

# **MRM Asset Allocation Group, Inc.**

## ***INVESTMENT MANAGEMENT PLATFORMS***

### ***PLATFORM(S) SELECTION***



MRM ASSET ALLOCATION GROUP, INC  
(314) 628-1100 • (800) 233-1944

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FAX (314) 205-1641

ST. LOUIS MO 63141 USA  
E-MAIL: [info@mrminv.com](mailto:info@mrminv.com)

*Client Investment Profile*

**1. Please choose an investment objective:**

- Maximum Growth .....
- Growth.....

**2. What is your primary financial goal?**

- Retirement Planning.....
- Long-Term Wealth Accumulation.....

**3. What is your risk tolerance?**

- Aggressive.....
- Moderate.....

(Platform choices should be consistent with risk tolerance)

**4. What is your age?**

- 20 – 35 years.....
- 36 – 45 years.....
- 46 – 55 years.....
- Over 56 years.....

**5. What percentage of your total investments is represented by this account?**

- 0 – 25%.....
- 26 – 50%.....
- 51 – 75%.....
- 76 – 100%.....

**6. What is your primary source of income?**

- Investments.....
- Compensation.....
- Retirement Assets.....

**7. Do you Require regular income paid to you from this account? Yes\_\_\_\_\_ No\_\_\_\_\_**

If yes, how often?\_\_\_\_\_ Amount?\_\_\_\_\_

**8. Does your investment objective restrict investment in certain securities, industry groups, or regions? Yes\_\_\_\_\_ No\_\_\_\_\_**

If yes, please explain:\_\_\_\_\_

**9. What is the time frame for you to achieve your financial goals for this account?**

- 5 – 10 years.....
- Over 10 years.....

Investor acknowledges the completed client profile to be true and correct. Investor will notify Advisor of any changes in financial situations or investment objectives.

\_\_\_\_\_  
Advisor's Name (Please Print)

\_\_\_\_\_  
Client's Name (Please Print)

\_\_\_\_\_  
Advisor's Signature

\_\_\_\_\_  
Client's Signature

\_\_\_\_\_  
Date

**ACCOUNT REGISTRATION**

For existing fund holdings, this should match the registration on file at the Mutual Fund or Annuity, or match the fund account application if the account is not yet established. (Please print)

**ACCOUNT TYPE**

Please provide the legal account type for your account, as specified from list at right:

- Individual, Joint, IRA, IRA Rollover, SEP IRA, Keogh or other
- 401(k), Pension, Profit Sharing, Trust \*
- Corporate, Partnership\*\*

\* Please provide a copy of the legal document for these types of accounts, including the title page, investment designation page (i.e. powers of trustee) and signature page.

\*\* For Corporate accounts, please provide a copy of their Corporate Resolution. For Partnership accounts please provide a copy of Agreement.

**CLIENT MAILING ADDRESS**

Please provide client mailing address. Compliance regulations require That we furnish quarterly information directly to the client.

**BILLING ADDRESS (if different from client's)**

Please complete this section only if you wish the quarterly billing to Be sent to an alternate address for payment.

**E-MAIL:**

**Are you a US citizen?** (please initial) **Yes** \_\_\_\_\_ **No** \_\_\_\_\_

I do not have an e-mail address.

**TELEPHONE NUMBERS**

Please provide your home phone number.

Please provide an additional phone number.

( ) \_\_\_\_\_

( ) \_\_\_\_\_

**TAX ID OR SOCIAL SECURITY NUMBER:**

Please provide the SSN/Tax ID associated with this account.

**DATE OF BIRTH**

Please provide the account owner's date of birth.

**ADVISOR'S REPRESENTATION**

I have given applicant a copy of the MRM ASSET ALLOCATION GROUP, INC. disclosure statement (Part II of Form ADV). Client has provided suitability information to Advisor which indicates that the use of MRM's Services/Investments are suitable for client. Client has been informed of the compensation of the referral fee paid by MRM to Advisor and the Broker/Dealer. In addition to the referral fee, the Advisor may receive, and the client may be charged a sales charge and/or redemption fee from the Fund Family upon sale or thereafter. Any charges of fees are explained in the Fund prospectus and furthermore, the Advisor agrees to fully disclose the amount of any charges of fees to the client. MRM does not receive commission or fee other than the Investment Advisory fee.

Advisor's Name (Please print)

Advisor's Signature

Date

Advisor's Phone No.

Broker/Dealer or other entity

**CLIENT SIGNATURES**

I certify that I am of legal age and capacity in my state of residence. I have read and understand the MRM Asset Allocation Group, Inc. Client Agreement which is incorporated as an integral part of this Platform Application, and I agree to the terms set forth in such agreement. I have also received a copy of the MRM Asset Allocation Group, Inc. disclosure statement (Part II of Form ADV) and a copy of the Advisor's Disclosure Statement. Client acknowledges that Advisor has fully disclosed any charges of fees, if applicable, in addition to the referral fees charged by Advisor. I have read the prospectus and understand the risks involved with my fund choice/s. THE CLIENT AGREEMENT CONTAINS A BINDING ARBITRATION PROVISION WHICH MAY BE ENFORCED BY THE PARTIES.

Client's Signature

Date

Joint Account Second Signature

Date

Corporate, Partnership, Trust or Custodian Name (Please print)

Secondary Signer (Please print)

Name and Title of Authorized Signer (Please print)

Second Signature

Date

Signature

Date

## MRM Platform Selection

Please select and complete one of the choices below. For description, see MRM Brochure and MRM ADV Part II

I have received and read the applicable prospectuses and understand the risks involved with the platform choice I have made. Please initial: [\_\_\_\_\_]

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**Dynamic Overlay Platform**

**Dynamic International Platform**

**Total Equity Plus Platform**

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Please indicate the investment vehicle to be used:

Exchange Traded Funds (name) \_\_\_\_\_

Mutual Fund Family (name) \_\_\_\_\_

Variable Annuity (name) \_\_\_\_\_

If available, please show (for account to manage)

\_\_\_\_\_   
 Account Number

\$ \_\_\_\_\_   
 Account value

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MRM ASSET ALLOCATION GROUP, INC.  
CLIENT AGREEMENT

By executing the MRM Asset Allocation Group, Inc. (hereinafter "MRM"), Program Application, the named client (hereinafter "Investor") agrees to be bound by the terms of this Client Agreement.

Investor agrees to use the services of MRM in an Investment Platform using the mutual funds/annuities/exchange traded funds/securities/bonds/money markets designated by the Investor or their personal advisor. Investor authorizes MRM to effect exchanges of/or between selected investment choices in accordance with MRM's domestic and/or international/global Buy/Sell indicators at the sole discretion of MRM. MRM cannot guarantee that all exchanges of funds for all clients will occur on the same day, but MRM will effect exchanges as promptly as possible.

Investor recognizes that MRM's Investment Platforms are not short term trading programs and that benefits, if any, to the Investor can best be realized by long term participation in the platform(s). In addition, Investor recognizes that there is **no** assurance as to the accuracy of MRM's domestic and/or international/global Buy/Sell indicators and that any market loss resulting from the use of such indicators are normal market risks and the risks of the Investor.

Investor has provided suitability information to the referring personal advisor and to MRM. Investor will inform their personal advisor and MRM of any changes in current financial situation and any withdrawals or additions to Investor's account/s.

This authorization includes the right of MRM to make exchanges without notice to Investor, and Investor hereby appoints MRM as their true and lawful limited Attorney-in-Fact to have complete discretionary authority over such exchanges. Upon such an exchange, a transfer fee may be charged by the mutual fund/securities/annuity or the custodian, which will be deducted from proceeds of liquidation before reinvestment. Notwithstanding the foregoing, Investor shall have the sole authority to withdraw cash or securities from the accounts designated by the Investor. MRM shall not have custody or possession of such cash or securities at any time and shall have no right to withdraw cash (unless the investor has, in writing, authorized MRM to withdraw its management fee directly from the account), or securities from the Investor's accounts. MRM Asset Allocation Group, Inc. has no authority to vote securities in a portfolio.

Fees for MRM's services will be charged on the basis of a percentage of assets under management. Fees will be calculated as follows: The annual fee of 2% of assets under management or the fees can be negotiable on an account by account basis, and could vary up or down. MRM's fee could be higher than industry standard. MRM may re-allow a portion of the fee to referring personal advisor and Broker/Dealer. Certain affiliated or related investment accounts may be combined for purposes of the fee schedule. Fees will be billed quarterly in advance based on the closing balance in the account(s) at the end of the prior quarter or such other date in a quarter as determined by a fund or custodian with respect to fee deduction accounts. The initial fee charged at the time the program is established will be computed on the opening balance in the account. Fees will be prorated with respect to amounts added to accounts during each quarter. If the Investor initiates any exchanges or makes any additions to or deletions from an account, Investor will notify MRM immediately. The fee charged by MRM is in addition to any fee charged by a mutual fund/annuity or other security, in which Investor's funds are placed, as more specifically described in the Prospectus provided by the mutual fund/annuity or other security, including ETF or custodian charges. Such fees may include, but are not limited to, exchange fees, management fees and fees allowable under Rule 12b-1 under the Investment Company Act of 1940. MRM shall not be compensated on the basis of a direct share of capital gains or capital appreciation of the funds or any portion of the funds of the client.

MRM shall not be under any obligation to change the status of account designations, or investor objectives, until MRM receives written instructions from the Investor's personal advisor in a form satisfactory to MRM. Further, MRM's ability to make exchanges between domestic and/or international/Exchange Traded Funds/global funds and corresponding money market funds so designated is subject to exchange policies outlined in the applicable fund's current Prospectus and/or regulations of the fund's transfer agent and the policies of the broker-dealer through which the Investor may have purchased the said funds. Because of such policies and regulations or for other reasons, there may be mutual fund/annuity account consolidations or other modifications, or a delay by a fund or broker-dealer in establishing Investor's accounts/mutual fund/annuity accounts or in effecting an exchange. MRM will not be responsible for any losses resulting from such consolidations, modifications, or delays in establishing or effecting exchanges or failures in executions of MRM's exchange signals.

MRM ASSET ALLOCATION GROUP, INC.  
CLIENT AGREEMENT  
(continued)

This agreement is cancelable by either party upon written notice to the other party of their desire to cancel this Agreement. Notice is to be sent to MRM Asset Allocation Group, Inc., 12400 Olive Blvd., Suite 450, St. Louis, MO. 63141. Prepaid fees shall be prorated as of such date, any unused portion being returned to Investor. In the event of a cancellation, MRM shall complete the outstanding obligation and commitments made on behalf of the Investor, but MRM shall not make any new commitments or undertake any additional obligations on behalf of the Investor. In the event that the Investor shall die or be declared incompetent, the authority of MRM to continue to act under the terms of the Agreement shall continue until such time as MRM is notified of such death or incapacity. At such time as MRM receives notice of Investor's death or incapacity, MRM shall, within a reasonable time after receiving such notice, effect an exchange of all assets under management into a money market fund.

Investor agrees that during the term of the Agreement, he/she will promptly notify their personal advisor of any change in registration, ownership, financial objective, or status. MRM will not be responsible for any losses resulting from Investors failure to provide such prompt notification. MRM is hereby authorized to act pursuant to the Agreement and accept instructions from any officer or agent of the Investor so designated in writing for such purpose by the Investor or, if the Investor is an entity, by the Investor's board of directors, trustee, or managing partner.

Any controversy or claim between Investor and MRM or any of MRM's officers, directors, agents or employees arising out of or relating to this Agreement, or the performance or breach thereof, or any account of Investor, shall be settled by arbitration in accordance with the applicable rules of the American Arbitration Association, and judgment upon the award rendered by the arbitrator may be entered into any court having jurisdiction thereof. The situs of any such arbitrations shall be within St. Louis County, Missouri. By undertaking the performance of its obligations hereunder, MRM agrees to be bound by the terms hereof, including this arbitration provision. If Investor, for any reason, fails to pay the applicable fee as required hereunder and MRM takes the actions it deems necessary to collect the said unpaid fee, including without limitation, the tendering of the collection effort to a third party, Investor agrees to pay any and all costs associated with such collection or in resolving any dispute/ or the validity of any agreements signed by investor with advisor including without limitation, all arbitration fees and costs and reasonable attorney's fees. This Agreement may not be amended, transferred, assigned, sold or in any manner hypothecated or pledged by either party.

**INVESTOR RECOGNIZES THAT THIS IS A LONG TERM INVESTMENT PROGRAM AND IS NOT SUITABLE AS A SHORT TERM TRADING VEHICLE.**

**THIS CONTRACT CONTAINS A BINDING ARBITRATION PROVISION WHICH MAY BE ENFORCED BY THE PARTIES.**



**ASSET ALLOCATION GROUP, INC.**

**Registered Investment Advisor**