



Investment Questionnaire

1. What is the initial size of your investment portfolio? \$ _____

2. What is your projected time horizon for this portfolio (that is, how long do you expect the assets to remain in the portfolio until they are completely withdrawn for their intended purpose)?
 Up to 3 years 4 - 5 years 6 - 10 years 10+ years

3. How far away is your retirement?
 20+ years 10-20 years 1-10 years Retired

4. Rate your overall investment knowledge and experience (re. products, risk factors, return characteristics, etc.):
 No knowledge or experience Good
 Poor Very good
 Fair

5. If the value of your portfolio decreased by 20% in one year, how would you react?
 I would be very concerned and would find another way to invest my money.
 I would be somewhat concerned and would reconsider the aggressiveness of my portfolio.
 I would not be concerned about the temporary fluctuation in my portfolio.

6. Bearing in mind that risk generally increases with return potential, what average annual rate of return would you like to receive over time on this money?
 over 8% 6-8% 3-5% 1-2%

7. How long are you willing to wait for your account's performance to meet your rate of return objective?
 One year or less. Three to five years. More than five years.

8. How likely are you to need access to your retirement savings for current money needs?
 Very likely Possible, but not probable I don't need access to this money

9. What is the balance in your emergency fund? _____

10. How important is it to you to watch the price of your investments and see steady progress from day to day?
 Not the least bit Somewhat Don't know Very

11. You have looked at past investment returns, established your investment time horizon and considered the risk and return issues important to successful investing. Which one of the following investment objectives most closely meets your needs and circumstances?

- Aggressive Growth - Growth of capital through investments in common stocks of small, emerging growth companies. No income considerations. Little or no concern for volatility.
- Moderately Aggressive Long-term Growth - Growth of capital through investments of common stocks of established "Blue Chip" companies. Little or no income considerations.
- Moderately Balanced Growth - Growth of capital through approximately equal investments in high quality common stocks and fixed-income securities.
- Moderately Conservative Growth & Income - Growth of capital through fixed income securities and stocks for growth and dividend yield.
- Conservative Capital Preservation & Income - Income and safety are the primary emphases, achieved through investments in Government and other investment-grade fixed-income securities.

Client Signature: _____

Date: _____

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