

Investor Profile

Name: _____

Date: _____

Telephone: _____ (Home) (Mobile) (Work)

Acct #: _____

Email: _____

1. When do you expect to begin spending the money within this account?

- Immediately **(0)**
- 1-3 years **(1)**
- 4-6 years **(2)**
- 7-10 years **(4)**
- 11-15 years **(6)**
- 16-20 years **(9)**
- 21 or more years **(12)**

2. How would you describe your level of investment knowledge?

- Novice **(1)**
- Somewhat experienced **(2)**
- Experienced **(3)**

3. How many months could you continue to meet all your living expenses from existing savings and checking accounts if you suddenly lost your income?

- Less than one month **(1)**
- 2 to 3 months **(2)**
- More than 3 months **(3)**

4. What is your investment objective?

- Preserve the purchasing power of my money **(1)**
- Generate income while also preserving the principal of my money **(3)**
- Moderately increase the value of my account, even though I may experience moderate losses **(6)**
- Significantly increase the value of my account, even though I may experience significant losses **(9)**

5. Which statement best describes your attitude about your portfolio performance over any ONE YEAR period?

- I'd have a hard time stomaching any loss **(1)**
- I can tolerate a 5% loss **(3)**
- If I lost 10%, I'd be concerned but would not change my strategy **(5)**
- I wouldn't worry about losses in that timeframe **(7)**

6. Which statement best describes your retirement preparedness?

- I know how much I need and I'm on track
- I think I'm on track, but don't know for sure
- I'm not on track and am running out of time

7. You are a contestant on a TV game show and you can choose one of the following options:

- A \$2,500 cash prize **(1)**
- A 50% chance of winning \$5,000 with a 50% chance of winning nothing **(3)**
- A 5% chance of winning \$50,000 with a 95% chance of winning nothing **(5)**

8. Which of the following statements best describes how you feel about fluctuations in the value of your portfolio?

- I have no tolerance for fluctuations **(1)**
- I feel somewhat uncomfortable with fluctuations **(3)**
- I do not mind seeing fluctuation **(5)**

9. How do you think your spouse or best friend would describe you?

- Completely risk averse **(0)**
- A cautious person **(2)**
- Willing to take chances **(4)**

10. Which hypothetical portfolio are you most comfortable with, considering these theoretical four year returns?

	A	B	C	D
Year 1	2%	4%	5%	6%
Year 2	-3%	-9%	-15%	-22%
Year 3	8%	14%	19%	25%
Year 4	2%	3%	8%	10%

- A **(3)**
- B **(6)**
- C **(9)**
- D **(12)**

1. Preferred Retirement Age: _____
2. Preferred age to begin withdrawals: _____
3. Will you receive a pension? Yes No
 - a. If yes, what is monthly amount \$ _____
4. This account is what percent of retirement savings: _____%
5. Annual Salary: \$ _____
6. Annual Bonus (if applicable): \$ _____
7. % of salary contributed to account: _____%
8. Annual contribution in dollars: \$ _____
9. Company Match in dollars: \$ _____