



SUSTAINVEST
ASSET MANAGEMENT, LLC

Investor Profile Questionnaire

This questionnaire will help us provide an asset allocation plan specific to you.

Important Considerations

Your Time Horizon

When will you begin withdrawing money from your account and at what rate? If that date is many years away, you may be comfortable with a portfolio that carries a greater potential for appreciation and higher level of risk. There's more time to weather the inevitable ups and downs of the market.

Your Risk Tolerance

How do you feel about risk? Some investments fluctuate more dramatically in value than others but may have the potential for higher returns. It's important that we select investments that fit within your level of tolerance for this risk.

How to Make Your Choice

Complete the questionnaire. Answer the questions on the following pages and use your score to identify where you may fit in the investor profile. We will review this questionnaire with you to select a strategy that may be most appropriate for you.

Circle the number of points for each of your answers and note the total for each section.

Section 1. Time Horizon

1. **I plan to begin withdrawing money from my investments in:**

Less than 3 years	1
3-5 years	3
6-10 years	7
11 years or more	10

2. **Once I begin withdrawing funds from my investments, I plan to spend all the funds in:**

Less than 2 years	0
2-5 years	1
6-10 years	4
11 years or more	8

Subtotal: Time Horizon Score-enter the total points from questions 1 and 2 here.

If your time horizon score is less than 3, stop here. A score of less than 3 indicates a very short time horizon. For such a short time horizon, a relatively low risk portfolio of 40% short term (avg. maturity of 5 years or less) bonds or bond funds and 60% in cash is suggested.

If your score is more than 3, please continue to section 2.

Section 2. Risk Tolerance

3. **I would describe my knowledge of investments as:**

None	0
Limited	2
Good	4
Extensive	6

4. **When I invest my money, I am:**

Most concerned about my investment losing value	0
Equally concerned about my investment losing or gaining value	4
Most concerned about my investment gaining value	8

5. **Select the investment you currently own or have owned in the past with the highest number of points.**

Money market funds or cash	0
Bonds or bond funds	3
Stocks or stock funds	6
International securities	8

6. **Consider this scenario:**

Imagine in the past 3 months, the overall stock market lost 25% of its value. An individual stock investment you own also lost 25% of its value. What would you do?

Sell all my shares	0
Sell some of my shares	2
Do Nothing	5
Buy more shares	8

7. **Review the chart below.**

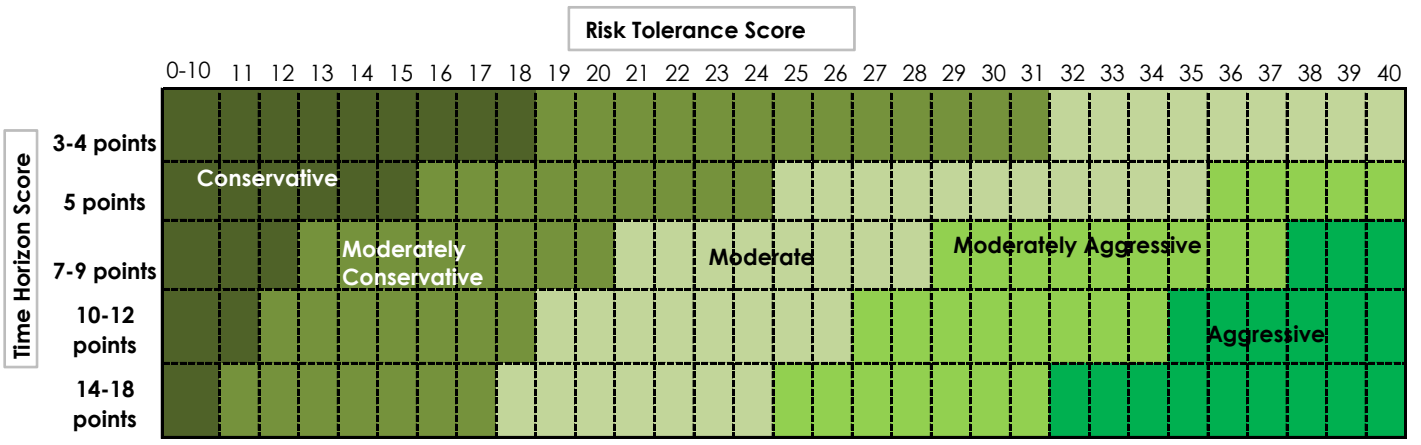
Here are the most likely best and worst case annual returns of 5 hypothetical investment plans. Which range of possible outcomes is most acceptable to you?

Figures are hypothetical and do not represent the performance of any particular investment.

Best and Worst Case Scenarios (1 Year)				
Plan	Avg. Annual Return	Best Case	Worst Case	Points
A	7.2%	16.3%	-5.6%	0
B	9.0%	25.0%	-12.1%	3
C	10.4%	33.6%	-18.2%	6
D	11.7%	42.8%	-24.0%	8
E	12.5%	50.0%	-28.2%	10

Subtotal: Risk Tolerance Score-Enter the total points for questions 3 through 7 here.

Determine your investor profile-The chart below uses the subtotals you calculated in the preceding 2 sections. To determine your profile, find your time horizon score along the left side and your risk tolerance score across the top. Locate the intersection point. Also, take note of the various investment strategies that we can further review and implement with your portfolio.



INCOME		BALANCED		GROWTH	
Conservative	Mod. Conservative	Moderate	Mod. Aggressive	Aggressive	
15% Large Cap Equity 0% SmMid Cap Equity 5% Intl. Equity 60% Fixed Income 5% Alternatives 5% Cash	25% Large Cap Equity 5% SmMid Cap Equity 10% Intl. Equity 50% Fixed Income 5% Alternatives 5% Cash	35% Large Cap Equity 10% SmMid Cap Equity 10% Intl. Equity 35% Fixed Income 5% Alternatives 5% Cash	45% Large-Cap Equity 15% SmMid Cap Equity 15% International Equity 15% Fixed income 5% Alternatives 5% Cash	50% Large-Cap Equity 20% SmMid Cap Equity 20% International Equity 0% Fixed Income 5% Alternatives 5% Cash	

Though these allocations will give us a good starting point, keep in mind that these allocations can be tailored to specific client needs or requests and also will be dependent on market conditions and valuations.

ESG Information

Sustainvest Asset Management uses environmental, social and corporate governance (ESG) screens on account holdings.

Below is the current list of exclusionary criteria.

Current Exclusionary Criteria

The Advisor will not knowingly invest in securities of those companies that:

- Manufacture tobacco products
- Manufacture weapons
- Manufacture nuclear power
- In constant violation of environmental and banking regulations
- Produce genetically modified seeds
- Are involved in the gambling industry
- Violate or deny basic human rights of workers
- Do not respond to shareholder communications
- Have business practices involving the inhumane treatment of animals
- Discriminate on the basis of race, ethnicity, and sexual preference

Below is the current list of inclusionary criteria used to try and identify the best environmental, social and corporate governance leaders in each sector of the market (this process is known as best in class).

Current Inclusionary Criteria

When possible, invest in securities of companies that incorporate one or more of the following criteria:

Governance and Ethics

- Have diverse boards
- Publish sustainability reports
- Align the interests of management and boards with shareholders
- Promote the economic advancement of women and ethnic minorities
- Give generously to charitable causes

Environment

- Demonstrate leadership in addressing climate change
- Full disclosure of environmental risk and liability and are taking actions to minimize
- Have strong pollution prevention programs

Workplace

- Demonstrate diversity policies and fair treatment of employees
- Support employee health and safety policies
- Bargain fairly with employees

Product Safety and Impact

- Produce goods that enhance quality of life
- Maintain quality control and respond quickly to correct problems
- Demonstrate integrity in their labeling and advertising

Community Relations

- Develop programs that help neglected populations
- Show a solid commitment to the communities in which they operate

Are there any investment restrictions you wish to place on your portfolio or requests we should know about?

Name

Date

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