

# INVESTOR PROFILE QUESTIONNAIRE

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NAME: \_\_\_\_\_

DATE: \_\_\_\_\_

## I. FINANCIAL GOALS

**What is your investment goal?**

- Retirement  Saving for a major purchase  
 More current income  Other: \_\_\_\_\_

**Do you need your investment portfolio to generate current income to meet on-going needs?**

- Yes  
 No

**Which of the following best describes your purpose for investing?**

- You understand investment markets and are mainly investing for long term wealth
- You have a lump sum (for example an inheritance or an eligible rollover from a retirement plan) and you are uncertain about what secure investment alternatives are available
- You have specific objectives within the next 5 years (i.e. retirement, major purchase, college education) for which you want to save enough money
- You want a regular income stream and/or protect the value of your savings

**How has your previous investment experience been?**  
(Circle the most appropriate)

0	1	2	3	4	5
N/A	Unpleasant				Outstanding

## II. TIME HORIZON – CIRCLE THE MOST APPROPRIATE NUMBER

### What is your age?

- 56 and over.....1
- 46-55.....2
- 36-45.....3
- 20-35.....4

### When do you plan to begin withdrawing money from your investments?

- Less than 3 years.....1
- 3-5 years.....2
- 6-10 years.....3
- 11 years or more.....4

## III. RISK TOLERANCE

### Describe your current investment knowledge:

- None.....1
- Limited.....2
- Good.....3
- Extensive.....4

### Investments you have held in the past have generally been invested:

- Primarily in bonds, CD's and cash.....1
- Primarily in bonds with some stocks.....2
- A blend of stocks and bonds.....3
- Primarily in stocks (U.S. and foreign).....4

### Five years from today, you expect your portfolio to be:

- Portfolio value is not my primary concern; I am more concerned with current income.....1
- The same as or slightly more than it is today.....2
- Greater than it is today.....3
- Substantially greater than it is today.....4

**Our Mission:** To design customized strategies to help create, grow and protect our clients' wealth. We are committed to helping our clients meet and exceed their financial goals so they may focus on the most important things in life.

**Imagine that in the past three months, both your individual portfolio and the overall stock market lost 15% of its value. What would you do?**

- Cut your losses and transfer you money into more secure investment sectors.....1
- You would be concerned, but would wait to see if the investments improve.....2
- This was a calculated risk and you would leave the investments in place, expecting performance to improve.....3
- You would invest more funds to take advantage of a lower investment price expecting future growth.....4

**We've outlined the most likely best and worst case annual returns of five hypothetical investment plans. Which range of possible outcomes is most acceptable to you?**

- *The figures are hypothetical and do not represent the performance of any particular investment*

<b>Best and Worst Case Scenarios (1 year)</b>				
<b>Plan</b>	<b>Average Annual Return</b>	<b>Best Case</b>	<b>Worst Case</b>	<b>Points</b>
<b>A</b>	7.2%	16.3%	-5.6%	1
<b>B</b>	9.0%	25.0%	-12.1%	2
<b>C</b>	10.4%	33.6%	-18.2%	3
<b>D</b>	12.5%	42.8%	-24.0%	4

**By what percentage do you expect your portfolio to grow annually over the long term, 10+ years?**

- 5%-7%.....1
- 7%-9% .....2
- 9%-11% .....3
- More than 12% .....4

**TOTAL SCORE** .....

Match your total score with one of the investment objectives listed below. If your score is near the top or bottom of an Adjusted Total Range, you may want to examine the next or previous objective to determine which represents your needs more accurately.

Adjusted Total Range	Investment Objective
8-12	Income with Capital Preservation
13-17	Income with Moderate Growth
18-22	Growth with Income
23-27	Growth
28-32	Aggressive Growth

The investment objectives shown are for illustrative purposes only. Your investment objective is based on many factors including your financial situation, tolerance for risk, time horizon and other financial needs. Consult your financial advisor if you have any questions.

Income with Capital Preservation	Income with Moderate Growth	Growth with Income	Growth	Aggressive Growth
Need for capital preservation and current income	Need for current income	Equal focus on growth and current income	Little need for current income	No need for current income
No focus on growth	Moderate focus on growth	Moderate tolerance for risk	Focus on growth	Focus on Aggressive Growth
Lowest tolerance for risk	Low tolerance for risk	Intermediate investment horizon	High tolerance for risk	Highest tolerance for risk
Shortest investment horizon	Short/intermediate investment horizon		Intermediate/long investment horizon	Long investment horizon