



Investor Allocation Profile

Client Name (1): _____

Client Name (2): _____

At what age do you expect to retire? _____

Which of the following best describes your situation?

- Age 20 to 35, just starting career and family, and saving for major life purchases
- Age 30 to 50, saving for children's college, paying for home.
- Over 40, with children grown and on their own, trying to save as much as possible for retirement.

When it comes to investing for retirement, would you consider yourself a knowledgeable investor?

- Yes
- Somewhat
- No

You would feel best if you made an investment that:

- Doubled your money in the first year, although it had an equal chance of a 50% loss.
- Doubled your money in 10 years, with less chance of loss.
- Grew slowly and steadily.

What is your idea of a smart retirement strategy?

- For the sake of getting the best long-term growth, you accept the risk of ups and downs.
- To earn returns that will keep you ahead of inflation, you live with moderate risk.
- You save as much as you can, don't take chances, and hope you'll have enough.

For current investments, what has been your annual rate of return? _____

Have you been satisfied with that return? If no, why not? _____

What percentage of your portfolio can you afford to lose or how much money can you afford to lose in any one year? _____

What action would you take if the market dropped 50% from its present value?

Regarding your finances, what do you spend the most time thinking about?

Are there things in your financial life that you wish you had done differently?

Are you pleased with your ability to manage and shelter your income from taxes?

Are you pleased with the diversification and performance of your portfolio?

What is the best and worst investment decision you have ever made?

Best: _____

Worst: _____

Are there any investments that you will NOT buy or sell for past performance, personal or social reasons?
