

Risk and Objectives Questionnaire:

Name of Account: _____

Type of Account: _____ Account #: _____

Goal: _____

1. What is the time frame for your goal? If you reached goal mark "A"

- A. Less than 3 years
- B. 3 to 5 years
- C. 5 to 10 years
- D. 10 to 15 years
- E. 15 years or more

2. What is your need for growth of principal?

- A. None. Safety of principal is more important.
- B. A little growth just to keep up with inflation.
- C. I need growth, but not too much risk.
- D. I need growth and willing to take risk to get it.
- E. I need as much growth as possible. High risk is ok.

3. Select the maximum decline you are willing to accept to reach your goals. No guarantees.

- A. -5% **Example: \$100,000 decline to \$95,000
- B. -10% **Example: \$100,000 decline to \$90,000
- C. -20% **Example: \$100,000 decline to \$80,000
- D. -30% **Example: \$100,000 decline to \$70,000
- E. -40% or more **Example: \$100,000 decline to \$60,000

4. What is your need for income or dividends?

- A. None. Income is not important
- B. Yes. Income or dividend is important to reach my goal.

5. What is your desire for a static or tactical portfolio?

- A. Static. Very little changes, expect for periodic rebalancing due to out or under performance of asset classes. More tax efficient.

- B. Tactical. May have more frequent changes due to market conditions. Less tax efficient for taxable accounts.

6. Do you prefer domestic investments only? Less diversification

- A. Yes
- B. No. Global or does not matter.

7. What is your preference for reinvesting dividends or income?

- A. Reinvest all dividends and income
- B. Do not reinvest dividends and interest

8. Do you wish to include leverage to enhance performance during times where it might be appropriate? This may increase your volatility/risk during those periods.

- A. Yes
- B. No

Scoring: Add up the score for each of the Risk and Objectives below.

Points per question: A=1, B=2, C=3, D=4, E=5

1. _____
2. _____
3. _____

→ Total of question 1 through 3 _____

Models:

4. If you answered "A" to question 4 check "Broad Market" under "Market Objective" below.
If you answered "B" to question 4 check "Dividend Focus" under "Market Objective" below.

5. If you answered "A" to question 5 check "Static/Strategic" under Portfolio Management below

If you answered "B" to question 5 check "Tactical" under "Portfolio Management" below.

4. Market Objective:

Broad Market Dividend Focus

5. Portfolio Management:

Static/Strategic Tactical

6. Include below your total score to question 1-3 above in the appropriate model below.

- Score: 1-4 Conservative Income
- Score: 5-7 Conservative Income and Growth
- Score: 8-11 Moderate Growth and Income
- Score 12-14 Aggressive Growth

Stand Alone Investment Models:

7. If you answered "Yes" for question 6A enter your total score from question 1-3 above here: Otherwise ignore.

- Score: 5-11 Strategic Domestic Balanced
- Score 12 or more Strategic Domestic Growth

8. If you answered "Yes" for question 8A enter your total score from question 1-3 above here: Otherwise ignore.

- Score 7 to 12 Advanced Tactical Balanced w/ Leverage
- Score 14 or more Advanced Tactical All Equity w/ Leverage

Date: _____

Sign: _____

Financial Advisor: _____