



## Client Profile Questionnaire



Complete the three sections of this questionnaire as they relate to your retirement planning goal. Add the points together and determine which type of risk profile fits your situation.

Any recommendations or changes to your account allocation will reflect the strategy, profile and risk tolerance that we have discussed and that is appropriate for you.

\_\_\_\_\_  
Signed Participant Name

\_\_\_\_\_  
Printed Participant Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
User ID (If applicable)

\_\_\_\_\_  
Password (If applicable)

\_\_\_\_\_  
email address

*By signing this Client Profile, you agree to allow us to provide you personalized financial advice.*

[1] Investment Time Horizon	[2] Financial Objective
<p>The portfolio should be structured to meet financial objectives over a period of:</p> <p><input type="checkbox"/> 1 to 3 years (1 point)</p> <p><input type="checkbox"/> 4 to 10 years (2 points)</p> <p><input type="checkbox"/> 11 to 15 years (3 points)</p> <p><input type="checkbox"/> 16 to 25 years (4 points)</p> <p><input type="checkbox"/> more than 25 years (5 points)</p>	<p><b>Which one of the following best describes your attitude toward your investments over your investment time horizon?</b></p> <p><input type="checkbox"/> <b>1 Pt.</b> My goal is <b>capital preservation</b>. I am adverse to short-term loss and can accept only minimal fluctuations in my portfolio value. My investment objective is <b>Conservative</b>.</p> <p><input type="checkbox"/> <b>2 Pts.</b> My primary goal is <b>capital preservation</b> and my secondary goal is <b>capital growth</b>. I am willing to accept a low level of fluctuation in my portfolio value. My investment objective is <b>Moderate</b>.</p> <p><input type="checkbox"/> <b>3 Pts.</b> My primary goal is <b>capital growth</b> and my secondary goal is <b>capital preservation</b>. I am willing to accept a moderate level of fluctuation in my portfolio value. My investment objective is <b>Moderate</b>.</p> <p><input type="checkbox"/> <b>4 Pts.</b> My goal is <b>capital growth</b>. I am modestly concerned with the level of fluctuation in my portfolio. My investment objective is <b>Moderately Aggressive</b>.</p> <p><input type="checkbox"/> <b>5 Pts.</b> My only goal is <b>aggressive capital growth</b>. I am not concerned with the level of fluctuation in my portfolio value. My investment objective is <b>Aggressive</b>.</p>

[3] Risk Attitude										
The graph below represents your attitude towards risk with respect to the assets in your 401k plan. (Check off your level)										
<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>Low Volatility</b>			<b>Medium Volatility</b>				<b>High Volatility</b>			
Represents lower volatility than the broad equity market. Often requires a position in cash, bonds, and treasuries that could be significant to protect capital.			Represents the broad equity market and indicates a portfolio generally invested equally with stocks and bonds.				Represents higher volatility than the broad equity market. Often requires a position in smaller stock, emerging market securities or alternative investments. You would expect a premium on your return for the additional risk.			

**Your Total Score (Add the points from all three sections):**

<b>2 to 5 Pts</b>	<b>6 to 11 Pts</b>	<b>12 to 16 Pts</b>	<b>17 to 20 Pts</b>
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**Conservative**

**Moderate**

**Moderately Agg.**

**Aggressive**

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