



## INVESTOR PROFILE QUESTIONNAIRE

1. Name: \_\_\_\_\_
2. Address: \_\_\_\_\_
3. Email Address: \_\_\_\_\_
4. Occupation: \_\_\_\_\_ Spouse: \_\_\_\_\_
5. My current age is:  
\_\_\_\_\_ under 45 years    \_\_\_\_\_ 45-55 years    \_\_\_\_\_ 56-65 years    \_\_\_\_\_ Over 65 years
6. In how many years do you plan to retire?  
\_\_\_\_\_ More than 20 years    \_\_\_\_\_ 11-20 years    \_\_\_\_\_ 6-10 years    \_\_\_\_\_ Less than 6 years
7. Have you ever invested before: \_\_\_\_\_ Yes    \_\_\_\_\_ No
8. If so, in what (check box): \_\_\_\_\_ Mutual Funds    \_\_\_\_\_ Stocks    \_\_\_\_\_ Annuities  
\_\_\_\_\_ Bonds    \_\_\_\_\_ Bank Products    \_\_\_\_\_ Other (explain) \_\_\_\_\_
9. Which of the following best describes your overall investment objective?  
\_\_\_\_\_ Maximum capital appreciation with little or no need for current income  
\_\_\_\_\_ Long term moderate growth with the opportunity for some current income  
\_\_\_\_\_ Total Return from a balance of capital appreciation and current income  
\_\_\_\_\_ Emphasis on preservation of capital with current income
10. What do you plan to do with the income generated by your investments?  
\_\_\_\_\_ Reinvest all income back into my investments  
\_\_\_\_\_ Receive a portion and reinvest a portion  
\_\_\_\_\_ Take all of the income
11. I believe that my non-investment income (ie.: salary, rental income, Social Security, pension) stream for the foreseeable future is best described as:  
\_\_\_\_\_ Very stable  
\_\_\_\_\_ Fairly Stable  
\_\_\_\_\_ Not very stable  
\_\_\_\_\_ Not possible to reasonably predict at this time
12. How would you describe your outlook for the U.S. Economy in the foreseeable future?  
\_\_\_\_\_ Very optimistic  
\_\_\_\_\_ More optimistic than pessimistic  
\_\_\_\_\_ Neutral  
\_\_\_\_\_ Pessimistic

(OVER)

13. Which type of securities are you most comfortable investing in?
- Stocks or mutual funds of newer growing companies
- Stocks or mutual funds of older growing companies
- US Government securities, municipal bonds or high-grade corporate bonds
- Money Market or bank deposit accounts
14. Which one of the following statements best describes your feelings about investment risk? I prefer:
- An aggressive mix of investments with emphasis on a higher degree of risk that may yield greater returns.
- A balanced mix of investments, some with a low degree of risk and others with a higher degree of risk that may yield greater returns.
- A mix of investments with emphasis on a low degree of risk and a smaller portion of others that have a higher degree of risk that may yield greater returns.
- A conservative mix of investments with a low degree of risk that are less likely to lose my original investment.
15. What best describes your response when your portfolio valued at \$100,000 quickly declines by 15% to \$85,000?
- I invest for long-term growth and accept temporary changes due to market fluctuation.
- I invest for long-term growth, but would be concerned about a temporary decline.
- If the amount of income I received was unaffected, it would not bother me.
- I would be worried because I am unwilling to accept value fluctuations in my portfolio.
16. The statements below represent three different ways in which your portfolio returns may fluctuate year to year. Which would you be most comfortable with?
- Most aggressive, big ups and downs
- More balance, moderate ups and downs
- More stable, conservative ups and no downs
17. Do you have a Will or Trust?  Will  Trust  Neither
18. Do you have Life Insurance?  Yes  No
19. Are you paying taxes on your Social Security?  Yes  No  Don't know
20. Are you concerned about a long term care stay for you or your loved ones?
- Yes  No

If you have any additional information that you would like to share, specific concerns or fears, please do let us know: \_\_\_\_\_

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