sowell

managementservices

Sowell Portfolio Design Department

Portfolio Design Request Form

Strategy Selection & Model Customization

Date Submitted: ____________ Requested Completion Date: ___________ Account Number: _____________

Advisor Name: _________________________________
Broker-Dealer/RIA Affiliation: _____________________
Advisor Phone Number: __________________________

Desired Portfolio Design Type

☐ Custom Portfolio (Minimum Account Size: $500,000)

☐ MPD™ Multiple Methodology Portfolio (Minimum Account Size: $250,000)

☐ PPP Strategic Blend (Minimum Account Size: $250,000)

☐ Custom Fixed Income Portfolio (Minimum Account Size: $100,000)

☐ Multi-Strategy Portfolio (Minimum Account Size: $25,000)

☐ Individual Strategy Portfolio (Minimum Account Size: $1,000)

Client Information

Client Name: ____
Age: ______
Marital Status: __________________
Retired? ☐ Y ☐ N
Net Worth: _____________________
Investable Net Worth: __________________________
% of Investable Net worth this account represents: _____________________
Current income required from account (monthly amount): ________________

Account Information

Current location of account: ___________________
Account Number (if known): ____________________
Account Value: ______________________________
☐ Qualified (IRA | 401K | 403B) ☐ Non-Qualified
Current Portfolio Allocation:

Additional Accounts (If Multiple Accounts)

Current location of account: ___________________
Account Number (if known): ____________________
Account Value: ______________________________
☐ Qualified (IRA | 401K | 403B) ☐ Non-Qualified
Current Portfolio Allocation:

Current location of account: ___________________
Account Number (if known): ____________________
Account Value: ______________________________
☐ Qualified (IRA | 401K | 403B) ☐ Non-Qualified
Current Portfolio Allocation:

Portfolio Design Inputs

Sowell RAQ Portfolio Risk Rating:

_____ Very Conservative

_____ Conservative

_____ Moderate

_____ Moderately Aggressive

_____ Aggressive

_____ On a scale of 1 – 10, how would you rate your investment approach for this portfolio?
(1 = very conservative, 10 = very aggressive)

_____ On a scale of 1 – 10, how would you rate your investment experience? (1 = inexperienced, 10 = very experienced)

_____ On a scale of 1 – 10, to what degree should your portfolio attempt to "manage risk" during negative market environments?
(1 = not at all, 10 = as much as possible) Note: Risk management strategies have historically dampened returns during bull market environments.

What is the primary objective of this portfolio?

☐ To preserve capital
☐ To produce income to live on
☐ To grow capital moderately over time
☐ To match or exceed stock market returns over time
☐ To grow capital significantly over time
☐ Other (please specify):

Client Expectations

Your Annual Rate of Return Goal for Portfolio: __________%

Note: Annual Rate of Return of Asset Classes for 20-year period ending 3/31/2015

- S&P 500: 9.3%
- Barclays Treasury: 8.4%
- T-Bills: 2.6%
- Gold Bullion: 5.7%

(Source: Ned Davis Research)

Annual Downside Tolerance: _________% (I.E. How much of a decline in account value are you comfortable with?)

Note: Annual Standard Deviation of Asset Classes for 20-year period ending 3/31/2015

- S&P 500: 14.9%
- Barclays Treasury: 11.4%
- T-Bills: 0.7%
- Gold Bullion: 19.7%

Note: This value must match or exceed the "Annual Rate of Return Goal" to help set realistic expectations for the client.

If you're having trouble identifying where your client fits, the following are suggested ranges for Annual Downside Tolerance in MPD Allocations:

5.0% - 7.9% (Conservative)
8.0% - 11.9% (Moderate Growth)
12.0% - 15.9% (Growth)
16.0 % - 19.9% (Aggressive Growth)
20%+ (Maximum Capital Appreciation)

Time Horizon

What % of this account will be needed in the following time frames?

_____ < 1 year _____ 2-5 years _____ 5-7 years _____ 7-10 years _____ > 10 years

Summary of Client Expectations and Portfolio Goals (In Advisors Words)

Additional Considerations: