



Investor profile questionnaire

Name _____

Date _____

This questionnaire will help to determine the best asset mix for your investments, based on your answers.

Time horizon

Your current situation and future income needs:

1. What is your current age?
A Less than 45
B 45 to 55
C 55 to 65
D 65 to 75
E Older than 75
2. When do you expect to start drawing income?
A Not for at least 20 years
B In 10 to 20 years
C In 5 to 10 years
D Not now but within 5 years
E Immediately

Long-term goals and expectations

Your views of how an investment should perform over the long term:

3. What is your goal for life investment?
A To grow aggressively
B To grow significantly
C To grow moderately
D To grow with caution
E To avoid losing money
4. Assuming normal market conditions, what would you expect from this investment over time?
A To generally keep pace with the stock market
B To slightly trail the stock market, but make a good profit
C To trail the stock market, but make a moderate profit
D To have some stability, but make modest profits
E To have a high degree of stability, but make small profits
5. Suppose the stock market performs unusually poorly over the next decade; what would you expect from this investment?
A To lose money
B To make very little or nothing
C To eke out a little gain
D To make a modest gain
E To be little affected by what happens in the stock market

Short-term risk attitudes

Your attitude toward short-term volatility:

6. Which of these statements would best describe your attitude about the next three years' performance of this investment?
A I don't mind if I lose money
B I can tolerate a loss
C I can tolerate a small loss
D I'd have a hard time tolerating any losses
E I need to see at least a small return
7. Which of these statements would best describe your attitude about the next three months' performance of this investment?
A Who cares? One calendar quarter means nothing
B I wouldn't worry about losses in that time frame
C If I suffered a loss of greater than 10%, I'd get concerned
D I can only tolerate small short-term losses
E I'd have a hard time stomaching any losses

Model profiles

Conservative

Investment objective: Preservation

For investors who are primarily interested in preserving their investment principal. Investors who choose this model seek low volatility and a low probability of capital loss.

Moderate-conservative

Investment objective: Conservative

For investors who seek moderate capital appreciation. Investors who choose this model are comfortable with only limited swings in the annual returns earned on their portfolios.

Moderate

Investment objective: Balanced growth

For investors who seek higher potential growth with relatively stable capital appreciation. Investors who choose this model feel that maximizing returns is equally important to minimizing risk.

Moderate-aggressive

Investment objective: Capital growth

For investors who seek high potential growth. Investors who choose this model are willing to accept an above-average risk in exchange for greater potential gains.

Aggressive

Investment objective: Aggressive growth

For investors who want to build significant wealth over time and are willing to accept greater risk to do so. Investors who choose this model will tolerate large market fluctuations in value in exchange for potentially greater returns.

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Investor profile questionnaire scoring sheet

The Investor Profile questionnaire helps to determine the best asset mix for your investments, based on the answers.

Scoring

Answers are assigned points as follows:

A = 5 B = 4 C = 3 D = 2 E = 1

Question 1 _____

Question 3 _____

Question 5 _____

Question 7 _____

Question 2 _____

Question 4 _____

Question 6 _____

Total score _____

Time horizon

Questions 1 and 2

Total from questions 1 and 2 _____

	Points	Portfolio
<input type="checkbox"/>	2	Conservative
<input type="checkbox"/>	3-4	Moderate-conservative
<input type="checkbox"/>	5-7	Moderate
<input type="checkbox"/>	8-9	Moderate-aggressive
<input type="checkbox"/>	10	Aggressive

Long-term goals and expectations

Questions 3, 4, and 5

Total from questions 3 - 5 _____

	Points	Portfolio
<input type="checkbox"/>	3-4	Conservative
<input type="checkbox"/>	5-7	Moderate-conservative
<input type="checkbox"/>	8-10	Moderate
<input type="checkbox"/>	11-13	Moderate-aggressive
<input type="checkbox"/>	14-15	Aggressive

Short-term goals and expectations

Questions 6 and 7

Total from questions 6 and 7 _____

	Points	Portfolio
<input type="checkbox"/>	2	Conservative
<input type="checkbox"/>	3-4	Moderate-conservative
<input type="checkbox"/>	5-7	Moderate
<input type="checkbox"/>	8-9	Moderate-aggressive
<input type="checkbox"/>	10	Aggressive

Overall investment risk tolerance

The overall investment risk score is mapped to one of the five asset mixes:

	Points	Portfolio
<input type="checkbox"/>	7-10	Conservative
<input type="checkbox"/>	11-17	Moderate-conservative
<input type="checkbox"/>	18-24	Moderate
<input type="checkbox"/>	25-31	Moderate-aggressive
<input type="checkbox"/>	32-35	Aggressive

Client name — *Please print* _____

Client signature _____

Date _____

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