Select the answer below which best reflects your investment philosophy toward risk and return.
- A. My primary goal is the preservation of my capital. I desire returns slightly exceeding those of risk-free investments. Accordingly, I want my portfolio risk level to be low, with minimal price volatility.
  - B. Growth of capital is my primary objective. I am willing to accept the higher volatility that is associated with this goal. I want to outperform equity indices over the course of market cycles.
14. My primary reason for building this account portfolio is:
- A. Retirement
  - B. To provide for my family
  - C. For speculative investments



I have reviewed the results of my Investment Profile Questionnaire and agree that this reflects my financial needs, time horizon and willingness to accept risk.

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Client Signature

Date

Print Name

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Client Signature

Date

Print Name

*Thank You*

Any rates of return shown are for illustrative purposes only and are neither guaranteed nor implied.

Actual rates of return will be based upon the actual performance of selected investments.

Taxes and fees are not a consideration in the illustrated returns.

2 Inverness Drive East, Suite 187 • Englewood, CO 80112 • Phone: 303.799.6110 • [www.tbgi.com](http://www.tbgi.com)

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