

Investor Profile Questionnaire

Date:	
Name:	
Signature:	

1

INVESTMENT GOALS

What is your investment horizon – when will you want to use your invested money?

- A. Under 3 years
- B. 3 – 5 years
- C. 6 – 10 years
- D. 11 – 15 years
- E. Over 16 years

2

What is your most important investment goal?

- A. I want my investments to be secure. I also need my investments to provide me with modest income now, or to fund a large expense within the next few years.
- B. I want my investments to provide a maximum amount of income now.
- C. I want my investments to grow and I am less concerned about income. I am comfortable with moderate market fluctuations.
- D. I am more interested in having my investments grow over the long-term. I am comfortable with short-term return volatility.
- E. I want long-term aggressive growth and am willing to accept significant short-term market fluctuations.

3

INVESTOR KNOWLEDGE

Which of the following would best describe your level of investment knowledge?

- A. Very limited (little to no knowledge)
- B. Basic (understand difference between stocks and bonds)
- C. Average (aware of different investment options and levels of risk)
- D. Extensive (thorough understanding of investment products and strategies)

4

RISK TOLERANCE

Please indicate which statement reflects your overall view on managing risk.

- A. I do not like risk and I am not prepared to expose my investments to any fluctuations in order to earn higher long-term returns.
- B. I am prepared to experience modest fluctuations in order to generate a higher long-term return.
- C. I am prepared to experience average fluctuations in order to achieve a higher long-term return.
- D. I want to maximize my long-term returns and am comfortable with significant fluctuations.

5

INVESTMENT RISK PROFILE

If you owned an investment that fell by 20% over a period of six to nine months, what would you do?

- A. Sell all of the remaining investment
- B. Sell a portion of the remaining investment
- C. Hold the investment and sell nothing

6

The following portfolios show a best and worst range of return possible in any given year. Which portfolio would you be most likely to hold?

- A. Portfolio return range (-1% to 8%)
- B. Portfolio return range (-6% to 15%)
- C. Portfolio return range (-12% to 22%)

7

If you could increase your chances of improving your investment returns by taking more risk, would you be:

- A. Unlikely to take more risk
- B. Willing to take a little more risk with some of investments
- C. Willing to take a lot more risk with some of your investments
- D. Willing to take a lot more risk with all of your investments

8

INVESTOR TYPE

What type of investor are you?

- A. You may be reaching retirement or simply prefer to take less risk. Security of capital is your biggest concern.
- B. You may be close to retirement or prefer to take less risk. Security is quite important to you.
- C. You want a balance between growth and security. You are willing to accept some risk for potential higher returns over time.
- D. Growth is more important but security is still a factor. You are willing to accept risk for potential higher returns over time.
- E. The growth of your money is your main concern and you plan to be invested for a long time. You are very comfortable with riding out the ups and downs of the market for potential higher long-term results.

Question #	A	B	C	D	E	Your Points	YOUR INVESTMENT PROFILE				
Q1	0	2	6	10	15		CONSERVATIVE (0 – 10) If you are a conservative investor, you consider investment losses in any given year to be unacceptable. You like your investments to offer security.	MODERATE (11 – 30) If you're moderate, this means you don't mind a little bit of fluctuation in your investment returns, but you would be uncomfortable with significant ups and downs.	BALANCED (31 – 55) As a balanced investor, you prefer a consistent growth pattern with few fluctuations.	GROWTH (56 – 75) If you are a growth investor, you are willing to take a higher risk with your money in order to achieve potentially higher returns.	AGGRESSIVE (76 or more) Aggressive investors want long-term growth and you understand that a loss in one year may be the price you have to pay to achieve longer term growth.
Q2	0	4	6	10	15						
Q3	0	2	3	5	-						
Q4	0	2	6	10	-						
Q5	0	4	6	10	-						
Q6	0	3	5	-	-						
Q7	0	4	7	10	-						
Q8	0	4	8	11	15						
Your Total Score:							<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>