My Clients - Data Questionnaire
Client Type: Personal Trust

This questionnaire is meant to cover all of the information required within My Clients. Completing this document before creating a new client in the fi360 Toolkit will allow you to be more efficient with your time.

Step 1: Organize - Enter Basic Client Information

Client Name:	

Client Status:
- ☐ Current
- ☐ Prospective

Client Subtype (Choose One):
- ☐ Personal Trust

Optional Client Information:

Address:	
Address 2:	
City:	
State:	
Zip Code:	

Committee Member Details:

Name	Title

Third Party Information:

Accountant:	
Attorney:	
Custodian:	

Load Waived A, N, & T Shares:
- ☐ Yes
- ☐ No

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Step 2: Formalize – Create Investment Policy Statement

Background Information

Fiduciary Standard of Care:
- ☐ UPIA
- ☐ State Code

Follow General Safe Harbor:
- ☐ Yes ☐ No

Time Horizon:
- ☐ Long: Five years or more
- ☐ Short: Less than five years

Current Assets:	
Modeled Return:	
Modeled Loss:	
State of Domicile:	
Tax ID:	
Plan/Portfolio Start Date:	
IPS Approval Date:	

Investment Goals and Objectives:
Ex. The investment goals and objectives are…

Asset Allocation

(See Exhibit 1 to select investment options)

Selection and Monitoring/Watch List Criteria

Criteria	Utilize for Selection	Utilize for Monitoring/ Watch List
fi360 Fiduciary Score® <= 25		
fi360 Fiduciary Score® Average (3 year) <=25		
Custom Due Diligence Criteria (see Exhibit 4)		

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Other Options

Provide Socially and Environmentally Responsible Investment Options?

- ☐ Yes (Choose One)
  - ☐ Use fi360 default language:
    Evaluate all investments according to the objective economic criteria established in this Investment Policy and if there are equally attractive investments, social factors may be considered.
  - ☐ Create your own language – Define:
- ☐ No

Utilize Investment Advisor?

- ☐ Yes
- ☐ No

Utilize Separate Account Manager?

- ☐ Yes
- ☐ No

Utilize Variable Annuity Sub-accounts?

- ☐ Yes
- ☐ No

Include Appendix A: Risk/Return Modeled Assumptions of Broad Asset Classes used in the Optimizer?

- ☐ Yes
- ☐ No

Step 3a: Implement – Select Client Holdings

Use Exhibit 2 to record the Account holdings.

Use Exhibit 3 to record any Custom holdings.

- o Securities such as stocks, bonds, and money market funds are not tracked in the fi360 Toolkit.

Step 3a: Implement – Select Fees and Expenses

Use Exhibit 5 to record the Client Level, Operational and Shareholder Fees and Expenses.

Step 4: Monitor – Select Blended Benchmarks

Use Exhibit 6 to create a blended performance benchmark that will be used in the Portfolio Performance Analysis report section.

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Exhibit 1 - IPS Asset Allocation

Allocatio n	Upper Limit	Lower Limit	Peer Group	Allocatio n	Upper Limit	Lowe r Limit	Peer Group
			Aggressive Allocation				Intermediate Government
			Bank Loan				Intermediate-Term Bond
			Bear Market				Japan Stock
			China Region				Large Blend
			Commodities Agriculture				Large Growth
			Commodities Broad Basket				Large Value
			Commodities Energy				Latin America Stock
			Commodities Industrial Metals				Leveraged Net Long
			Commodities Miscellaneous				Long Government
			Commodities Precious Metals				Long/Short Equity
			Communications				Long-Term Bond
			Conservative Allocation				Managed Futures
			Consumer Cyclical				Market Neutral
			Consumer Defensive				Mid-Cap Blend
			Convertibles				Mid-Cap Growth
			Currency				Mid-Cap Value
			Diversified Emerging Mkts				Miscellaneous Sector
			Diversified Pacific/Asia				Moderate Allocation
			Emerging Markets Bond				Money Market Tax Free
			Equity Energy				Money Market Taxable
			Equity Precious Metals				Multialternative
			Europe Stock				Multisector Bond
			Financial				Muni California Intermediate
			Foreign Large Blend				Muni California Long
			Foreign Large Growth				Muni Massachusetts
			Foreign Large Value				Muni Minnesota
			Foreign Small/Mid Blend				Muni National Interm
			Foreign Small/Mid Growth				Muni National Long
			Foreign Small/Mid Value				Muni National Short
			Global Real Estate				Muni New Jersey
			Health				Muni New York Intermediate
			High Yield Bond				Muni New York Long
			High Yield Muni				Muni Ohio
			India Equity				Muni Pennsylvania
			Industrials				Muni Single State Interm
			Inflation-Protected Bond				Muni Single State Long

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Exhibit 1 - IPS Asset Allocation (cont.)

Allocation	Upper Limit	Lower Limit	Peer Group
			Muni Single State Short
			Natural Resources
			Nontraditional Bond
			Pacific/Asia ex-Japan Stk
			Real Estate
			Retirement Income
			Short Government
			Short-Term Bond
			Small Blend
			Small Growth
			Small Value
			Stable Value
			Target Date 2000-2010
			Target Date 2011-2015
			Target Date 2016-2020
			Target Date 2021-2025
			Target Date 2026-2030
			Target Date 2031-2035
			Target Date 2036-2040
			Target Date 2041-2045
			Target Date 2046-2050
			Target Date 2051+
			Technology
			Trading-Inverse Commodities
			Trading-Inverse Debt
			Trading-Inverse Equity
			Trading-Leveraged Commodities
			Trading-Leveraged Debt
			Trading-Leveraged Equity
			Trading-Miscellaneous
			Ultrashort Bond
			Utilities
			Volatility
			World Allocation
			World Bond
			World Stock

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Exhibit 2 – Mutual Fund, ETF, SMA, VA and GRPA Holdings

Type (Fund, SMA, VA or GRPA)	Ticker or Investment Name	$ Value (if selected)	Watch List Notes (*if applicable*)	Action (*if applicable*) (Watch or Replace)

Exhibit 3 – Custom Holdings

Note: Before entering a client to input the $ value (if applicable), create your custom holding within the Custom Holdings Directory available in the User Settings area.

Investment Name				
Peer Group				
3 Month Return				
YTD Return				
1 Year Return				
3 Year Return				
5 Year Return				
10 Year Return				
2011 Year Return				
2010 Year Return				
2009 Year Return				
2008 Year Return				
2007 Year Return				
Standard Deviation (3 year)				
Prospectus Net Expense Ratio				
12b-1 Fee(max. fee)				
Front Load				
Deferred Load				

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Exhibit 4 – Custom Due Diligence

Factor	Threshold	Required or Optional?	Periods evaluated:			Missing Data Treatment
Example: 5 Year Return	*Example:* Top 25% of peer group	*Example:* Required	*3*	of	*4*	*Pass*
				of		
				of		
				of		
				of		
				of		
				of		
				of		
				of		
				of		
				of		

Exhibit 5 – Client Fees and Expenses

Plan Level Expenses

Name	Party Paid *(see below)*	Assessed? *(see below)*	Payment Frequency *(see below)*	Fee Amount	Paid? *(see below)*
Advisory Fee	Advisor				
Communication	TPA				
Compliance	TPA				
Load Administration	TPA				
Participant Education	TPA				
Plan Amendment	TPA				
Recordkeeping	Recordkeeper				
Start-up Expense	TPA				
Termination Expense	TPA				
Trustee Expense	Custodian				
Wrap Fee	TPA				
Other:					

Party Paid Options:	Assessment Options:	Payment Options:		Paid?
Advisor	% of Assets	Annually		bps
Broker	Flat Fee	Semi-Annually		$ value
Custodian	Per Participant	Quarterly		
Investment Mgr.		Monthly		
		One Time		

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Investment Expenses: Operational Fee

Investment Name	12b-1 (max.)	12b-1 Sales	Sales Rebate	12b-1 Service	Service Rebate	Sub-TA Agency Fee	Sub-TA Rebate	Paid? *(see below)*	Wrap Fee

Paid ?
bps
$value

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Investment Expenses: Shareholder Fees

Investment Name	Front Load	Waived?	Deferred Load	Waived?	Finder's Fee	Paid? *(see below)*	Redemption Fee	Redemption Days	Exchange Fee	Other Fee

Paid?
bps
$value

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Exhibit 6 – Blended Benchmark

Note: For a list of indices, please visit the Help Center (http://fa.fi360.com/fi360/fa/help/help_home.jsp) and select the document labeled "Benchmark Indexes".

Index Name	**Percentage**
Total	**100%**