

INTREPID FINANCIAL PLANNING GROUP, LLC
INVESTMENT PROFILE/ INFORMATION FORM

Name: _____ Name: _____

Date of Birth: _____ Date of Birth: _____

Address: _____

Current Email Address for Electronic Correspondence: _____

Number of Dependents: _____ Ages: _____

Name(s) of Other Professionals (indicate N/A if none):

Attorney: _____

CPA: _____

Executor: _____

Are you or an immediate family member an officer or director of a public company? Yes ___ No ___

If yes, please
explain: _____

Assets: Over what percentage (%) of your current investment assets (including retirement accounts) will Intrepid Financial Planning Group, LLC (“Intrepid”) have trading authority ___% (the “**Assets**”). **Please Note:** Intrepid **shall only** be responsible for supervision of the **Assets** for which Intrepid has trading authority. What % of the **Assets** do you anticipate needing for expenses (i.e., education, medical, real estate purchase, etc.) during the next: 1 year ___%; 3 years ___%; 5 years ___%.

Please Note: Unless Intrepid otherwise expressly agrees to do so, in writing, Intrepid **shall not** be responsible for monitoring that portion or percentage (%) of the **Assets** (current or future) for which Intrepid will not have trading/management authority. **Please Also Note:** The above information is important for Intrepid to have a better understanding of your financial situation, including what portion of your assets will be managed by Intrepid. **If you do not answer, you relieve Intrepid from any adverse consequences attributable to this question.**

Which of the following best describes your long-term investment objective(s)?*

- ☐ Preservation of capital and focus on current income
- ☐ A balance between capital appreciation and current income
- ☐ Capital appreciation with little or no need for current income

FURTHER
EXPLANATION: _____

Declines: I/We can withstand short-term (1-3 years) declines of 10% or more in the **Assets** in order to achieve my/our long-term investment objective: Yes ___ No: ___ **Please Note:** There can be **no assurance** that declines will be less than 10% at any specific date or period. Depending upon the investment strategy/asset allocation, declines can be substantially more.

FURTHER

EXPLANATION: _____

Please Note: No Guarantee. Different types of investments involve varying degrees of risk. Therefore, it should not be assumed that future performance of any specific investment or investment strategy (including the investments and/or investment strategies recommended and/or undertaken by Intrepid) will be profitable or will achieve or avoid any specific advance or decline.

INVESTMENT RESTRICTIONS/OTHER IMPORTANT INFORMATION*:

Please Note: Unless indicated to the contrary in the spaces directly above, there are no restrictions on our services other than to manage the account(s) in accordance with your designated investment objective(s).

Please Also Note: The responses set forth on this **Information Form** are intended to elicit information from you to assist in identifying your investment need(s)/objective(s) and risk parameters, which will then form the basis of an Investment Objective Confirmation letter to be prepared by Intrepid and presented to you for review/adoption. The Investment Objective Confirmation letter will be the document that shall confirm your investment objective and any corresponding investment-related restrictions, upon which Intrepid, will rely in managing your account(s) **until you advise Intrepid, in writing, to the contrary.**

Please Remember: Please remember that it remains your responsibility to advise Intrepid, in writing, if there are any changes in the information provided above, including any change in your personal/financial situation, or if you would like to impose, add, or to modify any reasonable restrictions to Intrepid investment advisory services. Intrepid shall rely on the accuracy of information that you have provided.

Date: _____

Date: _____

*The above represents the client's aggregate objectives/goals/restrictions. The assets that we manage could be comprised of multiple accounts, all of which, when viewed in the aggregate, reflect the client's overall objective/goal/restrictions.