Investment Advisory Services

Special Instruction Form

1. Account Information

First Name	M.I.	Last Name

Advisor Name	Plan Name

2. Category *(please check one)*

❑ Company Stock:

Our investment policy is to hold NO company stock within a client portfolio. However, we understand the occasional need to do so, whether from employee holding requirements or affinity to the stock. When instructed to hold company stock within the portfolio we will 'carve out' the stock and allocate the remaining assets to the specified strategy. Investor understands that any company stock allocation will cause the risk and return characteristics of the portfolio to differ from those of the modeled strategy.

A. If you are requesting an investment in company stock, what percent of the portfolio should it represent? _________%

B. Would you like future contributions to match the percentage of company stock above? ❑Yes ❑No

❑ Custom Allocation:

Under certain circumstances, we can take instruction to implement an allocation different from any of our pre-determined strategies. Please explain in detail below the special allocation AND how this would benefit the client.

❑ Model Variance:

If the selected strategy differs from the one indicated by the Investor Profile, please give reasons for variance.

❑ Trade Timing:

While we will not take instruction to "time the market," you may instruct us on other timing aspects of implementing a client's strategy.

❑ Other:

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3. Detail

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Client Signature: ____ Date: ____________

If signed by Solicitor:
"I affirm that I have discussed this change with Client name above and he/she is in agreement."

Solicitor Signature: ______________________________________ Date: ____________