

**MEYER CAPITAL MANAGEMENT, INC.**  
*Independent Investment Advisers*

**INVESTMENT SURVEY**

*Meyer Capital Management maintains a strict fiduciary duty to each client we serve. This varies markedly from more prevalent buyer/seller relationships where “buyer-beware” is the underlying principal. By their nature, fiduciary relationships embody high levels of confidence and trust. As fiduciaries, we owe it to you to maintain your trust by providing professional investment advice that is objective and uniquely suitable for you, taking into account your personal financial situation, investment experience and investment objectives. The information collected in this survey is designed for this purpose.\**

*Please fill out this questionnaire to help us determine the types of investments that are most suited to your needs and objectives.*

**PART I: PERSONAL AND FAMILY INFORMATION**

A. Your Name: \_\_\_\_\_ Spouse’s Name: \_\_\_\_\_  
Social Security #: \_\_\_\_\_ Social Security #: \_\_\_\_\_  
Birth Date: \_\_\_\_\_ Birth Date: \_\_\_\_\_  
Citizenship: \_\_\_\_\_ Citizenship: \_\_\_\_\_

B. Employer: \_\_\_\_\_ Employer: \_\_\_\_\_  
Occupation: \_\_\_\_\_ Occupation: \_\_\_\_\_  
Work Tel #: \_\_\_\_\_ Work Tel #: \_\_\_\_\_

C. Home Address: \_\_\_\_\_  
\_\_\_\_\_  
Home Tel #: \_\_\_\_\_  
Email Address: \_\_\_\_\_

D. Children

<u>Name:</u>	<u>Date of Birth</u>	<u>Dependent</u> (Yes or No)	<u>Married</u> (Yes or No)	<u>Children</u> (Name/Age)
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

E. Does anyone other than your children depend financially on you and your spouse? \_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please give name(s) and relationship(s): \_\_\_\_\_  
\_\_\_\_\_

**PART II: FINANCIAL SITUATION**

\*Suitability data is protected under MCM’s Privacy Policy and remains strictly confidential.

1. Do you have a liquid security reserve equal to at least 3-6 months living expenses?

Yes  No

2. Do you have a documented financial plan?

Yes  No

3. Do you have a documented estate plan?

Yes  No

5. Are you expecting a change in your financial situation in the next 12 months?

Yes  No

If yes, please check all that apply:

- |                                           |                                             |
|-------------------------------------------|---------------------------------------------|
| <input type="checkbox"/> Retirement       | <input type="checkbox"/> Sale of Business   |
| <input type="checkbox"/> Marriage/Divorce | <input type="checkbox"/> Birth of Child     |
| <input type="checkbox"/> Inheritance      | <input type="checkbox"/> Paying for College |
| <input type="checkbox"/> Care of Parent   | <input type="checkbox"/> Other: _____       |

6. How many years before you plan to retire?

You  Your Spouse

7. How do you plan to fund retirement? (Please check all that apply)

- |                                                                         |                                                                  |
|-------------------------------------------------------------------------|------------------------------------------------------------------|
| <input type="checkbox"/> Retirement Account (e.g. 401(k),<br>IRA, etc.) | <input type="checkbox"/> Investment Accounts<br>(non-retirement) |
| <input type="checkbox"/> Pension                                        | <input type="checkbox"/> Social Security                         |
| <input type="checkbox"/> Second Career                                  | <input type="checkbox"/> Other: _____                            |

**PART III: GOALS AND OBJECTIVES**

*The following questions are designed to aid you in defining your financial goals and investment objectives. Circle the appropriate number. Feel free to add other goals that are important to you.*

**1. Financial Goals**

<u>Importance to Me</u>					
<u>High</u>	<u>Med</u>	<u>Low</u>			
5	4	3	2	1	Retire comfortably
5	4	3	2	1	Provide for my children's education
5	4	3	2	1	Minimize income taxes
5	4	3	2	1	Provide for my survivors in the event of my death
5	4	3	2	1	Structure my estate to minimize estate taxes
5	4	3	2	1	Philanthropic giving
5	4	3	2	1	Care for parent or other dependent
5	4	3	2	1	_____
5	4	3	2	1	_____
5	4	3	2	1	_____

**2. Investment Objectives**

<u>Importance to Me</u>					
<u>High</u>	<u>Med</u>	<u>Low</u>			
5	4	3	2	1	Increase current income
5	4	3	2	1	Diversify my investments (that is, have a variety of investments to spread risks)
5	4	3	2	1	Have cash available for emergencies or investment opportunities (liquidity)
5	4	3	2	1	Accumulate funds that will keep pace with inflation or do better than inflation
5	4	3	2	1	Minimize time managing my investments
5	4	3	2	1	Protect the safety of my invested principle
5	4	3	2	1	Achieve high long-term total return
5	4	3	2	1	Generate tax deferred appreciation
5	4	3	2	1	Generate high after-tax current income
5	4	3	2	1	Experience low total return fluctuations
5	4	3	2	1	Incur low single period loss probability
5	4	3	2	1	Maintain high liquidity
5	4	3	2	1	_____
5	4	3	2	1	_____

**PART III: GOALS AND OBJECTIVES (Cont.)**

3. What is your outlook toward risk? Check the response that best describes your attitude:

\_\_\_ I strongly dislike risk and prefer very safe investments such as insured savings accounts and government securities.

\_\_\_ I prefer low-risk investments with a known yield such as highly rated bonds.

\_\_\_ I am comfortable with the risks associated with stocks and other investments that fluctuate in value but have the potential to deliver higher investment returns.

**PART IV: INVESTMENT PREFERENCES**

*Described below are the three primary benefits that are provided to some degree by all investments. No single investment maximizes all three; receiving more of one benefit usually means receiving less of another.*

1. **Safety of Principal:** The likelihood that the principal will be returned intact without increase or decrease.
2. **Cash Flow:** The amount of cash flow that the investment will generate annually.
3. **Appreciation:** The amount of gain that will be realized upon sale of the asset.

*Please indicate below the benefits you desire from your investments by circling the appropriate numbers. The total of the numbers circled should equal ten.*

	<u>High</u>					<u>Low</u>
<b>Safety of Principal</b>	5	4	3	2	1	0
<b>Cash Flow</b>	5	4	3	2	1	0
<b>Appreciation</b>	5	4	3	2	1	0

Total = 10

*Listed below are three characteristics of investments. Unlike the benefits above, you can have as much or as little of each characteristic as you like without affecting the others. Trade-offs are involved, however, because each characteristic has both favorable and unfavorable aspects.*

1. **Liquidity:** The ease of converting the investment to cash within a short period of time.
2. **Risk and Return:** The degree of uncertainty about the results of the investment and the magnitude of the total return. In most cases, increased risk should mean increased return.
3. **Management Effort:** The degree to which you are personally involved with the operation and decision-making aspects of the investment.

*Please indicate your preferences for these characteristics below by circling one number for each characteristic (the total can equal any amount):*

	<u>High</u>					<u>Low</u>
<b>Liquidity</b>	5	4	3	2	1	
<b>Risk and Return</b>	5	4	3	2	1	
<b>Management Effort</b>	5	4	3	2	1	

**PART V : INVESTMENT ALTERNATIVES**

*Various categories of investment alternatives are listed below. Write in any others that may be of interest to you. Please indicate your preference for and familiarity with each. Also indicate whether you think the investment would be suitable for your portfolio, considering your investment objectives.*

	<u>Preference</u>					<u>Familiarity</u>					<u>Suitability</u>		
	<u>High</u>		<u>Low</u>			<u>High</u>		<u>Low</u>			<u>Yes</u>	<u>No</u>	<u>Not Sure</u>
<b>Short-Term Fixed Income</b>													
<u>Money Market</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Certificates of Deposit</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Commercial Paper</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<b>Stocks</b>													
<u>Growth</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Growth &amp; Income</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Preferred</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<b>Bonds</b>													
<u>U.S Treasury</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Corporate</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Municipal</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<b>Mortgage and Asset Backed Securities</b>													
<u>Ginnie Mae (GNMA)</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Fannie Mae (FNMA)</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Freddie Mac (FHLMC)</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<b>Mutual Funds</b>													
<u>Growth</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Aggressive Growth</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Growth &amp; Income</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Fixed Income</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>International</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Exchange Traded Funds</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<b>Real Estate</b>													
<u>Limited Partnership</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Real Estate Investment Trust</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____

**PART V INVESTMENT ALTERNATIVES (Cont.)**

	<u>Preference</u>					<u>Familiarity</u>					<u>Suitability</u>		
	<u>High</u>		<u>Low</u>			<u>High</u>		<u>Low</u>			<u>Yes</u>	<u>No</u>	<u>Not Sure</u>
<b>Oil &amp; Gas</b>													
<u>Limited Partnerships</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<b>Precious Metals</b>													
<u>Gold</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<u>Silver</u>	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
<b>Other</b>													
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____
_____	5	4	3	2	1	5	4	3	2	1	_____	_____	_____

Date completed: \_\_\_\_\_