



# Investor Profile Questionnaire

## Section 1: Time Horizon

**1. I plan to begin withdrawing money from my investments in:**

- Less than 3 years  1
- 3-5 years  3
- 6-10 years  7
- 11 years or more  10

**2. Once I begin withdrawing funds from my investments, I plan to spend all of the funds in:**

- Less than 2 years  0
- 2-5 years  1
- 6-10 years  4
- 11 years or more  8

### Subtotal: Time Horizon Score

Enter the total points from questions 1 and 2.

Time Horizon Score: \_\_\_\_\_ point(s)

**If your Time Horizon Score is less than 3, stop here.**

A score of less than 3 indicates a very short investment time horizon. For such a short time horizon, a relatively low-risk portfolio of 40% short-term (average maturity of five years or less) bonds and 60% cash is suggested, as stock investments may be significantly more volatile in the shortterm.

**If your score is 3 or more, please continue to Section 2.**

## Section 2: Risk Tolerance

**3. I would describe my knowledge of investments as:**

- None  0
- Limited  2
- Good  4
- Extensive  6

**4. When I invest my money, I am:**

- Most concerned about losing value  0
- Equally concerned about losing or gaining value  4
- Most concerned about gaining value  8

**5. Select the investments you currently own or have owned in the past with the highest number of points:**

- Money market funds or cash investments  0
- Bonds and/or bond funds  3
- Stocks and/or stock funds  6
- International securities and/or funds  8

**Example: you now own stock funds. In the past, you've purchased international securities. Your point score would be 8.**

**6. Imagine that in the past three months, the overall stock market lost 25% of its value. An individual stock investment you own also lost 25% of its value. What would you do?**

- Sell all of my shares  0
- Sell some of my shares  2
- Do nothing  5
- Buy more shares  8

**7. Review the chart below.**

We've outlined the most likely best- and worst- case annual returns of five hypothetical investment plans. Which range of possible outcomes is most acceptable to you?

The figures are hypothetical and do not represent the performance of any particular investments.

Plan	Average Annual Return	Best Case	Worst Case	Points
A	4%	12%	-3%	0
B	6%	16%	-6%	3
C	8%	20%	-9%	6
D	10%	28%	-14%	8
E	12%	40%	-24%	10

**Subtotal: Risk Tolerance Score**

Enter the total points for questions 3 through 7.

Risk Tolerance Score: \_\_\_\_\_ point(s)

Name(s): \_\_\_\_\_

Account #: \_\_\_\_\_

Your suggested model is: \_\_\_\_\_

Your preferred choice is: \_\_\_\_\_

Client Signature(s): \_\_\_\_\_

Please type your name as your signature.

Please type your name as your signature.

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

Please type your name as your signature.

Date: \_\_\_\_\_

		Risk Tolerance																																						
		0-10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40								
Time Horizon	3-4 Points	Conservative										Moderate										Moderate Growth										Growth								
	5 Points	Conservative										Moderate										Moderate Growth										Growth								
	7-9 Points	Conservative										Moderate										Moderate Growth										Growth								
	10-12 Points	Conservative										Moderate										Moderate Growth										Growth								
	14-18 Points	Conservative										Moderate										Moderate Growth										Growth								

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