



## Statement of Investment Selection & Separate Fee Disclosure for Strategy PLUS™ Program

### ACCOUNT / CLIENT INFORMATION

Client Name, First M.I. Last		Primary Account SSN/Tax ID#
Co-Client Name, First M.I. Last		SSN/Tax ID#
Account # (if available)	Estimated Account Value \$	Registration Type: (IRA, JTWROS, Individual, Trust, etc.)
Financial Adviser Name	Introducing firm	
Initial Deposit: <input type="checkbox"/> Check <input type="checkbox"/> Wire/ACH <input type="checkbox"/> Transfer (ACAT) <input type="checkbox"/> Transfer (check) <input type="checkbox"/> Payroll Deduction <input type="checkbox"/> Other _____		
Subsequent Deposits: <input type="checkbox"/> Check <input type="checkbox"/> Wire/ACH <input type="checkbox"/> Transfer (ACAT) <input type="checkbox"/> Transfer (check) <input type="checkbox"/> Payroll Deduction <input type="checkbox"/> Other _____		
Recurring Deposit Frequency <sup>1</sup> : <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> None Amount \$ _____ Start Date: _____		
CUSTODIAN: <input type="checkbox"/> Charles Schwab <input type="checkbox"/> Fidelity <input type="checkbox"/> TD Ameritrade		

<sup>1</sup>Custodian Move Money form required.

### RISK PROFILE QUESTIONNAIRE & MODEL PORTFOLIO SELECTION

This questionnaire is designed to gather information to help identify your investment objectives, time horizon and investment risk profile, in order to assist you in selecting an appropriate model portfolio. The RPQ is not required if submitting a RiskPro Proposal.



**Instructions:** Select the answer that is most applicable to you. Once completed, a Risk Profile Score will be calculated for you. If you are completing the form manually, add the points in parenthesis assigned to each response. The total is your Risk Profile Score.

- 1) What is your age?
  - ☐ Over 66 (2.5)
  - ☐ 56-65 (5)
  - ☐ 45-55 (7.5)
  - ☐ Under 45 (10)
- 2) How much cash reserves do you have outside of your investment plan?
  - ☐ 3 months (2.5)
  - ☐ 6 months (5)
  - ☐ 9 months (7.5)
  - ☐ Over 12 months (10)
- 3) Indicate approximately how many years from today until you need to reach your primary investment goal?
  - ☐ Within 1 to 4 years (2.5)
  - ☐ Within 5 to 10 years (5)
  - ☐ Within 11 to 20 years (7.5)
  - ☐ More than 20 years (10)

- 4) Which of the following statements best describes your reaction if the value of your portfolio suddenly declined by 15%?
- ☐ I would be very concerned because I cannot accept fluctuations in the value of my portfolio (2)
  - ☐ I invest for long-term growth, and some income, but would be concerned about even a temporary decline (4)
  - ☐ I invest for long-term growth but would be very concerned if the downturn were more than 15% (6)
  - ☐ I invest for long-term growth and can accept some market fluctuation (8)
  - ☐ I invest for long-term growth and accept market fluctuations as normal market risk for an aggressive portfolio (10)
- 5) Which of the following statements most accurately reflects your feelings about the stock market?
- ☐ I am uncomfortable investing in the stock market and would prefer money markets for investments (2.5)
  - ☐ While I would like the ability to participate in the stock market, I prefer more conservative positions and want a sizable portion of my holdings to be in fixed incomes (5)
  - ☐ I want to participate in the stock market but prefer a mix of fixed incomes and growth- oriented equities (7.5)
  - ☐ I am committed to the stock market and am comfortable that, overtime, I should be rewarded for the extra risks involved in growth-oriented investing (10)
- 6) When do you plan to begin withdrawing money from your investments?
- ☐ Less than 3 years (2.5)
  - ☐ 3 to 5 years (5)
  - ☐ 6 to 10 years (7.5)
  - ☐ 11 years or more (10)
- 7) How optimistic are you about the long-term prospects for the economy?
- ☐ Pessimistic (2.5)
  - ☐ Unsure (5)
  - ☐ Somewhat optimistic (7.5)
  - ☐ Very optimistic (10)
- 8) How long are you prepared to wait for your account to return to its original value after a down market?
- ☐ Less than 18 months (2.5)
  - ☐ Between 18 months and two years (5)
  - ☐ Between two and three years (7.5)
  - ☐ More than three years (10)
- 9) Which of the following best describes your investment objectives?
- ☐ Preserving principal and earning a moderate amount of current income (0)
  - ☐ Generating a high amount of current income (2.5)
  - ☐ Generating some current income and growing my assets (5)
  - ☐ Moderately growing my assets (7.5)
  - ☐ Growing my assets substantially (10)
- 10) What is your current annual income requirement from this portfolio?
- ☐ More than 4% (2.5)
  - ☐ 2% to 4% (5)
  - ☐ 0% to 2% (7.5)
  - ☐ I don't need current income (10)

**Total Risk Score** \_\_\_\_\_

## MODEL PORTFOLIO SELECTION

Risk Score	Risk Profile	RiskPro® Tolerance Range*	Select only one Model Portfolio:
22 to 43.2	Conservative	+/- 0.00% to +/- 12.00%	Fidelity Institutional AM® Conservative ESG PLUS Conservative Target PLUS™ Conservative Focus Conservative Multi PLUS™ Conservative
43.3 to 53.2	Moderate Conservative	+/-12.01% to +/-17.67%	Fidelity Institutional AM® Moderate Conservative ESG PLUS Moderate Conservative Target PLUS Moderate Conservative Focus Moderate Conservative Meeder Moderate Conservative Multi PLUS Moderate Conservative
53.3 to 68.7	Moderate	+/- 17.68% to +/- 26.51%	<input type="checkbox"/> Fidelity Institutional AM® Moderate <input type="checkbox"/> ESG PLUS Moderate <input type="checkbox"/> Target PLUS Moderate <input type="checkbox"/> Index PLUS™ Moderate <input type="checkbox"/> Focus Moderate <input type="checkbox"/> Meeder Moderate <input type="checkbox"/> Multi PLUS Moderate
68.8 to 84.3	Moderate Growth	+/- 26.52% to +/- 35.35%	Fidelity Institutional AM® Moderate Growth ESG PLUS Moderate Growth <input type="checkbox"/> Target PLUS Moderate Growth <input type="checkbox"/> Index PLUS Moderate Growth <input type="checkbox"/> Focus Moderate Growth <input type="checkbox"/> Meeder Moderate Growth <input type="checkbox"/> Multi PLUS Moderate Growth
84.4 to 100	Aggressive	+/- 35.36 to +/-44.20%	<input type="checkbox"/> Fidelity Institutional AM® Aggressive <input type="checkbox"/> ESG PLUS Aggressive Target PLUS Aggressive <input type="checkbox"/> Index PLUS Aggressive <input type="checkbox"/> Focus Aggressive <input type="checkbox"/> Multi PLUS Aggressive

\*Tolerance Range is calculated by RiskPro®, a risk profiling and portfolio construction software that estimates the forward-looking, maximum annual range (gain or loss) of total returns of a portfolio of securities. TPGF uses RiskPro to manage TPGF Portfolios, with the goal of remaining within the stated Tolerance Range, though that goal is not always achieved. For the Aggressive Risk Profile, Portfolios frequently have a Tolerance Range of less than 35.36%.  
**IMPORTANT:** The projections generated by RiskPro® are hypothetical in nature, do not reflect actual investment results and are not guarantees of future results.

☐ The Risk Profile for the model portfolio selected is different than the Risk Profile noted in the Risk Profile Questionnaire but is appropriate for the objectives for this account.

## SPECIAL INSTRUCTIONS

Please note below any special instructions or other limitations the Client wishes to place on this account. The Pacific Financial Group, Inc. ("TPFG") will use its best efforts to accommodate the Special Instructions. In the event TPGF is not able to accommodate the Special Instruction, TPGF in its sole discretion may resign from managing the account.

**Describe any special instructions that apply to TPGF's management of the Model Portfolio held in this account:**

## SEPARATE FEE DISCLOSURE

TPFG has entered into a written agreement with the Adviser's supervising firm ("Introducing Firm") whereby TPFG has agreed to pay the Adviser, via the Introducing Firm, the Adviser Fee for introducing Client to TPFG and for providing to the Client the Adviser Services identified in the Investment Management Agreement ("IMA"). Clients do not pay more on account of TPFG sharing the Program Fee with Adviser. TPFG and the Introducing Firm are not affiliated.

**Program Fees and Costs:** Model Portfolios for this Program are constructed using the Pacific Financial Mutual Funds ("Funds"), a family of mutual funds managed by Pacific Financial Group, LLC ("PFG"), an affiliate of TPFG. For advising and providing other services to the Funds, the Funds will pay PFG an advisory fee of 1.25% and an administrative service fee of 0.70%. In addition to these fees, the Funds pay 0.10% to various custodial and brokerage platforms for Fund distribution and marketing ("Rule 12b-1 fees"). Neither TPFG, PFG nor the Adviser receives any portion of the 12b-1 fees. All fees are charged monthly against each of the Fund's average monthly net asset value ("NAV") and are indirectly paid by the Client who is also a shareholder of the Funds. Because these fees are assessed and paid by the Funds, the total fees and expenses paid by the Funds do not vary based on the amount or types of services rendered. Clients as shareholders of the Funds will pay these fees regardless. Accordingly, Client does not pay more for participating in the Program nor for compensating the Adviser. Client should review the Funds' prospectus for additional information relevant to the fees paid by the Funds. Please also review TPFG's Disclosure Brochure (Form ADV2). The prospectus and Disclosure Brochures are available at [www.tpfg.com](http://www.tpfg.com).

**Adviser Fee:** TPFG will pay to the client's Financial Adviser as compensation for the Adviser Services, 75 basis points (0.75%) of the annual fees paid by the Funds. The Adviser Fee is paid from TPFG's own resources and are not paid directly by the Funds.

**Conflicts of Interest:** TPFG's receipt of fees from the PFG Funds creates a conflict of interest as TPFG has an incentive to select the PFG Funds for the fees paid to its affiliate. To mitigate this conflict, Clients that participate in the Program are not charged any additional advisory fees by TPFG and any fees received from the PFG funds are used to off-set any other fees the Client would otherwise pay to TPFG for servicing the Client's account.

### **CLIENT ACKNOWLEDGEMENT AND INSTRUCTIONS TO TPFG:**

By signing below, the undersigned Client(s) confirms that after reviewing the Program and the available Model Portfolios with the undersigned Financial Adviser, the model selected is consistent with the client's investment objectives, time horizon and risk level. Client has been provided and has reviewed all appropriate disclosures to include Model fact sheets, TPFG's disclosure brochure which further describes the programs and services offered by TPFG, as well as the prospectuses for the PFG funds which are used in constructing the Models. Client has reviewed and received the Separate Fee Disclosure describing the Program fees and expenses. Client authorizes TPFG to allocate the selected Model to the account and to manage the Account in accordance with the terms and conditions as set forth in the IMA as may be amended from time to time.

Client Signature	Date	Co-Client Signature	Date
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### **FINANCIAL ADVISER ACKNOWLEDGEMENT**

By signing below, I confirm that I am Client's Financial Adviser for this Account and that I provided Client with sufficient information for Client to understand the Program, fees and available Models. After reviewing the Program information with the Client and evaluating the Client's investment needs, time horizon, and risk appetite, the Model selected is appropriate for the Client. I have also provided the Client with all necessary disclosures to include without limitation, applicable prospectuses, TPFG's ADV 2A and B, and the Separate Fee Disclosure as incorporated in this document.

Financial Adviser Signature	Financial Adviser Name	Date
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