

# Investor Profile Questionnaire

Name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Day phone \_\_\_\_\_

Evening phone \_\_\_\_\_

Email \_\_\_\_\_

Financial advisor \_\_\_\_\_

# Investor Profile Questionnaire

## Building Your Financial Foundation

The Investor Profile Questionnaire is designed to help you gain an in-depth understanding of your investment objective, which serves as the foundation of your portfolio and guides us in making investment recommendations. Your investment objective is based on many factors, including your time horizon, financial goals and risk tolerance. To build your portfolio, you must clearly define your financial goals. Short-term goals may include buying a house or financing a dream vacation. Long-term goals may include saving for your child's education or planning for your retirement.

Your **time horizon** defines when you want to achieve a goal. It could be 1-5 years, 5-10 years, 15 years, 30 years or more.

Risk is an unavoidable part of investing. Historically, investments with higher return potential have required a higher tolerance for risk. Therefore, by clearly defining your **risk tolerance**, we will be better prepared to choose the most appropriate investments for your portfolio.

Over time, your goals and financial situation may change. It's important for us to discuss any changes, as your original **investment objective** may need to be re-evaluated.

## Determining Your Investment Objective

This self-scoring questionnaire will help us determine your investment objective. Answer each question by writing the corresponding number in the box to the right of each question. Then total the numbers for each section. Fill in the scorecard on the last page to determine your investment objective.

# Time Horizon

## QUESTION 1

What is your age?

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

Your score

## QUESTION 2

What is your primary financial goal?

- |                           |   |
|---------------------------|---|
| Wealth preservation ..... | 1 |
| Retirement planning ..... | 2 |
| Wealth accumulation ..... | 3 |

## QUESTION 3

What is the time frame for you to achieve your financial goals?

- |                          |   |
|--------------------------|---|
| 0-5 years .....          | 1 |
| 5-10 years .....         | 2 |
| 10 years or longer ..... | 3 |

Time Horizon Total \_\_\_\_\_

# Financial Goals

## QUESTION 4

Which of the following best describes your financial goals?

- |   |   |
|---|---|
| Preserving principal and earning a moderate amount of current income.....           | 1 |
| Generating a high amount of current income.....                                     | 2 |
| Generating some current income and growing assets over an extended time frame ..... | 3 |
| Growing assets substantially over an extended time frame.....                       | 4 |

## QUESTION 5

How do you expect your standard of living five years from now to compare to your standard of living today?

- |   |   |
|---|---|
| Less than it is today.....                  | 1 |
| The same as it is today.....                | 2 |
| Somewhat higher than it is today.....       | 3 |
| Substantially greater than it is today..... | 4 |

## QUESTION 6

Five years from today, you expect your portfolio value 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 |

## QUESTION 7

Generating current income from your portfolio is:

- |   |   |
|---|---|
| A primary concern (only if you are about to retire) ..... | 1 |
| Not important .....                                       | 2 |

## QUESTION 8

With the income generated from your portfolio, you plan to:

- |                                  |   |
|----------------------------------|---|
| Use it for living expenses ..... | 1 |
| Use some and reinvest some.....  | 2 |
| Reinvest all income.....         | 3 |

Financial Goals Total \_\_\_\_\_

# Risk Tolerance

## QUESTION 9

You have just received a large amount of money. How would you invest it?

- I would invest in something that offered moderate current income and was very conservative ..... 1  
I would invest in something that offered high current income with a moderate amount of risk ..... 2  
I would invest in something that offered high total return (current income plus capital appreciation) with a moderately high amount of risk ..... 3  
I would invest in something that offered substantial capital appreciation even though it has a high amount of risk ..... 4

Your score \_\_\_\_\_

## QUESTION 10

Which of the following statements would best describe your reaction if the value of your portfolio were to suddenly decline by 15%?

- I would be very concerned because I cannot accept fluctuations in the value of my portfolio ..... 1  
If the amount of income I receive was unaffected, it would not bother me ..... 2  
Although I invest for long-term growth, even a temporary decline would concern me ..... 3  
Because I invest for long-term growth, I would accept temporary fluctuations due to market influences ..... 4

## QUESTION 11

Which of the following investments would you feel most comfortable owning?

- Certificates of deposit ..... 1  
U.S. Government securities ..... 2  
Blue-chip stocks ..... 3  
Stocks of new growth companies ..... 4

## QUESTION 12

Which of the following investments would you least like to own?

- Stocks of new growth companies ..... 1  
Blue-chip stocks ..... 2  
U.S. Government securities ..... 3  
Certificates of deposit ..... 4

## QUESTION 13

Which of the following investments do you feel are the most ideal for your portfolio?

- Certificates of deposit ..... 1  
U.S. Government securities ..... 2  
Blue-chip stocks ..... 3  
Stocks of new growth companies ..... 4

## QUESTION 14

How optimistic are you about the long-term prospects for the economy?

- Very pessimistic ..... 1  
Unsure ..... 2  
Somewhat optimistic ..... 3  
Very optimistic ..... 4

## QUESTION 15

Which of the following best describes your attitude about investments outside the U.S.?

- Unsure ..... 1  
I believe the U.S. economy and foreign markets are interdependent ..... 2  
I believe overseas markets provide attractive investment opportunities ..... 3

Risk Tolerance Total \_\_\_\_\_

# Investor Scorecard

Time Horizon Total .....	<input type="text"/>	x 1 =	<input type="text"/>
Financial Goals Total .....	<input type="text"/>	x 2 =	<input type="text"/>
Risk Tolerance Total.....	<input type="text"/>	x 3 =	<input type="text"/>
		TOTAL SCORE	<input type="text"/>

The total for each section is multiplied by a number that represents the overall importance of that section when determining your investment objectives.

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
34-57	Income with Capital Preservation
58-83	Income with Moderate Growth
84-99	Growth with Income
100-114	Growth
115-125	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
INCREASING RISK, VOLATILITY AND RETURN EXPECTATIONS 				
<ul style="list-style-type: none"> <li>■ Need for capital preservation and current income</li> <li>■ No focus on growth</li> <li>■ Lowest tolerance for risk</li> <li>■ Shortest investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>■ Need for current income</li> <li>■ Moderate focus on growth</li> <li>■ Low tolerance for risk</li> <li>■ Short/intermediate investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>■ Equal focus on growth and current income</li> <li>■ Moderate tolerance for risk</li> <li>■ Intermediate investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>■ Little need for current income</li> <li>■ Focus on growth</li> <li>■ High tolerance for risk</li> <li>■ Intermediate/long investment horizon</li> </ul>	<ul style="list-style-type: none"> <li>■ No need for current income</li> <li>■ Focus on aggressive growth</li> <li>■ Highest tolerance for risk</li> <li>■ Long investment horizon</li> </ul>

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