



Investment Policy Statement

Hi Sample,

The purpose of this Investment Policy Statement is to provide meaningful direction and guidance regarding the selection and management of investment assets based on established and documented investment goals and objectives.

Click START when you are ready to get the details of the Investment Policy Statement. You will be requested to e-sign the document to ensure that we are on the same page.

Once you are done click on FINISH. We will receive a notification that you completed the form.

Let us know if you have any questions.

Sample Client

Personal Details

First Name

Sample

Middle Initial

Last Name

Client

Contact Details

Email

breakawayfg@gmail.com

Mobile Phone

+1 508-736-9027

Home Phone

Work Phone

Address

887 Johnnie-Dodds Blvd

Mount Pleasant

SC

29464

US

Duties, Responsibilities, and Control Procedures

As a client, you have retained our firm to help manage your investment portfolio. Throughout your investment journey, we will guide you through a disciplined and rigorous investment process. As your investment advisor, our primary responsibilities are as follows:

- Provide guidance in developing an appropriate portfolio asset allocation based on a financial plan created to help accomplish life goals.
- Recommend a diversified portfolio comprising different asset classes with varying expected returns, volatility, and correlation characteristics.
- Present investment options and communicate the trade-offs.
- Recommend changes to portfolio allocation and management style when appropriate.
- Control investment costs and account for expenses.
- Monitor and supervise third-party service vendors.
- Monitor, rebalance, and reposition the portfolio when appropriate.
- Provide timely and accurate portfolio performance reports and tax and financial accounting information as directed.
- Receive shareholder proxy materials on your behalf and vote accordingly.
- Advisor shall have full discretion over buying and selling decisions of assets under management.
- Select a custodian that is charged with the safekeeping of client assets. Custodian shall hold title to assets and settle transactions on behalf of the client. The custodian shall provide a detailed list of transactions, cash management, assets owned, and asset values shall be provided to the client by the custodian in periodic reports. Advisor shall monitor custodian performance on an ongoing basis and recommend another custodian when appropriate.
- The advisor and client will periodically review the Investment Policy Statement to evaluate possible changes in financial goals and investment objectives to determine relevance.

Risk Profile

There are 3 elements of your risk profile that we consider when giving portfolio recommendations:

- Risk Tolerance
- Risk Capacity
- Risk Need

Risk Tolerance

Risk tolerance is a psychological aspect of investing that relates to your level of comfort in taking financial risks. It helps determine your willingness to lose some or all of an investment in exchange for greater potential returns. Investors generally differ in the amount of risk they feel comfortable taking. While some people embrace risk, others may tend to avoid it at all costs.

Based on our Risk Tolerance Questionnaire, you were defined as:

Risk Profile
Aggressive

Risk Capacity

Risk Capacity is the determination of an adjustment to your risk profile based on your current financial situation. We want to ensure that your needed living expenses and possible emergencies are covered with unmanaged funds. This should avoid needing to sell investments at possibly the wrong time.

Based on our Risk Capacity Analysis, we recommend you:

Risk Capacity
Maintain Risk

Risk Need

Risk Need is determined based on your progress towards your life goals. Depending on the amount of time you may require to achieve what you are envisioning we may recommend an adjustment to the amount of risk taken within your investment portfolio.

Based on our Risk Need Analysis, we recommend you:

Risk Need
Maintain Risk

Our Risk Profile Recommendation for each Financial Plan Term:

Short-term Bucket Risk Profile
Moderately Aggressive

Mid-term Bucket Risk Profile
Moderately Aggressive

Long-term Bucket Risk Profile
Aggressive

The Investment Management Plan constitute of 3 different terms:

- The Short-term Bucket
- The Mid-term Bucket
- The Long-term Bucket

Each of the different buckets has a role within the financial plan and we believe should be invested appropriately.

The Short-term Bucket constitutes the money that is planned to be distributed within the next 2 years. Because of the short-term nature of the investment, we may recommend lowering investment risk within this portfolio.

The Mid-term Bucket is built with the money to be distributed within years 3 to 7 of the financial plan. We recommend adjusting the risk appropriately.

The Long-term Bucket is the rest of the portfolio. The financial plan states that this money should not be needed within the next 7 years. Therefore, we may recommend taking more risks to attempt to maximize its growth.

Click below to find your Investment Management Plan.

Investment Management Plan

Recommended Portfolio Constitution

Short-term Bucket \$125,000.00	Mid-term Bucket \$250,000.00	Long-term Bucket \$750,000.00
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Total Investment \$1,125,000

Short-term Bucket

Amount to be Invested \$125,000	Risk Profile Moderately Aggressive	Equity 60%	Diversifiers 40%
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Systematic contribution Three Months	Objective #1 Liquidity	Objective #2 Safety	Objective #3 Income
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Mid-term Bucket

Amount to be Invested \$250,000	Risk Profile Moderately Aggressive	Equity 80%	Diversifiers 20%
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Systematic contribution Three Months	Objective #1 Income	Objective #2 Safety	Objective #3 Liquidity
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Long-term Bucket

Amount to be Invested \$750,000	Risk Profile Aggressive	Equity 100%	Diversifiers 0%
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Systematic contribution Three Months	Objective #1 Growth of Capital	Objective #2 Tax Minimization	Objective #3 Income
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Observations

Short-term Bucket

Below are the details of each of the accounts that we recommend to be added to the Short-term Bucket. You can find:

- The account nickname
- Each of the models we recommend and their allocation amount.

If you would like more information about the models, follow the link below.

[Find out about our models](#)

Account #1

Account Nickname	Amount to be Invested	
Sample Client's Short Term Trust	\$125,000	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
NQ Tactical Equity	\$37,500	30.00%
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Core Equity	\$37,500	30.00%
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
NQ Diversifiers	\$25,000	20.00%
Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)
Tactical Diversifiers	\$25,000.00	20.00%

Account #2

Account Nickname	Amount to be Invested	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)

Account #3

Account Nickname	Amount to be Invested	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)

Model #4

Amount to be Invested (M#4)

% to be Invested (M#4)

Short-term Bucket Observations

Mid-term Bucket

Below are the details of each of the accounts that we recommend to be added to the Mid-term Bucket. You can find:

- The account nickname
- Each of the models we recommend and their allocation amount.

If you would like more information about the models, follow the link below.

[Find out about our models](#)

Account #1

Account Nickname	Amount to be Invested	
Client Mid-term Trust account	\$250,000	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Core Equity	\$100,000	40.00%
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
NQ Tactical Equity	\$100,000	40.00%
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
Tactical Diversifiers	\$25,000	10.00%
Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)
NQ Diversifiers	\$25,000.00	10.00%

Account #2

Account Nickname	Amount to be Invested	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)

Account #3

Account Nickname	Amount to be Invested	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)

Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)
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Account #4

Account Nickname	Amount to be Invested
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Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
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Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
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Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
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Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)
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Mid-term Bucket Observations

Long-term Bucket

Below are the details of each of the accounts that we recommend to be added to the Long-term Bucket. You can find:

- The account nickname
- Each of the models we recommend and their allocation amount.

If you would like more information about the models, follow the link below.

[Find out about our models](#)

Account #1

Account Nickname	Amount to be Invested	
Client Roth IRA	\$750,000	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Tactical Mega Trends	\$450,000	60.00%
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Tactical Powerplay Equity	\$150,000	20.00%
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
Tactical Opportunistic	\$150,000	20.00%
Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)

Account #2

Account Nickname	Amount to be Invested	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)

Account #3

Account Nickname	Amount to be Invested	
Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)

Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)
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Account #4

Account Nickname	Amount to be Invested
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Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
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Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
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Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
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Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)
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Account #5

Account Nickname	Amount to be Invested
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Model #1	Amount to be Invested (M#1)	% to be Invested (M#1)
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Model #2	Amount to be Invested (M#2)	% to be Invested (M#2)
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Model #3	Amount to be Invested (M#3)	% to be Invested (M#3)
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Model #4	Amount to be Invested (M#4)	% to be Invested (M#4)
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Long-term Bucket Observations

Sample Client

This Investment Policy Statement should be reviewed if any changes occur in your income or current employment to determine if the policy will meet your long-term goals. It is the responsibility of the client to notify the Investment Advisor if there are any changes to your financial situation or investment objectives, or if you wish to impose, add, or modify any reasonable restrictions to the management of your account.

The Investment Policy Statement will also be reviewed after a Breakaway Financial Group advisor meets the clients for the End of Year meeting. During the End of Year meeting, we will review your life and tax plan, which may alter our investment recommendations.

By signing below, each party declares that they reviewed the information provided in the Investment Policy Statement and agrees in the implementation of the investment plan.

Signature



Breakaway Financial Group LLC

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Thank you for taking the time to review your Investment Policy Statement.

Please download your copy below.

You may now close this window.