

Account Application

Name(s) _____

Mailing address _____

E-mail address _____

Phone _____ Fax _____

Douglas Capital Management, LLC provides investment advice, asset allocation advice, and stock portfolio management in accordance with your world view, risk tolerance, tax situation, investment objectives, and financial goals. Your answers to the following questions begin to shape our understanding of your objectives. However we recognize that these questions may only provide an initial view of your situation.

Investment Objectives and Risk Profile:

The following series of questions attempts to provide an initial profile of your investment objectives and risk tolerance. Please feel free to add comments on additional pages where necessary to clarify your responses.

What is your perspective for the future economic growth rate of the United States relative to the rest of the world?

- ☐ Much higher than most other countries
- ☐ Higher than most other countries
- ☐ Equal to most other countries
- ☐ Lower than most other countries
- ☐ Much lower than most other countries

How would you classify yourself as an investor?

- ☐ Very Conservative
- ☐ Conservative
- ☐ Moderate Risk Tolerance
- ☐ Capital Growth Oriented
- ☐ Aggressive Capital Growth Oriented
- ☐ Very Aggressive Capital Growth Oriented

What percentage of your Liquid Net Worth is in tax sheltered accounts? _____

What percentage of your Liquid Net Worth would you like DCM to actively manage? _____

Are you interested in Douglas Capital Management's aggressive trading strategy? * _____

Additional Comments:

* The aggressive trading strategy is open only to qualified high net-worth investors defined as follows: An individual or a corporation with at least \$750,000 under management with the investment advisor; or an individual with a net worth of \$1,500,000 or more; or an individual with annual income of \$200,000 or more in each of the past two years (\$300,000 jointly with spouse) and a reasonable expectation of reaching the same level in the current year.

Please return the completed application to Douglas Capital Management using one of the following methods:

1. Scan and email to brettdouglas@dcm-llc.com
2. Fax to 309-412-1001
3. Mail or Express Mail:

Douglas Capital Management, LLC
4 Windsong Way
Bloomington, IL 61704-8350
309-807-5637 (phone)