



Investor Profile Questionnaire

NAME: _____

DATE: _____

PHONE: _____

EMAIL: _____

1. How long before you expect to use the money saved in this plan?

- Less than 5 years
- 5-9 years
- 10-14 years
- 15-19 years
- 20-24 years
- 25 and over

2. What is your current age category?

- Over 60
- 56-60
- 46-55
- 36-45
- 26-35
- 25 and under

3. Would you use savings in this plan from time to time to purchase required items or to help with unexpected expenses?

- Yes
- Maybe
- No

4. Do you have a spouse or partner who is saving for their retirement?

- No
- Yes

5. Do you have children you currently help with college expenses or plan to in the future?

- No
- Yes

6. Which of the following best describes your employment situation?

- Retired or soon-to-be retired
- Employed part time
- Employed full time

7. Which of the following would include your family's net worth (assets minus liabilities)?

- \$100,000 to \$299,000
- \$300,000 to \$599,000
- \$600,000 and higher

8. What is your annual household income?

- \$50,000 to \$74,000
- \$75,000 to \$99,000
- \$100,000 to \$149,000
- \$149,000 to \$199,000
- \$200,000 or higher

9. How knowledgeable are you about investing and the various options available?

- I have no investment experience
- I have a basic understanding about investing and have made some other investments
- I have been investing for several years in different types of assets and have seen market ups and downs
- I am a knowledgeable and experienced investor

10. Which of the following statements would you feel best describes your investment philosophy?

- I cannot accept any loss of principal
- I prefer to invest in safer, lower return investments
- I am willing to tolerate some ups and downs in the value of my investments to achieve potentially higher returns in the long run
- My main interest is long-term returns and I am not concerned about short-term decreases in my investments

Bring this form with you to your appointment or send to:

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