

**Individual Trust – Investment Adviser Questionnaire**

1. **Firm Overview**
2. **Please provide a brief history of your firm and describe the general ownership structure of your firm.**
3. **What is your firm’s assets under management/advisement?**
4. **How many clients does your firm have?**
5. **How many years has your firm been providing investment advisory services?**
6. **Discuss the experience and history of the firm’s representative assigned to the Life’s Plan account. How many accounts does he/she work on?**
7. **Are you willing to meet with the client and/or Life’s Plan’s Audit and Finance Committee?**
8. **Please provide a sample client report**
9. **Please describe any conflicts of interest your firm may have in servicing Life’s Plan, Inc. Disclose whether your firm has any financial or other affiliation with other brokerage firms, banks, insurance companies, investment banking firms, or money management firms. If any such affiliation exists, how does your firm protect against conflict of interest?**
10. **Regulatory**
11. **Is your firm registered with the SEC? Please provide Form ADV II parts A and B along with recently mandated form CRS.**
12. **Describe any litigation, regulatory, or legal proceeding in which your firm or any principals of your firm have been involved with in the past 5 years.**
13. **Provide your applicable insurance coverage (i.e. E&O insurance)**
14. **Compensation**
15. **How is your firm compensated for investment advisory services provided: “Fee Only” or “Fee-based”?**
16. **Does your firm receive revenue from third parties such as rebates for brokerage commissions, 12-b1 fees, or other investment product referrals? Describe any revenue generated outside of your traditional advisory service fees.**
17. **Provide a sample of your client contract.**
18. **Provide a copy of fee schedule**
19. **Investment Strategy**
20. **May we see the historical performance for the last five years, 3 years, and 1 year for portfolios with similar investment objectives?**
21. **Will you be following a particular investment policy statement (IPS) for the portfolio? May we see the IPS?**
22. **Would you be willing to certify annually that you are following the IPS as outlined in 4b?**
23. **What is your firm’s general investment strategy?**
24. **How do you benchmark your strategy?**
25. **What is the general return expectation and risk expectation (standard deviation) of your strategy over a full market cycle? How are these assumptions derived?**
26. **What is your firm’s theory/methodology to asset allocation?**
27. **How do you implement your investment strategy? i.e. individual stocks or bonds, mutual funds, etfs, other**
28. **Does your firm have a general asset class bias, such as growth or value, large cap or small cap, domestic or global?**
29. **Where do you custody the clients’ assets?**
30. **Do you have discretionary authority over your clients’ assets?**
31. **Please provide a sample client report**

**5. Reporting**

1. **Could you send us quarterly statements for the portfolios?**
2. **Is online access available?**