

Investment Objective Profile

Client Name:

Goal(s) for this meeting:

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Notes:

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Instructions: Answer each question by circling the corresponding number to the right of each of your selected answers. Then total the numbers for each question and match your total score with one of the investment objectives on the spectrum on page 3.

1. What is most important to you about your money?

- a. That I never lose a penny of what I have. **(5)**
- b. That I keep my money safe. **(10)**
- c. That my money grows a little and pays me income. **(15)**
- d. That I grow it as much as possible - win some, lose some. **(20)**

2. When evaluating an investment, which of the following is MOST important to you?

- a. How it's guaranteed. **(5)**
- b. How stable it is. **(10)**
- c. How much income it can generate. **(15)**
- d. How much it can grow over a 10-year period. **(20)**

3. How do you feel about investment risk?

- a. I'm not willing to take any risk with my principal. **(5)**
- b. I generally want to avoid unnecessary risk, but will accept a small amount of risk in order to achieve slightly higher returns. **(10)**
- c. I can tolerate a moderate amount of risk in an effort to potentially achieve higher returns. **(15)**
- d. I'm willing to ride out the market ups and downs to pursue potential growth of my investment. **(20)**

4. What is your goal for the performance of your investment portfolio, relative to inflation?

- a. Far outpace the rate of inflation. **(20)**
- b. Outpace the rate of inflation. **(15)**
- c. Keep pace with the rate of inflation. **(10)**
- d. I'm not concerned with the rate of inflation. I am more interested in protecting the value of my principal. **(5)**

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