OpenInvest

Client Questionnaire

Client Full Name:

Client Email Address:

Adviser Firm:

Causes

Social
☐ Divest from Dark Money
☐ Invest in Disability Inclusion
☐ Invest in Healthy Hearts
☐ Support LGBTQIA+ Rights
☐ Divest from the Prison Industrial Complex
☐ Invest in Racial Justice
☐ Support Refugees
☐ Invest in Ethical Supply Chains
☐ Divest from Big Tobacco
☐ Divest from Weapons
☐ Invest in Women Leaders
☐ Support Animal Welfare

Environmental
☐ Fight Deforestation
☐ Reduce Fossil Fuel Producers
☐ Divest from All Fossil Fuels
☐ Reduce Greenhouse Gas Emissions
☐ Defund Pipelines on Indigenous Land

Faith & Family Values
☐ Halal Investing
☐ Catholic Values

Are there individual companies that you would like to include or exclude from your portfolio?

☐ Include:

☐ Exclude:

Please provide a comma separated list of US exchange traded tickers or company names.

Trading Details

How would you like to allocate your portfolio?

% Equity _____ % Bond _____ ☐ Alternative ticker: _____

Please list Equity & Bond exposure in percentages totaling 100%.
Ex: 80% Equity, 20% Bond

Our default position for fixed income is **BND**.
Please note here if you prefer an alternative by listing the ticker.

What benchmark, or several benchmarks, would you like to utilize for your portfolio?

Benchmark	Allocation	Benchmark	Allocation
☐ S&P 500	%	☐ Nasdaq 100	%
☐ S&P 400 MidCap[1]	%	☐ MSCI USA[2]	%
☐ S&P 600 SmallCap[1]	%	☐ MSCI World[2]	%
☐ RUSSELL 1000	%	☐ MSCI World ex-USA[2]	%
☐ RUSSELL 1000 Value[1]	%	☐ MSCI EAFE[2]	%
☐ RUSSELL 2000	%	☐ MSCI EAFE Value[2]	%
☐ RUSSELL 2000 Value[1]	%	☐ MSCI EAFE Large Cap[2]	%
☐ RUSSELL 3000	%		

[1] We track this index using various ETFs which may incur some tracking error compared to the actual benchmark.

[2] These indices are tracked using ADRs and companies that trade on US exchanges. As a result, portfolios that include these indices will incur a larger tracking error.

If this is not a tax-advantaged account, would you like to take advantage of tax-loss harvesting? OpenInvest can model quarterly, semiannual, or annual tax-loss harvesting scenarios aligned with your rebalancing schedule.

☐ Yes ☐ No

By default, we attempt to keep tracking error to a minimum.
However, you can allow for a larger tracking error to increase your overall ESG score by over-allocating your portfolio to companies with positive ESG scores.

☐ Minimum (default) ☐ Larger tracking error: _____ BPS

If you would like to take this action, please specify your maximum acceptable tracking error.