

**Personal Information**

Name \_\_\_\_\_ Telephone \_\_\_\_\_ Date of Birth \_\_\_\_\_

**Investor Profile**

These questions will help determine the appropriate investment allocation for you, based on your personal circumstances and attitudes.

Please enter your score for each question, then add for your total score

**1. Investment Experience**

I have previously invested in the following (pick all that apply):

- Municipal Bonds (1)
- Corporate Bonds (3)
- Government Bonds (1)
- Variable Annuities (3)
- Fixed Annuities (1)
- Options (5)
- Mutual Funds (3)
- Partnerships (5)
- Stocks (3)
- First Time Investor (0)

1. Score

**2. Current Investment Portfolio (held more than 3 months)**

I currently own the following investments (pick all that apply):

- Municipal Bonds (1)
- Corporate Bonds (3)
- Government Bonds (1)
- Variable Annuities (3)
- Fixed Annuities (1)
- Options (5)
- Mutual Funds (3)
- Partnerships (5)
- Stocks (3)
- None (0)

2. Score

(please continue at right)

- 3. How long before you anticipate needing to spend more than 1/3 of the money you're investing?** (choose one)
- Ten years or more away (15)
  - Three to ten years away (10)
  - Less than three years away (5)

3. Score

- 4. What is your goal for the performance of your investment portfolio, relative to the rate of inflation?** (choose one)
- Far outpace the rate of inflation (15)
  - Outpace the rate of inflation (10)
  - Keep pace with the rate of inflation (5)
  - I'm not concerned with the rate of inflation. I am more interested in protecting the value of my principal (1)

4. Score

- 5. How do you feel about investment risk?** (choose one)
- I'm not willing to take any risks with my principal. (0)
  - I'm willing to accept some risks to increase the value of my investment. (5)
  - I'm willing to ride out market ups and downs to pursue maximum growth of my investment. (10)

5. Score

- 6. Attitude About Market Fluctuation** (choose one)
- How would you feel if an investment you owned lost 10% in one year? (if \$10,000 declines to \$9,000 in one year)
- I'd take it in stride. (10)
  - I'd be upset, but I'd keep my investment. (5)
  - I'd sell immediately. (0)

6. Score

Please use the scale below to evaluate your total score:

Total Score

we continually  
**monitor your investments**  
 and work with you to  
**reach your investment goals**



Total Score	Risk Tolerance Level	Recommended Investment Strategy
5-15	None	Consider Bank Products or Fixed Annuities
16-27	Low	Conservative
28-37	Low to Moderate	Moderate
38-46	Moderate	Balanced
47-55	Moderate to High	Growth
56+	High	Aggressive

Comments

Customer/Client Signature	Date
Customer/Client Signature	Date