



NextStep Strategic Portfolio Program Questionnaire

Please send completed forms to kristina@totalclaritywealth.com or contact Kristina at 630-762-9352.

Section 1: Advisor Information

Advisor Name: _____ NSP Rep ID/Master Account: _____

Business Phone: _____ Cell Phone: _____ Email: _____

Section 2: Client Account Information

Client Name: _____ Custodian: _____

Approx. Value: _____ Account Type _____ Account # _____

Account Objective:

Aggressive Growth

Growth

Total Return/Growth w/ Income

Income

Capital Preservation

Risk Tolerance:

Significant Risk

Moderately Aggressive

Moderate

Moderately Conservative

Conservative

Do you have any cost basis concerns? Yes No

If yes, what are they? _____

Are there any incoming holdings / securities with sell restrictions? Yes No

If yes - list Security Tickers and Names: _____

Never sell and exclude from account allocation.

Never sell but include as a replacement security for the model holding of the same asset class.

Section 2a: Cash Requirements

All portfolios will be programmed to have 1-2% cash as the standard allocation. If you would like a different amount of cash set aside, so long as it is **not** less than 1%, please indicate the specific dollar amount \$ _____ or the percentage % _____.

Will there be a systematic distribution from this account? Yes No

If so, please provide details: Day of Month _____ Amount \$ _____

Will there be a systematic contribution to this account? Yes No

Section 3: Investment Model Selection

Based on Client's Account Objective and Risk Tolerance, please assign this account to the model indicated below. Equity vs. Fixed Income percentages are targets but from time to time, the manager may adjust the model depending on the market. Please note that we recommend using the Total Clarity Premier Compact Model for any account that will be \$25,000 or less.

Tax Awareness: If assigning a Non-Qualified account to a Tactical model, I acknowledge it will be traded per the model regardless of tax consequences so as to take advantage of the more tactical trading. Tax Aware models may typically be traded 1-2 times a year.

Advisor Initial: _____ (required if assigning NQ account to Tactical model)

<u>TC Premier Portfolios</u>	Tax Aware	Tactical	<u>State Street Active Asset Allocation</u>		
Equity (100/0)			Maximum Growth (98/2)		
Growth (80/20)			Growth (90/10)		
Mod Growth (Total Return) (60/40)			Mod Growth (75/25)		
Moderate (40/60)			Moderate (60/40)		
Mod Conservative (20/80)			Mod Conservative (40/60)		
Income (0/100)			Conservative (20/80)		

<u>TC Premier Compact</u>	Tax Aware	Tactical	<u>First Trust</u>		
Equity (100/0)			Agg Growth (90/10)		
Growth (85/15)			Mod Growth (80/20)		
Moderate (65/35)			Balanced Growth (62/38)		
Conservative (20/80)			Con Growth (45/55)		
			Conservative (25/75)		

<u>TC Core Wealth ETF</u>	Tax Aware	Tactical	<u>Dimensional Funds Core Wealth</u>	MFs	ETFs
Agg Growth (B6) (100/0)			Agg Growth (B6) (100/0)		
Growth (B5) (80/20)			Growth (B5) (80/20)		
Growth & Income (B4) (60/40)			Growth w/ Income (B4) (60/40)		
Income w/ Mod Growth (B3) (40/60)			Income w/ Mod Growth (B3) (40/60)		
Income w/ Cap Pres (B2) (20/80)			Income w/ Cap Pres (B2) (20/80)		
Cap Preservation (B1) (0/100)			Cap Preservation (B1) (0/100)		

<u>Wisdomtree</u>	
Aggressive (80/20)	Notes: _____
Moderate (60/40)	_____
Conservative (20/80)	X _____
	IAR Signature Date