



FUSION
CAPITAL MANAGEMENT

CLIENT INFORMATION WORKBOOK AND RISK ASSESSMENT



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SECTION ONE :***INVESTMENT OBJECTIVES AND RISK TOLERANCE***

1. Which of the following best describes your primary financial goal for this investment?
 - a. My goal is preservation of capital. I am not concerned with out-performing the market.
 - b. My goal is generating current income while having limited risk exposure.
 - c. My goal is a combination of generating current income and growing the value of my investment with moderate to above-moderate risk exposure.
 - d. My goal is growing the value of my investment, and I am willing to tolerate losses with a higher risk exposure.

2. What is the time horizon for your investment?
 - a. 0-3 years: these investments need to remain very liquid.
 - b. 3-5 years: I can only tolerate a small amount of volatility.
 - c. 5-10 years: I can tolerate a moderate amount of volatility.
 - d. Over 10 years: these assets are invested for the long-term and can tolerate short-term fluctuations in value.

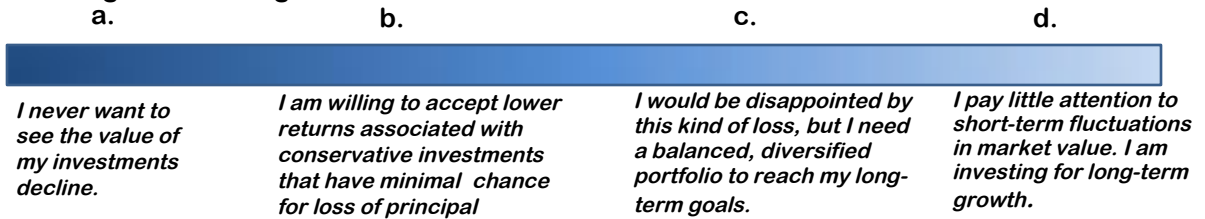
3. The assets considered for investment are what percentage of your total investable assets?
 - a. Less than 25%
 - b. 25% - 50%
 - c. 50% - 75%
 - d. More than 75%

4. Please choose the phrase that best describes the degree to which you will rely on these assets.
 - a. These investments are critical to my current and future financial well-being. I have few other assets or sources of current and future income.
 - b. While these assets are a significant portion of my wealth, I have other assets and additional sources of current and future income.
 - c. While these investments are an important portion of my wealth, I have considerable additional assets and other significant sources of current and future income.
 - d. This investment is fairly small in relation to my overall wealth and my other sources of current and future income.

5. How likely is it you will need to withdraw a significant portion of these assets prior to your planned time horizon to pay for a home, education or some other purpose?
 - a. I will definitely be withdrawing assets.
 - b. There is a strong chance.
 - c. It is possible, but not likely.
 - d. There is little to no chance.

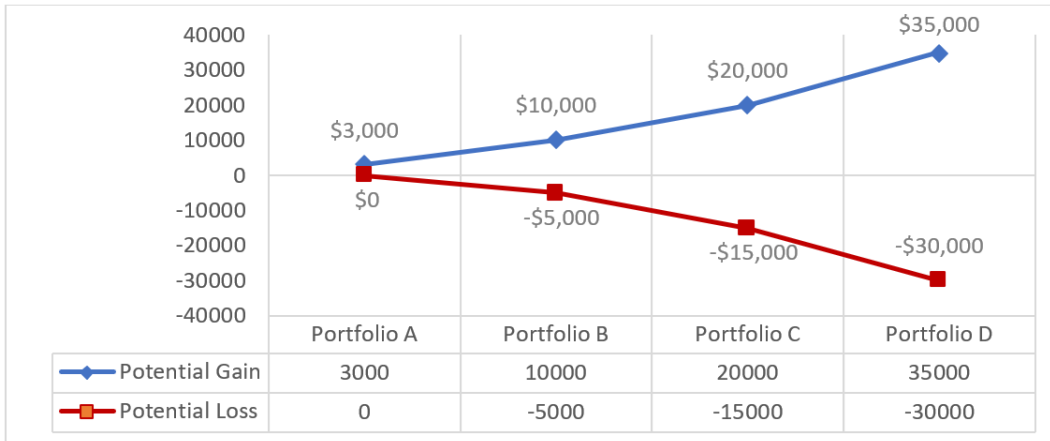
6. If you do expect to withdraw a significant portion of your account, when is it likely to be?
 - a. Within 3 years
 - b. Within 3 - 10 years
 - c. More than 10 years from now
 - d. Not applicable

7. Assume your investment time horizon is more than ten years. During the second year of the investment, your portfolio declines to 10% less than its initial value. Where would you place your reaction along the following scale?



8. Which hypothetical portfolio are you most comfortable with, considering the possible range of returns for \$100,000 invested over a 1 year period?

- a. Loss: \$0 Gain: \$3,000
- b. Loss: \$5,000 Gain: \$10,000
- c. Loss: \$15,000 Gain: \$20,000
- d. Loss: \$30,000 Gain: \$35,000



9. If you made a long-term investment of \$100,000, how much of a loss in a single year would you withstand before selling?

- a. 5%, or \$5,000 on a \$100,000 investment.
- b. 10%, or \$10,000 on a \$100,000 investment.
- c. 20%, or \$20,000 on a \$100,000 investment.
- d. I would not sell my investments based on a single year loss.

10. Suppose that, over a two to three year period, your portfolio and the market has lost value. What action would you take?

- a. Move to cash or some form of risk free investment.
- b. Move my investments to a more conservative portfolio with lower risk.
- c. Maintain my existing strategy.
- d. Develop a more aggressive strategy to recover my losses.

SECTION THREE:

FINANCIAL PROFILE

INCOME

- 1.) Current annual income (including bonuses, commissions, dividends, interest, rental income, small business, etc.) \$ _____
- 2.) Does your income fluctuate on an annual basis (due to commissions, bonuses, etc.)?
 - a. Yes. If yes, by what amount? \$ _____
 - b. No
- 3.) Do you expect your annual income to change in the next five years beyond a normal cost of living adjustment??
 - a. Yes. If yes, by what amount? \$ _____
 - b. No

SAVINGS

- 1.) Outside your company retirement savings plan, how much did you save last year after taxes?
\$ _____
- 2.) Do you expect to save a similar amount each year for the next few years? If no, how much do you expect to save each year?
 - a. Yes
 - b. No Amount expected? \$ _____

TAX INFORMATION

- 1.) What is your current marginal federal tax rate??
 - a. 10%
 - b. 12%
 - c. 22%
 - d. 24%
 - e. 32%
 - f. 35%
 - g. 37%
- 2.) To what state do you pay income tax? _____
- 3.) What is your current marginal state tax rate? _____

ASSETS

Category	Owner 1	Owner 2	Other	Investment Experience
Savings, CD, MM				E S N
Corp/Bonds				E S N
Municipal Bonds				E S N
U.S. Stocks/ ETFs				E S N
International Stocks/ ETFs				E S N
Limited Partnerships				E S N
US Fixed Income				E S N
U.S. Mutual Funds				E S N
International Mutual Funds				E S N
Real Estate Investment Trust				E S N
Closed End Funds/ 40 Act				E S N
Other Investments				E S N

Legend E Extensive
 S Some
 N None

LIABILITIES

Mortgage			
Credit Cards			
Auto Loans			
Personal Business Loan			
Other			

SECTION FOUR:

INVESTMENT OBJECTIVES AND RISK TOLERANCE SCORE

In this section, we rely on the answers that were provided to suggest an investment structure that fits your client's particular needs. Each answer to questions 1 through 10 has some number of points associated with it [shown in brackets]. Simply enter them into the template below to arrive at the total score.

QUESTIONS	ANSWERS	SCORE
#1.	a. [1] b. [4] c. [7] d. [10]	_____
#2.	a. [1] b. [4] c. [7] d. [10]	_____
#3.	a. [1] b. [4] c. [7] d. [10]	_____
#4.	a. [1] b. [4] c. [7] d. [10]	_____
#5.	a. [1] b. [4] c. [7] d. [10]	_____
#6.	a. [1] b. [4] c. [7] d. [10]	_____
#7.	a. [1] b. [4] c. [7] d. [10]	_____
#8.	a. [1] b. [4] c. [7] d. [10]	_____
#9.	a. [1] b. [4] c. [7] d. [10]	_____
#10.	a. [1] b. [4] c. [7] d. [10]	_____
Total		_____

Risk Score Key

- 10-20 Conservative
- 21-40 Conservative Moderate
- 41-60 Moderate
- 61-80 Moderate Growth
- 81-100 Growth

Client Acknowledgement

Client Name (Printed)	Client Signature	Date
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