

Investment Strategy Selection:  
**Retirement Platforms**

Please complete a separate strategy page for each account.

**1. CLIENT INFORMATION.** Please print.

Account Title

Client Account # (if available):

Account Value \$:

**2. CUSTODIAN.**

Please select your desired custodian. You will need to attach the applicable custodial paperwork to this form.

- ☐ Fidelity BrokerageLink
 ☐ Fidelity Retirement
 ☐ Valic

**3. REGISTRATION TYPES.** Select a registration type for your account from the list below. Additional paperwork may be required.

**Non-Retirement Accounts:**

- ☐ Community Property  
☐ Corporation *Corporate Resolution required*  
☐ Individual  
☐ Joint Tenants in Common  
☐ Joint Tenants with Rights of Survivorship  
☐ Non-Profit *Corporate Resolution required*  
☐ Partnership *Partnership agreement required*  
☐ Transfer on Death *Transfer on Death Account Registration Request Form required*  
☐ Trust *Certification of Trust Form or trust documents required*  
☐ Uniform Gift to Minor  
☐ Uniform Transfer to Minor  
☐ Other \_\_\_\_\_

**Retirement Accounts:**

- ☐ 401(a)  
☐ 403(b)/TSA  
☐ Beneficiary IRA *Death certificate required*  
☐ IRA  
☐ IRA Rollover  
☐ ORP  
☐ Roth IRA  
☐ Self-Directed Brokerage Account (SDBA)  
☐ SEP *Form 5305 required*  
☐ Simple *Form 5304 or 5305 and 5305 SA required*  
☐ Single 401(k)  
☐ Other \_\_\_\_\_

#### 4. INVESTMENT OBJECTIVES. Please check the appropriate box for each question. Do not select more than one answer.

1. Which one of the following best describes your primary investment objective?

**Wealth Accumulation**  
Emphasis on continued capital appreciation in accordance with your overall risk tolerance.

☐ (12)

**Wealth Maintenance**  
Emphasis on maintaining a desired lifestyle or level of financial security.

☐ (6)

**Wealth Distribution**  
Emphasis on using wealth for living expenses.

☐ (1)

2. Approximately how many years do you expect to continue to invest your assets in the stock market?

0 - 3 years

☐

(0)

3 - 5 years

☐

(4)

6 - 10 years

☐

(8)

11 - 15 years

☐

(12)

Greater than 15 years

☐

(16)

3. Assume you are investing \$100,000 and can choose from the five hypothetical portfolios shown in the table below. The dollar values for each portfolio represent two possible returns – low and high – after one year.

Assuming there is an equal chance of achieving either result (low or high), indicate which portfolio represents the maximum risk/return trade-off you would be willing to accept.

**Possible High Value**

\$148,352

\$139,263

\$130,146

\$121,834

\$114,051

**Possible Low Value**

\$58,863

\$67,529

\$77,073

\$87,514

\$98,860

A

☐

(12)

B

☐

(9)

C

☐

(6)

D

☐

(3)

E

☐

(0)

The maximum gain or loss on an investment is impossible to predict. The ranges shown in the chart are hypothetical and are designed solely to gauge an investor's tolerance for risk.

4. Please indicate the level of risk with which you are most comfortable (select one response):

0

☐

(0)

1

☐

(2)

2

☐

(4)

3

☐

(6)

4

☐

(8)

5

☐

(10)

6

☐

(12)

7

☐

(14)

8

☐

(16)

9

☐

(18)

10

☐

(20)

If you select "0", "1" or "2", Brinker's investment methodology may not be appropriate for your portfolio.

5. How long are you prepared to wait for your account to return to its original value after a down market?

Less than 18 months

☐

(0)

18 months - 2 years

☐

(4)

2 - 3 years

☐

(8)

3 - 5 years

☐

(12)

More than 5 years

☐

(16)

6. My current and future income (salary, pension, etc.) is:

Very secure/stable

☐

(12)

Mostly secure/stable

☐

(9)

Secure/stable

☐

(6)

Somewhat secure/stable

☐

(3)

Not secure/stable

☐

(0)

7. How able are you to handle financial emergencies with assets outside of your Brinker account(s)?

Very able

☐

(12)

Mostly able

☐

(9)

Able

☐

(6)

Somewhat able

☐

(3)

Not able

☐

(0)

Both preferences below are optional.

8. I would like to impose a score (expressed as a percentage of the risk of a well-diversified equity portfolio) of: \_\_\_\_\_%

The higher your score, the more aggressively your portfolio will be allocated.

9. ☐ Please enroll me in the Lifestyle Option. By selecting this option, I understand that my risk budget will decrease by one point each year. Therefore, as I age, my portfolio will become more conservative. The Lifestyle Option is not available for Focused strategies and your selection of the Lifestyle Option will be disregarded when enrolling in those strategies.

If your score is under 20, Brinker's methodology may not be appropriate for your portfolio. A score under 20 will be increased and the portfolio will be managed at a Risk Budget 20.

## 5. MUTUAL FUND STRATEGIES.

Please select your strategy. A detailed description of each strategy may be found in our Form ADV Part 2A:

### Fidelity Retirement

Account Minimum - \$20,000:

- ☐ Individualized Account Management (only available on select plans)

### Fidelity BrokerageLink

Account Minimum - \$20,000:

- ☐ AdvisorOne Funds ☐ Newfound AdvisorOne Hybrid 50
- ☐ AdvisorOne 30% Protection (The minimum Risk Budget for this strategy is 30. If you select a Risk Budget below 30, Brinker will increase your Risk Budget to 30)
- ☐ AdvisorOne 50% Protection (The minimum Risk Budget for this strategy is 50. If you select a Risk Budget below 50, Brinker will increase your Risk Budget to 50)
- ☐ AdvisorOne 70% Protection (The minimum Risk Budget for this strategy is 55. If you select a Risk Budget below 55, Brinker will increase your Risk Budget to 55)
- ☐ Individualized Account Management (SDBA)
- ☐ American Funds ☐ American Hybrid
- American Hybrid Protection (The minimum Risk Budget for this strategy is 30. If you select a Risk Budget below 30, Brinker will increase your Risk Budget to 30.)

### Valic

Account Minimum - \$10,000:

- ☐ Individualized Account Management

### FEE SCHEDULE

For the investment management services listed above, Brinker will charge an advisory fee based on a percentage of your assets managed by Brinker. A portion of the advisory fee is paid out to your advisor ("Financial Adviser Retained Portion") and the remainder is retained by Brinker ("Brinker Retained Portion"). The annual advisory fee for assets invested in the mutual fund strategies listed above will be as follows:

Assets Under Management	Brinker Retained Portion*	Financial Adviser Retained Portion** (Max. 1.25%)
First \$50,000	0.60%	
Next \$450,000	0.45%	
Next \$500,000	0.40%	
Assets above \$1,000,000	0.35%	

*\*To offset fees received by Brinker from Affiliated Funds or Sub-Advised Funds, client assets invested in Affiliated Funds or Sub-Advised Funds are excluded from the calculation of Brinker's advisory fee. For additional information please see the attached Affiliated Fund Fee Disclosure.*

**\*\*ALL FOUR TIERS OF THE FINANCIAL ADVISER RETAINED PORTION OF THIS FEE SCHEDULE MUST BE COMPLETED WITH A PERCENTAGE NOT TO EXCEED THE MAX FEE (1.25%).**

### INVESTMENT RESTRICTIONS

Describe below any investment restrictions you would like to impose on your account (e.g., limiting your account to socially responsible funds).

**Please Note:** Some restrictions you request may limit Brinker's ability to manage your account and your account's performance may differ from the performance of accounts with or without similar restrictions.

*If an asset is not listed above, it will be liquidated by Brinker and the proceeds will be allocated to the strategy indicated above. Certain mutual funds may impose a deferred sales charge (load) when you sell your shares. Please refer to the fee and expense table in the prospectus or profile. Additionally, certain custodians may require a minimum holding period for securities purchased commission-free. You may be charged a short-term trading fee if the minimum holding period is not met. Please contact your custodian for more information regarding these fees.*

## 6. FINANCIAL ADVISER AUTHORIZATION (LIMITED POWER OF ATTORNEY). This section is optional.



Client Initials

I hereby grant the Financial Adviser the authority to make certain investment changes to my account with Brinker on my behalf. I understand that by granting this authority to my Financial Adviser, Brinker may rely upon all requests received from such Financial Adviser as having been authorized by me. I further understand that Brinker may have internal policies limiting the authority granted to my Financial Adviser by this authorization and consent to Brinker's limitation of the powers delegated by the instrument. This authorization shall remain in effect until Brinker receives written notice of its revocation signed by me, or if otherwise rejected for any reason by Brinker. I hereby agree to indemnify and hold Brinker harmless from any and all liability or claims, including but not limited to damages, court costs, legal fees, and costs of investigation as a result of Brinker's reliance on instructions granted hereunder by me or by my Financial Adviser.

## 7. CLIENT SIGNATURES.

I/we acknowledge receipt of Brinker's Form CRS and I/we hereby certify Part 2A & 2B of Brinker's Form ADV, as well as a copy of the Financial Adviser Disclosure Statement describing the arrangements between the Financial Adviser and Brinker as found in Section 1 of the Client Profile.

I certify that (1) I have elected Brinker to act as investment adviser to my account(s) listed herein and I have received a copy of the Investment Advisory Agreement and any supplements or amendments thereto that govern the management of my account(s) and have read, understand, and agree to the terms and conditions contained therein, (2) I agree to pay the Advisory Fees set forth herein, and (3) I have the full legal power and authority to enter into this Investment Advisory Agreement.

I hereby authorize my financial representative ("Financial Adviser") identified under the "Financial Adviser Signature" section of the Client Profile to communicate with Brinker to obtain all information regarding my account and to request processing of redemption requests to my address on file. I agree to indemnify and hold Brinker harmless for releasing my information to my Financial Adviser and processing redemption requests to my address of record pursuant to instructions issued by the Financial Adviser.

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Client/Trustee Signature (required)

Date

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Co-Client/Co-Trustee Signature (if more than one, all principals must sign)

Date

# ADVISORONE FUNDS STRATEGIES

**For strategies utilizing the Brinker-managed AdvisorOne Funds ("Affiliated Funds"), Brinker and its affiliates will earn fees directly from the Affiliated Funds for providing separate services to the Affiliated Funds.**

As described in the AdvisorOne Funds prospectus, the Affiliated Funds expenses are subject to fees of up to 1.25%, which represents the highest amount of all direct operating expenses of the Affiliated Funds. Included in these operating expenses is Brinker's fees for managing the Affiliated Funds. Because Brinker and/or its affiliates receive fees for services provided to the Affiliated Funds, the Total Advisory Fee paid by will not include the Brinker's Retained Portion of the advisory fee. Brinker would receive its compensation from the Affiliated Funds in which your assets are invested and Brinker receives up to a maximum of 0.75% from the Affiliated Funds.

For clients electing a Brinker Affiliated Funds strategy, up to one hundred percent (100%) of your assets will be invested in Affiliated Funds. Brinker's Hybrid Strategies utilize a specified combination of Affiliated Funds and non-affiliated investment options. For clients electing a Hybrid strategy, up to seventy-five percent (75%) of your assets will be invested in Affiliated Funds. Because markets fluctuate and the exact allocation to our Affiliated Funds in Hybrid strategies will fluctuate along with the market, Brinker uses the maximum allocation to Affiliated Funds for purposes of calculating the amount of assets excluded from the Brinker Retained Portion of the advisory fee. The table below lists the Brinker Retained Portion of the advisory fee for strategies that utilize Affiliated Funds:

Strategy	Allocation to Affiliated Funds	First \$50,000	Next \$450,000	Next \$500,000	Over \$1,000,000
AdvisorOne Funds	100%	0.00%	0.00%	0.00%	0.00%
AdvisorOne Protection	100%	0.00%	0.00%	0.00%	0.00%
AdvisorOne Hybrid 75	75%	0.12%	0.09%	0.08%	0.07%
AdvisorOne Hybrid 50	50%	0.27%	0.20%	0.18%	0.16%
AdvisorOne Hybrid 30	30%	0.39%	0.29%	0.26%	0.23%
American Hybrid	30%	0.39%	0.29%	0.26%	0.23%
American Hybrid Protection	30%	0.39%	0.29%	0.26%	0.23%