

# Investment Planning

## Investor Profile Questionnaire



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

Referred By: \_\_\_\_\_

Please complete the **Personal Information** listed below and use the **Additional Information** section to add in any personal comments. Please complete the 11 investment-related questions on Page 2. Notice your score on Page 3 and then be sure to click "**Submit**" to enable a copy to be electronically sent to our office via email.

Dr. Mr. Mrs. Ms.

Personal Information			
First Name:	MI:	Last Name:	
Home Phone:	Cell Phone:	Email Address:	
Marital Status:	Occupation:	Employer:	
Date of Birth:	Age:		

Additional Information

# Investment Planning

## Investor Profile Questionnaire



Name:

Please check the responses that best apply. Please only check one answer for each question.

<p><b>1. I plan to take withdrawals from this portfolio in...</b></p>	<p><input type="checkbox"/> a. 3-5 years  <input type="checkbox"/> b. 6-10 years  <input type="checkbox"/> c. 11-15 years  <input type="checkbox"/> d. More than 15 years</p>	<p><b>2. I plan to spend the money in this portfolio over a period of...</b></p>	<p><input type="checkbox"/> a. 2 or less years  <input type="checkbox"/> b. 3-5 years  <input type="checkbox"/> c. 6-10 years  <input type="checkbox"/> d. 11-15 years  <input type="checkbox"/> e. More than 15 years</p>
<p><b>3. When making a long term investment, I plan to hold the investment for...</b></p>	<p><input type="checkbox"/> a. 3-5 years  <input type="checkbox"/> b. 6-10 years  <input type="checkbox"/> c. 11-15 years  <input type="checkbox"/> d. More than 15 years</p>	<p><b>4. In October 1987, stocks fell by more than 20% in one day. If you owned an investment that fell by 20% over a short period, what would you do?</b></p>	<p><input type="checkbox"/> a. Sell all the remaining investments  <input type="checkbox"/> b. Sell a portion of it  <input type="checkbox"/> c. Hold on and do nothing  <input type="checkbox"/> d. Buy more of the investment</p>
<p><b>5. To reach this financial goal, I prefer an investment with little or no fluctuation in value, and I am willing to accept the lower returns associated with these investments.</b></p>	<p><input type="checkbox"/> a. I strongly disagree  <input type="checkbox"/> b. I disagree  <input type="checkbox"/> c. I somewhat agree  <input type="checkbox"/> d. I agree  <input type="checkbox"/> e. I strongly agree</p>	<p><b>6. During periods of market declines, I tend to sell off parts of my riskier assets and put the money into safer assets.</b></p>	<p><input type="checkbox"/> a. I strongly disagree  <input type="checkbox"/> b. I disagree  <input type="checkbox"/> c. I somewhat agree  <input type="checkbox"/> d. I agree  <input type="checkbox"/> e. I strongly agree</p>
<p><b>7. Based solely on a brief conversation with a friend, coworker, or relative, I would invest in a mutual fund.</b></p>	<p><input type="checkbox"/> a. I strongly disagree  <input type="checkbox"/> b. I disagree  <input type="checkbox"/> c. I somewhat agree  <input type="checkbox"/> d. I agree  <input type="checkbox"/> e. I strongly agree</p>	<p><b>8. During the first half of 1994, some bond investments fell by more than 10%. If you owned an investment that fell 10% over a short period, what would you do?</b></p>	<p><input type="checkbox"/> a. Sell all of the remaining investments  <input type="checkbox"/> b. Sell a portion of it  <input type="checkbox"/> c. Hold on and do nothing  <input type="checkbox"/> d. Buy more of the investment</p>
<p><b>9. When it comes to investing in stock or bond mutual funds (or individual stocks and bonds), I would describe myself as...</b></p>	<p><input type="checkbox"/> a. Very inexperienced  <input type="checkbox"/> b. Inexperienced  <input type="checkbox"/> c. Somewhat experienced  <input type="checkbox"/> d. Experienced  <input type="checkbox"/> e. Very experienced</p>	<p><b>10. How stable is your current and future income from sources such as salary, Social Security, and pension plans?</b></p>	<p><input type="checkbox"/> a. Very unstable  <input type="checkbox"/> b. Unstable  <input type="checkbox"/> c. Somewhat unstable  <input type="checkbox"/> d. Stable  <input type="checkbox"/> e. Very Stable</p>
<p><b>11. Assuming a long term \$100,000 investment, which fund would be most comfortable for you? The funds have these potential ranges of return.</b></p>		<p><input type="checkbox"/> a. Fund A \$5,930 to (-\$1,640)  <input type="checkbox"/> b. Fund B \$19,210 to (-\$10,200)  <input type="checkbox"/> c. Fund C \$42,290 to (-\$36,390)</p>	

# Investment Planning

## Investor Profile Results



Name:

Investor Profile Questionnaire Scoring Sheet			
Answer = Points			
<b>1.</b> a. = 4 b. = 7 c. =12 d. =17	<b>2.</b> a. =0 b. =1 c. =3 d. =5 e. =8	<b>3.</b> a. =1 b. =3 c. =5 d. =7	<b>4.</b> a. =1 b. =3 c. =5 d. =6
<b>5.</b> a. =6 b. =5 c. =3 d. =1 e. =0	<b>6.</b> a. =5 b. =4 c. =3 d. =2 e. =1	<b>7.</b> a. =5 b. =4 c. =3 d. =2 e. =1	<b>8.</b> a. =1 b. =3 c. =5 d. =6
<b>9.</b> a. =1 b. =2 c. =3 d. =4 e. =5	<b>10.</b> a. =1 b. =2 c. =3 d. =4 e. =5	<b>11.</b> a. =1 b. =3 c. =5	

Portfolio Recommendations	
Score	Allocation (% Equities/%Bonds)
73 - 75	100/0
70 - 72	90/10
66 - 69	80/20
61 - 65	70/30
51 - 60	60/40
44 - 50	50/50
38 - 43	40/60
32 - 37	30/70
25 - 31	20/80
18 - 24	10/90
12 - 17	0/100