

# Open Door Investment Advisors, Inc.

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## Data Gathering Form

### Personal Information

Client Name (Last, First, MI)

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Home Address

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Daytime Phone

Email

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Social Security Number

Birth Date

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Occupation

Name of Employer

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Current Federal Tax Bracket

Current State Tax Bracket

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Current Local Tax Bracket

Alternative Minimum Tax? (Y/N)

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Anticipated Retirement Age

Number of Dependents

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### Family Information

Spouse's Name (Last, First, MI)

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Home Address

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Daytime Phone

Email

---

Social Security Number

Birth Date

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Occupation

Name of Employer

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### Children

Child 1: Name

Date of Birth

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Child 2: Name

Date of Birth

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Child 3: Name

Date of Birth

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# Open Door Investment Advisors, Inc.

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Child 4: Name

Date of Birth

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Child 5: Name

Date of Birth

## Income and Investment Information

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Approximate Annual Household Income  
(All Sources)

Investable Net Worth

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Gross Annual Salary

Until Year

Subsequent Years

Salary Growth Rate

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Additional Non-investment Income  
(e.g., rental income, pension, etc.)

Annual Social Security  
Benefits

Starting at Age

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Projected Total Income Through  
Retirement (includes pension, Social  
Security and other sources)

Years of Investment  
Experience

## Goal Identification Worksheet

### Want to Now: Key Questions

1. What types of leisure activities are you currently involved in?
2. What are you worried about?
3. How involved are you in your community right now?
4. Have you considered a second career?
5. Are you interested in traveling or in other hobbies?
6. With respect to your goals, what would you “like to” be doing right now?
7. If you could, what would you do differently?

### Want to Later: Key Questions

1. What would you want to do if you had the resources in the future?
2. What are you hoping to leave for your family?
3. What hobbies would you want to be involved in and in which capacity?
4. What philanthropic endeavors would you want to be involved in and in which capacity? (Donations of time, money, resources, etc.)
5. Do you possess any particular skills that could benefit your community interests?
6. What are your thoughts about establishing your legacy or your family’s legacy?
7. If you had no heirs, where would you want your wealth to go?
8. Have you considered a second career in the future?
9. Are you interested in traveling or in other hobbies?
10. With respect to your goals, what do you know that you “want to” in the future?

### Have to Now: Key Questions

1. Tell me about your current lifestyle.
2. Do either you or your spouse currently have any health issues? Does anyone in your family have any health or special issues right now?
3. With respect to your goals, what do you know that you have to do (i.e., I must pay for children’s education)
4. Which things in life do you think are most important right now?
5. For whom do you feel responsible for?
6. Are you expecting any major life changes in the next 3-5 years?
7. With respect to your goals, what do you know that you “need to” be doing right now?

### Have to Later: Key Questions

1. What do you know that you need to achieve in the future?
2. What would you like your life to look like in 5 years? 10 years?
3. How do you see your lifestyle changing beyond 10 years?
4. Tell me about your family.
5. How about support for parents?
6. What is your greatest hope for the family?
7. What is your greatest concern for them?
8. Tell me about your job.
9. With respect to your goals, what do you know that you “need to” do in the future?

# Open Door Investment Advisors, Inc.

	<b>Want to Now</b>	<b>Want to Later</b>
<b>WANT TO</b>	GOALS:	GOALS:
<b>PRIORITY</b>	EXAMPLE:	EXAMPLE:
	▪ Charitable Gift	▪ Second Home
		▪ Business Investments
	<b>Have to Now</b>	<b>Have to Later</b>
<b>HAVE TO</b>	GOALS:	GOALS:
	EXAMPLE:	EXAMPLE:
	▪ Charitable Gift	▪ Second Home
		▪ Business Investments

NOW

TIMEFRAME

LATER

# Open Door Investment Advisors, Inc.

## Risk Tolerance Questionnaire

The following questions have been designed to help determine your overall risk tolerance. For each question, place a check mark next to the answer that is most appropriate. Your advisor will use the score in selecting the appropriate type of investment strategy for each goal.

	Score																
<b>1. When you think of the word “risk” in a financial context, which of the following words come to mind first?</b>																	
A. Thrill	(5)																
B. Uncertainty	(3)																
C. Opportunity	(4)																
D. Danger	(1)																
<b>2. What is your greatest concern?</b>																	
A. Underperforming the market.	(5)																
B. Not growing my assets significantly over time: I am willing to assume higher risk for higher return potential.	(5)																
C. Losing more money than a certain amount within a given time frame.	(3)																
D. Losing money in a market downturn along the way.	(3)																
E. Running out of money in retirement.	(3)																
F. Not having certainty around achieving my wealth goal in the remaining time.	(1)																
<div data-bbox="181 1176 812 1669" data-label="Figure"> <p><b>One Year Range of Potential Portfolio Values</b></p> <table border="1"> <caption>One Year Range of Potential Portfolio Values</caption> <thead> <tr> <th>Portfolio</th> <th>Very Good (+16.1%)</th> <th>Normal (+7.2%)</th> <th>Poor (-1.2%)</th> </tr> </thead> <tbody> <tr> <td>Portfolio 1</td> <td>\$580,000</td> <td>\$536,000</td> <td>\$494,000</td> </tr> <tr> <td>Portfolio 2</td> <td>\$648,500</td> <td>\$550,500</td> <td>\$463,000</td> </tr> <tr> <td>Portfolio 3</td> <td>\$706,000</td> <td>\$560,000</td> <td>\$434,500</td> </tr> </tbody> </table> <p>This is what a \$500,000 investment might grow to under very good market conditions</p> <p>This is what a \$500,000 investment might grow to under normal market conditions</p> <p>This is what a \$500,000 investment might grow to under poor market conditions</p> </div>	Portfolio	Very Good (+16.1%)	Normal (+7.2%)	Poor (-1.2%)	Portfolio 1	\$580,000	\$536,000	\$494,000	Portfolio 2	\$648,500	\$550,500	\$463,000	Portfolio 3	\$706,000	\$560,000	\$434,500	
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<b>3. Each year, the value of your portfolio fluctuates as markets change. If you invested \$500,000 which of the following portfolios below would you choose?</b>																	
A. Portfolio 3	(5)																
B. Portfolio 2	(3)																
C. Portfolio 1	(1)																

# Open Door Investment Advisors, Inc.

<b>4. What describes you best?</b>	
A. I am a long-term investor focused on growing my assets.	(5)
B. I am focused on preserving current wealth and have little tolerance for losses.	(4)
C. I want to plan long-term but have a hard time shrugging off moderate to severe losses.	(4)
D. I need stable cash flows to meet my living expenses	(3)
E. I am most concerned about targeting a final value of my assets: I don't mind if this approach sacrifices returns potential.	(1)
<b>5. If I look at my account statement and there is moderate loss, my primary reaction is:</b>	
A. How did my portfolio compare with the market benchmark or other relative measures of success?	(5)
B. I lost money and am unhappy, but am willing to stick with it until a recovery.	(3)
C. I don't mind dips in portfolio value as long as I am still on track to meet my goal(s)	(4)
D. I only worry about losses if they greatly increase the risk that I won't be able to meet my living expenses.	(1)
E. I don't care about short-term losses as long as I have a specific amount of money at specific time in the future.	(1)
<b>Overall Risk Score</b>	

# Open Door Investment Advisors, Inc.

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## Disclaimers

**Investment Management Disclaimer** – The Advisor can alter the strategy where desired, and to add or omit features of the strategy or to cut the strategy to fit. For example, if the strategy selects 50 stocks, we may decide only to hold 48. Also, we do not feel compelled to update portfolios under any time constraints. For example, maybe a strategy updates monthly and we only update quarterly. Also, if there is an unexpected development, we may suspend following the strategy as we see fit.

**Insurance Disclaimer** – No one ever has enough insurance. You always need more. In hindsight of a misfortune, you would always need additional amounts of insurance specifically for that misfortune. However, predicting the future is not anything we can do.

**Market Disclaimer** – Markets fluctuate, wildly at times. You can and will lose money. Markets have up cycles and down cycles. If you haven't encountered a down cycle – you will. This is normal and natural for markets. Specific investments can and may fail at any time. We have no ability to predict the future. Nor discern the outcome of complex events.

**Due Diligence Disclaimer** – We are not in the business of testing products, companies, or people. Our staff is small and does not travel much. We cannot adequately investigate every or any item we recommend. We are not lawyers, tax experts, or specialists in new developments. We have been disappointed in the past, even with our own money.

**Opinion Disclaimer** – Our advice is just an opinion which may or may not turn out to be correct. Also our advice or opinion may or may not be complete or current for your situation. We do not claim to be geniuses, and we all have our faults. We understand the stock market is risky. Losing money is a regular occurrence in the stock market, and you can lose some of your money at any time. We can accept losses and do so willingly and knowingly.

**Stock Oriented Approach Disclaimer** – We understand that Open Door Investment Advisors, Inc. often advocates a buy and hold strategy of mostly stocks or stock funds. We understand the risks of having a portfolio of stocks instead of the mix of stocks and other assets and we are willing to accept the risks of stocks in our portfolio in exchange for the historically higher returns of stocks in the past, and we know that past history is no indicator of the future.

### Client signature

We have read the above disclaimers and have given them due consideration.

Signature	Date
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Signature	Date
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# Open Door Investment Advisors, Inc.

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## Client Acknowledgement

We wish to hire Open Door Investment Advisors, Inc. to manage our financial matters. We understand that Open Door Investment Advisors Inc. is in the business of providing investment advice and financial planning services.

Investment management fees are billed monthly in arrears at the rate of 85 basis points per year (0.85% per year). On \$100,000.00 this is \$850 per year, or \$70.83 per month. Sometimes there may also hourly fees when a client asks for additional matters.

## Disclosure

We are fully aware that the advisor:

1. Receives no commission,
2. Does not hold custody of funds,
3. Cannot transfer accounts without written consent,
4. Will not disclose confidential information unless required by law,
5. Invests our money for long-term goals, and
6. Makes no promise regarding returns.

We have received a copy of Form ADV, part II, containing all information required by law. We have read the privacy policy statement. Both documents are downloadable from [www.opendoorinvestmentadvisors.com](http://www.opendoorinvestmentadvisors.com).

We understand that we can cancel our work arrangement at any time for any reason by giving 30 days written notice.

Death, disability, or incompetency will not automatically terminate our service. There is no penalty for cancellation.

### Client signature

Signature	Date
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Signature	Date
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### Advisor signature

Signature	Date
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# Open Door Investment Advisors, Inc.

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## Fine Print Required by Law

Description of financial planning services and investment management services:

Financial planning – This service is rendered to clients based on specific client needs, such as retirement planning, education planning, and planning for other financial goals.

We begin our service with a conversation, which helps the client explore their needs and wants in order to identify their goals. We then offer our advice on how to best plan, save, and invest for each financial goal, based on the client's risk tolerance and investment time frame. We make sure we come into agreement with our clients. Once we have a list of action items that are mutually agreed upon, we work to implement this plan. Finally, we continuously monitor our progress and follow up with clients as needed.

This service comes with investment management service and is free of charge within reasonable limits.

Investment management services – we manage funds our client entrust into our hands. However, we do not take actual possession of your money. Your funds will be held by large, well-known brokerage firms under your name. We will never lock you in any contracts, and you may terminate our service at any time, and there is never a cancellation fee.

We offer our clients with flexible investment options. While we specialize in managing conservative portfolios of individual stocks, we will also manage portfolios of exchange-traded-funds (ETFs) and mutual funds. We will work with the client's preferences in order to help the client stay invested for a long period of time and avoid the disruptions of making investments and taking money out in relatively short terms. However, we understand that life has emergencies and we uphold the client's decisions.

We never require that a client should hire us to manage any minimum amount of money.

Additional language required by the Texas State Security Board (we do not sponsor wrap-fee programs):

Client acknowledges receipt of Part 2 of Form ADV; a disclosure statement containing the equivalent information; or a disclosure statement containing at least the information required by Part 2A Appendix 1 of Form ADV, if the client is entering into a wrap fee program sponsored by the investment adviser. If the appropriate disclosure statement was not delivered to the client at least 48 hours prior to the client entering into any written or oral advisory contract with this investment adviser, then the client has the right to terminate the contract without penalty within five business days after entering into the contract. For the purposes of this provision, a contract is considered entered into when all parties to the contract have signed the contract, or, in the case of an oral contract, otherwise signified their acceptance, any other provisions of this contract notwithstanding.

We cannot assign this contract without your written consent.