



## Investor Profile Questionnaire

### Client

Name/Account Name \_\_\_\_\_  
Street \_\_\_\_\_  
City \_\_\_\_\_  
State Zip \_\_\_\_\_  
Phone \_\_\_\_\_  
Date of Birth \_\_\_\_\_

### Advisor

ID \_\_\_\_\_  
Name \_\_\_\_\_  
Phone \_\_\_\_\_

### Financial Profile

What is your approximate yearly household income? Include salary, bonuses, commission, pension plan distributions (excluding one-time lump sum distributions), Social Security, interest and dividends earned, and other income:

- Under 50k
- 50k to 100k
- 100k to 200k
- Over 200k

How much do you expect your household income to change over the next three years?

- Within 5% up or down
- Decrease 5% to 20%
- Decrease greater than 20%
- Increase 5% to 20%
- Increase greater than 20%



How much do you expect your household expenses to change over the next three years?

- Within 5% up or down
- Decrease 5% to 20%
- Decrease greater than 20%
- Increase 5% to 20%
- Increase greater than 20%

What is the total current market value of all your assets?

\$ \_\_\_\_\_.

What is the total value of all your outstanding liabilities?

\$ \_\_\_\_\_.

If you needed \$10,000 due to an unexpected financial obligation, would you have to redeem from your account?

- Yes
- No

### Investment Objectives

Your objectives and time horizon are critical in determining an appropriate strategy for your portfolio. A longer time horizon can take advantage of market cycles by using a more aggressive approach. A shorter time horizon requires a more conservative strategy, which is less subject to fluctuations.

What is your primary investment goal?

- Build wealth
- Finance retirement
- Generate income
- Other

In approximately how many years do you expect to need the money you are investing?

- 3 years
- 5 years
- 10 years
- 15 years
- 20 years
- Greater than 20 years



What is the federal tax rate you expect on earnings that you derive from the account?

- 0% / Tax deferred (IRA, Keogh, etc.)
- 10%
- 15%
- 25%
- 28%
- 33%
- 35%

Is tax-sensitive investing your primary goal?

- Yes
- No

How much do you plan to invest in this account?

\$ \_\_\_\_\_.

#### Investment Experience and Risk Tolerance

The recommended portfolio may fluctuate over time. Hypothetically, if you invested \$100,000 and it was performing in line with world financial markets and lost value during a year, at what point would you sell?

- I would not sell
- \$90,000.00
- \$80,000.00
- Less than \$80,000.00

The following questions are intended to measure your attitude toward risk as it applies to your investment goal. Pick the appropriate box for each statement.

I am prepared to sacrifice some safety for potentially higher returns.

- Agree
- Somewhat Agree
- Somewhat Disagree
- Disagree



I am willing to accept some risk in an effort to stay ahead of inflation.

- Agree
- Somewhat Agree
- Somewhat Disagree
- Disagree

I am willing to accept fluctuating returns in order to pursue my goal.

- Agree
- Somewhat Agree
- Somewhat Disagree
- Disagree

From time to time I can tolerate negative returns.

- Agree
- Somewhat Agree
- Somewhat Disagree
- Disagree

I am willing to accept higher volatility to achieve above average returns.

- Agree
- Somewhat Agree
- Somewhat Disagree
- Disagree

Additional Notes:

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The information I (we) have provided is a reasonable picture of my (our) financial situation.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_