MPD™

MODERN PORTFOLIO DIVERSIFICATION

Sowell Portfolio Design Department

Portfolio Request Form

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)

☐ Multi-Strategy Portfolio (Minimum Account Size: $100,000)

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

☐ Individual Strategy Portfolio (Minimum Account Size: $1,000 - $50,000)

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:

Portfolio Design Inputs

Sowell RAQ Portfolio Risk Rating:

_____ Very Conservative

_____ Conservative

_____ Moderate

_____ Moderately Aggressive

_____ Aggressive

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:

sowell managementservices

7301 RIVER POINTE DRIVE • NORTH LITTLE ROCK, AR

501.219.2434 Phone • **800.399.2391** Toll Free • **501.812.6380** Fax

www.sowellmanagement.com

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______ 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)

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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:

sowell management services
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