

Investor Profile Questionnaire

Name _____

Address _____

Day phone _____

Evening phone _____

Email _____

Financial advisor _____

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.

QUESTION 1

What is your age?

- 56 and over 2
- 46–55 4
- 36–45 6
- 18–35 8

Your score

QUESTION 2

When do you expect to withdraw money from this account?

- Within 12 months 2
- In the next 2–5 years 4
- In the next 6–10 years 6
- More than 10 years from now 8

QUESTION 3

Generally, I prefer investments with little or no fluctuation in value, and I'm willing to accept the lower return associated with these investments.

- Strongly disagree 10
- Disagree 8
- Somewhat agree 6
- Agree 4
- Strongly agree 2

Continued on next page.

QUESTION 4

During market declines, I tend to sell portions of my riskier assets and invest them in safer assets.

- Strongly disagree 5
- Disagree 4
- Somewhat agree 3
- Agree 2
- Strongly agree 1

Your score

QUESTION 5

Generating current income from your portfolio is:

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

QUESTION 6

Which of the following would you feel most comfortable owning?

- Certificates of Deposits (FDIC) 1
- U.S. Government securities 2
- Blue chip stocks 3
- Stocks of new growth companies 4

QUESTION 7

Which of the following would you least like to own?

- Stocks of new growth companies 1
- Blue chip stocks 2
- U.S. Government securities 3
- Certificates of Deposit (FDIC) 4

QUESTION 8

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

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

QUESTION 9

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

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

Total Score _____

Investor Scorecard

Aggressive growth 42-48	Growth and Income 25-34
Growth 35-41	Income with moderate growth 19-25
	Income capital preservation 12-18

Not FDIC/NCUA Insured	Not Bank/Credit Union Guaranteed	May Lose Value
Not Insured by any Federal Government Agency		Not a Bank/Credit Union Deposit

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