



INVESTOR INVESTMENT QUESTIONNAIRE

The following questionnaire is designed to assist us in determining an investment portfolio that meets your personal goals, objectives and risk tolerance. Scoring is done by advisor using the Investor Questionnaire Score Sheet (CAA201).

1. Initial Investment Amount \$ _____
2. What percentage will this portfolio represent of your total investable assets? _____ %
3. What type of account is this?
 - TAXABLE** (Corporate Custodial Individual Joint Partnership Trust UGMA/UTMA)
 - TAX-DEFERRED** (401k MPPP PSP Traditional IRA Roth IRA Rollover IRA SEP-IRA)
4. **ACCOUNT INVESTMENT OBJECTIVE:** Based on your investment goals, which of the following objectives best describes your desired investment approach? (check one)
 - RETIREMENT ACCUMULATION:** Seeking account appreciation to satisfy your retirement needs
 - EDUCATIONAL SAVINGS:** Seeking account appreciation to satisfy educational needs for your children or other family members
 - CURRENT INCOME:** Seeking a stream of current income for immediate financial needs
 - GROWTH & INCOME/BALANCED:** Seeking current income generation and account appreciation for both immediate and long-term financial needs
 - ASSET ACCUMULATION/GROWTH:** Seeking account appreciation to add wealth
 - SPECULATION:** Seeking to maximize account appreciation and are willing to accept above-average market volatility and losses

5. TIME HORIZON

How long do you expect to have your assets invested before converting to cash?

- | | | | |
|-----|-----------------------|-----|---------------------|
| () | Less than three years | () | Three to five years |
| () | Five to seven years | () | Seven to 10 years |
| () | 10-15 years | () | 15-20 years or more |

6. **ACCOUNT RISK LEVEL:** Investing involves risk. Different investment products and strategies involve different degrees of risk. The higher the expected return of a product or strategy, the greater the risk that you could lose a significant part of your investment. When choosing the Account Risk Level, first consider your personal tolerance for market fluctuation. Then, consider your investment objective, time horizon and liquidity needs for the assets in the account.

<input type="checkbox"/>	CONSERVATIVE: A conservative investment account seeks to minimize volatility rather than to seek appreciation. Generally this investment account seeks to minimize market risk and loss, which may result in performance that is less than the rate of inflation.
<input type="checkbox"/>	MODERATELY CONSERVATIVE: A moderately conservative investment account would experience a small degree of market risk or volatility to achieve some degree of appreciation. This investment account may experience some loss.
<input type="checkbox"/>	MODERATE: A moderate investment account seeks to balance market risk and volatility with expected returns. This investment account may experience some losses in exchange for the potential of long-term gains.
<input type="checkbox"/>	MODERATELY AGGRESSIVE: A moderately aggressive investment account primarily seeks higher long-term returns and has the likelihood for significant volatility. This investment account may experience large losses in exchange for the potential of higher long-term gains.
<input type="checkbox"/>	AGGRESSIVE: An aggressive investment account seeks to maximize returns and may experience a very high degree of volatility. This investment account has the potential to deliver significant losses as well as significant long-term gains.

To achieve the investment returns you specified over the time horizon indicated, how much principal fluctuation could you tolerate in any given year in order to reach your goals?

- | | | | |
|--------------------------------|---------------------------------|-----------------------------------|--------------------------------|
| <input type="checkbox"/> None | <input type="checkbox"/> 1-3% | <input type="checkbox"/> 3-6% | <input type="checkbox"/> 6-9% |
| <input type="checkbox"/> 9-12% | <input type="checkbox"/> 12-15% | <input type="checkbox"/> over 15% | <input type="checkbox"/> Other |

Are there any additional information or investment restrictions we should be aware of when designing an investment portfolio for you?