

Investment Solutions

Professionally Managed Investment Accounts

Financial Questionnaire Worksheet

This questionnaire deals with the assets you are considering investing in a new account and will be a helpful tool in determining your current investment profile.

Personal Information

Name _____

Age _____

Address _____

City _____

State _____

Zip Code _____

Home Phone _____

Your Occupation _____

Bus. Phone _____

Spouse's Name _____

Age _____

Spouse's Occupation _____

Bus. Phone _____

Dependent(s):

_____ Age: _____

_____ Age: _____

_____ Age: _____

_____ Age: _____

Financial Information (Optional)

Assets

Value

Home Value \$ _____

Cash/Checking Account \$ _____

CD(s)/Savings Account \$ _____

Mutual Funds \$ _____

Common Stock \$ _____

U.S. Gov't. Bonds \$ _____

Municipal Bonds \$ _____

Corporate Bonds \$ _____

Retirement Plan Assets \$ _____

Life Insurance (Cash Value) \$ _____

Other Investments \$ _____

Total \$ _____

Liabilities

Balance

Mortgage \$ _____

Credit Cards \$ _____

Auto Loans \$ _____

Personal Loans \$ _____

Total \$ _____

Net Worth

Assets (Total) \$ _____

Liabilities (Total) - \$ _____

NET WORTH \$ _____



Financial Questionnaire Worksheet

Please circle the point value associated with your answer and record your total in the box following question 14.

	<u>Points</u>
1. What is the primary objective for these assets?	
a. Wealth preservation or emergency savings	1
b. Purchase of a home	6
c. Education funding	8
d. Retirement planning/long term wealth accumulation	10
2. What is the time horizon you have to achieve your financial goal?	
a. 0-5 Years	2
b. 6-10 Years	6
c. 11-14 Years	10
d. 15 years or longer	15
3. What is your present age?	
a. 55 or Over	1
b. Between 45-54	4
c. Between 30-44	8
d. Less than 30	12
4. What is your annual income (including interest income)?	
a. Less than \$30,000	1
b. Between \$30,000 and \$74,999	2
c. Between \$75,000 and \$100,000	3
d. \$100,000 or more	4
5. During the next five years, your annual income will most likely:	
a. Decline	1
b. Remain about the same	2
c. Increase slightly	4
d. Increase significantly	7
6. What percentage of your total investable assets will this account represent?	
a. More than 75%	1
b. Between 51% and 75%	2
c. Between 25% and 50%	3
d. Less than 25%	5
7. Are you planning any major expenditures greater than 10% of your investment assets?	
a. Within the next year	1
b. Within the next 5 years	2
c. Within 5 to 10 years	3
d. None expected	7
8. How do you intend to use the income earned by your investment portfolio?	
a. Receive at least 80% of my earnings as income	1
b. Reinvest between 20% and 80% of my earnings	3
c. Reinvest at least 80% of my earnings	5
d. Reinvest 100% of my earnings	10



9. Taking into consideration all sources of income, what is your current attitude towards your income needs?

- | | |
|---|----|
| a. I need at least 10% more income | 1 |
| b. Present income is adequate for present needs | 3 |
| c. I can forego at least 10% of my current income | 5 |
| d. I can forego at least 20% of my current income | 10 |

10. How many months of living expenses could be safely covered by your current liquid investments?

- | | |
|----------------------------|---|
| a. Less than 4 months | 1 |
| b. Between 4 and 12 months | 3 |
| c. More than 12 months | 5 |

11. Which of the following investments would you feel most comfortable with, taking into consideration the risk/return trade-off?

- | | |
|--|---|
| a. Certificate of deposit | 1 |
| b. Government bonds | 2 |
| c. Mix of equity securities and government bonds | 4 |
| d. Equity securities of established companies | 8 |

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

- | | |
|--|---|
| a. They are too risky. | 1 |
| b. Unsure of the risk or return involved. | 3 |
| c. May offer attractive investment opportunities. | 5 |
| d. Provide very attractive investment opportunities. | 7 |

13. What factor would you consider most important before choosing an investment?

- | | |
|---|----|
| a. The safety of my investment principal. | 1 |
| b. The amount of monthly income the investment will generate. | 3 |
| c. The opportunity for steady growth. | 7 |
| d. How quickly I will be able to increase my wealth. | 10 |

14. Which of the following best describes your reaction if the value of your portfolio suddenly declined 15%?

- | | |
|---|----|
| a. I would be very concerned because I cannot accept fluctuations in the value of my portfolio. | 1 |
| b. I invest for long term growth, but would be concerned about even a temporary decline. | 4 |
| c. If the amount of income I received was unaffected, it would not bother me. | 6 |
| d. I invest for long term growth and accept temporary fluctuations due to market influences. | 10 |

Total Points:

The answers to these questions will help you and our investment representative mutually determine which strategy may be appropriate to help you achieve your financial goals.

I have reviewed the information provided and understand that any investment recommendations made assume that the information I provided is accurate.

CLIENT'S SIGNATURE

DATE

JOINT ACCOUNT HOLDER'S SIGNATURE

DATE