



Investment Policy Statement

Creation Date:

Explanation and Overview:

The following Investment Policy Statement ("IPS") is designed to capture an initial picture and evaluation of the Client's current financial situation including their investment portfolio and assets. From this and other information obtained through Client/ Adviser interviews and meetings, the Adviser will provide guidance and make recommendations to assist the Client in deciding what changes, if any, may be needed regarding their assets, allocations of their assets, and investment portfolio(s). The IPS will serve as a "document of understanding" between the Adviser and the Client which will need to be updated periodically in order to remain relevant.

The IPS is designed to do the following:

1. Define the Client's current financial situation,
2. Gather Client's investment profile information including risk/reward tolerances, goals, and expectations.
3. Define the duties and responsibilities of the Client, the Adviser, and the Investment Manager or Investment Committee (if different from Adviser).
4. State, in writing, the Client's investment goals, objectives, and constraints.
5. Describe proposed investment strategies and styles to be used by Adviser if applicable.
6. Establish guidelines for portfolio rebalancing if applicable.

It is the **duty of the Client** to provide the Adviser with all requested current financial and/or other information to the best of his/her/their abilities. The Adviser will use this information to develop this IPS and the investment recommendations or strategy used for the Client's portfolios. The Client will also be expected to update the Adviser with any changes to the requested information that occurs in the future. The Adviser cannot be held liable for any inaccurate information provided by the Client.

It is the **duty of the Adviser** to treat the Client with a Fiduciary standard of care - meaning the Client's interests will always be at the forefront, ahead of any individual adviser representative or the Adviser. The Adviser will use various methods including this IPS and Client interviews, conversations, and meetings to collect the information needed to create this IPS document and to recommend an action plan of investment strategies and/or portfolio investments that are designed to accomplish the Client's goals and objectives.

As stated above this IPS will be used to gather statistical information about the Client to help the Adviser structure portfolios that are consistent with the Client's policies and goals as delineated in discussions between the Adviser and the Client.



IPS - Information and Assumptions:

Client Profile Information

	Client #1	Client #2
Client Date of Birth (mm/dd/yyyy):		
Current Annual Income(s):	\$	\$
Income Tax Bracket:	%	%
Desired Retirement Age:		
Net Worth (Including Residence)	\$	\$
Net Worth (Excluding Residence)	\$	\$
Liquid Net Worth	\$	\$

Current Investment Holdings: _____

_____ Adviser has obtained financial records (Balance Sheet, Income Statement, Tax Returns, etc.)

Investment Objective(s) Information

	Client #1	Client #2
Desired Monthly/ Annual Retirement Income:	\$ _____ per month/year.	\$ _____ per month/year.
Estimated Annual Inflation Rate Between Now and Retirement:	%	%
Time Horizon for Proposed Investment Portfolio in Years:		



Risk Tolerance:

Acceptable Percentage of Principal Investment Loss in a Short Term Period: _____ %

Target Rate of Return: _____ % over a _____ (# of years) Time Frame.

Specific Investment Objectives and Goals (be specific and provide details): _____

Which of the following best reflects your investment objectives?

- I seek to preserve my investments and accept minimal return to pursue my objective.
- I seek to generate income from my investments and am interested in investments that have historically demonstrated a low degree of risk of loss of principal value.
- I seek to grow the principal value of my account(s) over time and am willing to invest in securities that have historically demonstrated a moderate degree of risk to loss of principal value to pursue my objective.
- I seek to grow a greater amount of the principal value of my investments over time and am willing to invest in securities that have historically demonstrated a moderate to above average degree of risk of loss of principal value to pursue this objective.
- I seek a significant increase in the principal value of my investments am willing to accept a corresponding greater degree of risk by investing in securities that have historically demonstrated a high degree of risk of loss of principal to pursue this objective.

How would you respond if you were to endure an investment loss?

- I would sell my investments immediately if they suffered substantial declines.
- Although declines in investment value make me uncomfortable, I would wait one to two quarters before adjusting my portfolio.
- I can endure significant declines in the value of my investments and would wait at least one year before adjusting my portfolio.
- Even if my investments suffered a significant decline over several years, I would continue to follow my long-term investment strategy and not adjust my portfolio.
- I would increase the amount invested in my portfolio in anticipation of an increase in value.

How knowledgeable are you with regard to finance and investing?

- Minimal. I have very little interest in understanding finance and investing or I have not had the opportunity to learn.
- Low. I have only the basic knowledge of finance, such as stocks, bonds, and mutual funds.
- Medium. I have knowledge beyond basic products and I understand diversification and other financial and investing terminology and strategy.
- High. In addition to understanding products and terminology, I understand factors that affect the price of stocks and bonds.
- Advanced. I have an in depth knowledge of most financial products, including stocks, bonds, and options. I understand overall market risk as well as company specific risk.



Investment Experience

How long have you owned each/any of the following:

_____ Mutual Funds _____ Stocks _____ Bonds _____ Fixed Annuities
 _____ Indexed / Variable Annuities _____ ETFs _____ REITs _____ Limited Partnerships
 _____ Other (provide details: _____)

Adviser Proposed Investment Strategies and/or Modules:

Client and Adviser Adoption Signatures:

Client and Adviser both jointly adopt this Investment Policy Statement and agree that it is a work in progress that must be updated frequently in order to remain relevant and appropriate.

Client Name:		Representative of Johnson Private Wealth Management, LLC	
Client Signature	Date	Adviser Signature	Date
Second Signature	Date	Chief Compliance Officer Signature	Date



Exhibit II

Fee Schedule

The following are the fees charged by Johnson Private Wealth Management, LLC for services provided:

JPWM will not be compensated on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of Client.

Asset-based Fees

Total Assets Under Advisement	Annual Fee
\$50,000 to \$999,999	1.00%
\$1,000,000 to \$2,999,999	0.90%
\$3,000,000 to \$4,999,999	0.85%
\$5,000,000 to \$9,999,999	0.75%
\$10,000,000 to \$24,999,999	0.60%
\$25,000,000 to \$99,999,999	0.50%
\$100,000,000 to \$999,999,999	0.45%

JPWM bills based on the balance on the first day of the billing period.

Selection of Other Advisers Fees

JPWM may direct clients to third-party investment advisers. JPWM will be compensated via a fee share from the advisers to which it directs those clients. This relationship will be memorialized in each contract between JPWM and each third-party adviser. The fees shared will not exceed any limit imposed by any regulatory agency. The notice of termination requirement and payment of fees for third-party investment advisers will depend on the specific third-party adviser selected.

The negotiated rate is: _____.



Exhibit III

Identification of Authorized Third Party	
The Authorized Third Party for the Account is:	
Mailing Address:	
Telephone:	

A copy of the Custody Authorized Third Party's agreement is not attached as part of this Exhibit III.

Exhibit IV

Identification of Authorized Firm Persons

The following persons at Johnson Private Wealth Management, LLC are authorized to act on behalf of Client with respect to the Account.

Client will provide Johnson Private Wealth Management, LLC with prior written notice of any changes in the persons at JPWM so authorized.

Authorized Person Name:	
Position:	
Signature:	

