

## Investor Profile

Name: \_\_\_\_\_

Top (2) Investment Goals: \_\_\_\_\_

### Financial Goals

#### 1. Investments

I do not need a high level of current income from my investments. I am interested in the potential for long-term growth.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

#### 2. Large Expenses

I have set aside savings to cover large expenses like purchasing a home, college tuition or a financial emergency.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

#### 3. Inflation

I am concerned about the effects of inflation on my investments.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

### Risk Tolerance

#### 4. Volatility

I can tolerate sharp ups and downs in the short-term value of my investments in return for potential long-term gains.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

#### 5. Risk vs. Reward

Hypothetically, I prefer an investment that has a 50% chance of losing 5% and a 50% chance of gaining 20% in one year, rather than an investment that will assure a 5% return in one year.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

6. Decline in Value

I am comfortable holding on to an investment even though it drops 20% in value.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

7. Equity Investing

I am willing to take the risks associated with stocks in order to earn a potential return greater than the rate of inflation.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

8. Knowledge of Risk

I consider myself knowledgeable about the risks and potential returns associated with investing in stocks and other types of securities.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

**Time Horizon**

9. Personal Timeline

In how many years do you plan to utilize the results of your investment strategy?

5 > 15 years      4 > 10 years      3 > 5 years      2 < 5 years      \_\_\_\_\_

10. Long-Term Investing

I am comfortable with an investment that may take 10 years to provide the returns I expect.

5 strongly agree      4 agree      3 disagree      2 strongly disagree      \_\_\_\_\_

Total Score

**RESULTS**

<i>Your Total Score</i>	<i>Investment Style</i>	<i>Model Portfolio Number</i>
20-26	Income	1
27-32	Capital Preservation	2
33-38	Balanced	3
39-44	Growth	4
45-50	Aggressive Growth	5

Date \_\_\_\_\_

Client Signature \_\_\_\_\_

Advisor Signature \_\_\_\_\_