

# Qualification Profile

## Personal Information

Investor Name(s): \_\_\_\_\_

Home Address: \_\_\_\_\_

Business Address: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Business Phone: \_\_\_\_\_

Cell Phone: \_\_\_\_\_ E-mail: \_\_\_\_\_

Preferred method of contact:  Phone  E-mail  Cell

Social Security # \_\_\_\_\_ DOB: \_\_\_\_\_

## Accredited Investor Qualification

Thank you for your interest in our program. Please note that certain information pertaining to our investments may only be provided to persons who are "accredited investors" as defined under the federal securities laws, Rule 501 of Regulation D (17CFR 230.501) and a limited number of non-accredited suitable investors.

In order to comply with existing regulations, we must receive your written response to the following questions before we can provide you with any further information about investment products.

- Are you an "accredited investor" as that term is defined under the federal securities laws, Rule 501 of Regulation D (17CFR 230.501)?

Please initial the categories applicable to you indicating the basis upon which you qualify as an accredited investor for purposes of the Securities Act and Regulation D thereunder:

\_\_\_\_\_ **Individual with Net Worth in Excess of \$1.0 Million.** A natural person (not an entity) whose net worth, or joint net worth with his or her spouse, at the time of purchase exceeds \$1,000,000 USD. (In calculating net worth, you may include your equity in your principal residence.)

\_\_\_\_\_ **Individual with \$200,000 Individual Annual Income.** A natural person (not an entity) who had individual income of more than \$200,000 in each of the preceding two calendar years, and has a reasonable expectation of reaching the same income level in the current year.

\_\_\_\_\_ **Individual with \$300,000 Joint Annual Income.** A natural person (not an entity) who had joint income with his or her spouse in excess of \$300,000 in each of the preceding two calendar years, and has a reasonable expectation of reaching the same income level in the current year.

## Suitability Profile

- Are you a non-accredited suitable investor?

1. What are your goals? What are you trying to accomplish with your money *(Please check all that apply.)*

- Retiring at age \_\_\_\_\_  Having enough money to last through retirement  
 Funding college education  Making large purchases such as real estate or vehicles  
 Supporting a business venture  Leaving a legacy for children and/or charity  
 Other \_\_\_\_\_

2. Are you retired?  Yes  No  Plan to retire in \_\_\_\_\_ years

Is your spouse or companion retired?  Yes  No  Plan to retire in \_\_\_\_\_ years

3. Have you ever invested in the following? *(Please check all that apply.)*

- Individual stocks  Stock mutual funds  International investments  Individual bonds  
 Bond mutual funds  CDs or money market funds  Annuities  Variable annuities  
 Real estate  REIT  1031 Exchange  Private placement  
 Other \_\_\_\_\_

4. What would you consider your level of risk for the investments that we will manage?

- Low  Moderate  High

5. What are your top investment concerns? *(Please check all that apply)*

- Is my portfolio diversified enough?
- Will I have enough money to do what I want to do?
- Should I be making changes to my portfolio right now, or wait?
- Am I in the right mix of stocks, bonds, and cash?
- Am I taking on too much risk?
- Other \_\_\_\_\_

6. What is your **federal** income tax bracket?

- 10%  15%  25%  28%  33%  35%  N/A (nonprofit organization)

7. What is your total estimated net worth, excluding your residence?

- \$0 to \$50,000  \$50,000 to \$150,000  \$150,000 to \$250,000
- \$250,000 to \$1,000,000  \$1,000,000 or more

8. What is your gross annual income?

- \$0 to \$45,000  \$45,000 to \$100,000  \$100,000 to \$250,000  \$250,000+

9. How much does your household have in the following types of accounts, and what is your **annual** investment (savings) in each? *(Please use estimates.)*

	Non-Retirement Accounts	Retirement Accounts (IRA, Roth, Keogh, 401(k), 403 (b))	Liabilities
<b>TOTAL</b>	\$ _____	\$ _____	\$ _____

10. Do you have an emergency fund that would provide you with up to six months of living expenses?

- Yes  No

11. Are you currently drawing income from your portfolio?

- Yes. How much per month? \$ \_\_\_\_\_
- Not now, but plan to withdraw \$ \_\_\_\_\_ per month, date: \_\_\_\_\_
- Not planning to draw income

12. Which of the following best describes your objective for your investment portfolio? *(Please check one.)*

- My primary objective is low volatility with a secondary objective of growth
- My only objective is income
- My primary objective is income with a secondary objective of growth
- My primary objective is growth with a secondary objective of income
- My only objective is growth
- My only objective is aggressive growth.

13. How would you describe yourself as an investor? Please choose the most appropriate box from the five below.



I am a **conservative** investor. In general, I prefer investments that create little or no fluctuation in my account value. I am willing to accept the lower potential returns associated with these investments.

I am a **moderate** investor. I understand that I must bear some risk to achieve meaningful returns above inflation. To pursue those returns, I am willing to accept moderate short-term fluctuations in my account value.

I am an **aggressive** investor. I am willing to take on significant risk in the pursuit of high returns. Short-term declines in my account value — even sizable ones — generally do not disturb me.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Once your profile has been submitted, you may be contacted to discuss your profile, for further information and/or to gauge your interest in investing in certain real estate investment products.