



## 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?

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

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

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

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

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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?

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